

ETSU Faculty Handbook

2016-2017 (as of January 20,2017)

Faculty Handbook

Preamble

The *Faculty Handbook* is a compilation of institutional policies, procedures, forms, guidelines, services, and resources. The Faculty Senate is the steward of the faculty handbook. All revisions to the *Faculty Handbook* are subject to the approval of the President of ETSU. Collegiate and departmental bylaws do not supersede and may not conflict with the contents of this handbook.

When policies and procedures are officially adopted or changed by duly constituted authorities, such changes become effective on the date designated at the time of their adoption even if not yet published in the *Faculty Handbook*. The *Faculty Handbook* should be read carefully by all members of the faculty as the most convenient source of information regarding University policies and procedures and faculty rights and responsibilities.

Faculty Handbook Change Process Flowchart

Changes to the Handbook effective 2014-15:

Section 3: Instructional Development Grants; Grant Periods/Deadlines/Other Information
Effective 11/20/2014

Section 2: Addition of Lecturer Policy; Lecturer Policy
Effective 11/24/2014

Section 2: Revision of Tenure and Promotion Policy Regarding; Student Advisement
Effective 3/20/2015

Section 2: Revision of Termination for Adequate Cause; Tenure Revocation
Effective 7/2/2015

Changes to the Handbook effective 2015-2016:

Section 2: Addition of Faculty Progressive Discipline Guidelines, *Effective 05/19/2016*

Section 2: Addition of Promotion Policy for Lecturers, *Effective 05/19/2016*

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University Organization Structure

View [ETSU's organization](#) structure

07/01/91; 05/15/01; Effective 03/06, policy changes will appear on the webpage cited

Vision, Values, Mission/Institutional Purpose

The Vision, Mission, and Values of East Tennessee State University can be accessed at the following link:

<http://www.etsu.edu/president/mission.aspx>

11/94; 06/95; 11/97; 11/99; 11/05; 01/10; Effective 10/11, policy changes will appear on the webpage cited

**Academic Chair Appointment and Stipend Policy
[Excluding Medicine]**

Notice of Vacancy, Selection Protocol, and Periodic Review of Department Chairs

Provisions for providing notice of a vacancy in the position of Academic Chair and the selection protocol to be employed for a search are described in the section on Selection and Periodic Review of Academic Administrative Personnel of this Handbook. Provisions for periodic review of department chairs are also described in this section.

Initial Appointments of Department Chairs

For externally hired chairs, an initial faculty salary level should be established based on the range of traditional considerations used to determine salary levels.

For internally hired chairs, the base salary may be subject to adjustment based on the range of traditional considerations used to determine salary levels.

When some faculty members in the department are on AY contracts, the base salary for initial appointment of a chair should be established for the academic year.

For AY appointed chairs, the designated summer stipend should also be established.

When an AY base salary is to be converted to a fiscal year appointment, the AY salary is increased by 25% to establish the FY salary.

The designated administrative stipend is added to either the AY or FY salary.

The appointment letter and contract for a department chair should clearly indicate the base faculty salary, term of appointment (FY or AY), summer stipend if appropriate, and administrative stipend to be received as department chair.

Stipends receive any across-the-board increases that apply to base salary, thus constantly indexing their value for current chairs. Stipend levels for new appointees should be indexed annually, thus making them consistent with actual increases for existing chairs.

When economically feasible and warranted by the size and complexity of the department, chairs should be appointed on a fiscal year basis.

When a FY appointment is not appropriate or acceptable to the chair or college, a separate summer administrative stipend should be established for the department by the college dean. This summer stipend is established in credit hours and is paid at the same rate as summer instruction from the Summer budget.

Chairs on fiscal year contracts are expected to fulfill all employment obligations and receive all benefits stipulated in Board of Regents Policy for fiscal year employees.

Transitions to fiscal year appointments and stipend adjustments will not be employed to decrease the current administrative stipend of any department.

Determination and Implementation of Administrative Stipend and Teaching Load for Academic Chair

Administrative stipends for departmental chairs are set at three dollar levels that reflect differing levels of administrative workload. The system is based on the following three factors: Total FTE Faculty based on the average of Fall/Spring figures to address faculty size, graduate teaching assistants, part-time instructors; Total Student Credit Hour Production to address service components, majors, and graduate students; and Complexity based on number of academic concentrations, laboratory/studio/clinical components, grants, off-campus program, specialized accreditation/licensure/regulatory, equipment and support personnel, and extensive community service requirements. The formula will weight Faculty, Students, and Complexity as follows: Faculty at one-third, Students at one-third, and Complexity at one-third. Each of the three factors will be assigned a number between 1 (low) and 5 (high), based on a subjective assignment by the academic dean in consultation with the office of the Vice President for Academic Affairs and the Vice President of Health Affairs.

The administrative stipend for each department chair is set to reflect an assessment of workload that is classified as High, Moderate, or Low. Documentation of which departments are assessed in each workload level and the associated stipend received by the chair is available in the Provost's Data Warehouse and is communicated periodically to the Deans Council and the Chair of the Council of Chairs. Determination of whether departments are assessed in appropriate categories will be reviewed periodically to respond to significant departmental changes in size and complexity.

The number of courses to be taught by a chair is determined by the chair and college dean. It is based upon the anticipated administrative workload. As a guideline, but intended only as a guideline, chairs of low complexity departments would be expected to teach a minimum of five courses per fiscal year; chairs of medium complexity departments would teach a minimum of four courses; and chairs of high complexity departments would teach a minimum of three courses per fiscal year. Generally, summer teaching is expected, but would be a function of the individual department's complexity summer programs, and summer administrative responsibilities. This decision would be made jointly, on an annual basis, by the department chair and dean.

Provision for Retaining of Stipend when Relinquishing Position of Academic Chair

Except as provided for in this policy, AY chairs return to faculty status at their AY base salary. When FY chairs return to faculty status, the administrative stipend is removed and the AY base salary is set at 80% of the remaining FY salary unless it is determined to be appropriate for the appointment to continue on a fiscal year basis.

Upon positive recommendation by the dean and concurrence of the appropriate Vice President, a portion of the current chair stipend may be retained in the faculty member's base salary if he or she relinquishes chair duties after having served a minimum of five or more years as chair. The following calculation should be made to determine the portion to be retained:

i.	Years served as chair	Portion of stipend that may be retained based upon resuming faculty ranks
	5 Years	50%
	6 Years	60%
	7 Years	70%
ii.	8 Years	80%
	9 Years	90%
	10 or more Years	100%

This provision which would permit retaining a portion of the stipend will be phased in, and no chair in the initial 2002-03 year of implementation will receive more than five years of credit for prior service in the position of chair that would be creditable toward determining portion of stipend to be retained.

9/17/02

Conflict of Interest in Sponsored Programs

These policies can be accessed through the Office of Research and Sponsored Programs through the following link:

<http://www.etsu.edu/research/orspa/researchcompliance/conflictinterest.aspx>

10/25/95; 02/01; 03/06/08; Effective 10/11, policy changes will appear on the webpage cited

Copyright Fair-Use Guide for Faculty

General Information for Faculty and Staff

Copyright is a form of protection provided by the laws of the United States (Title 17, U.S. Code) to "promote the progress of science and useful arts, by securing for limited times to authors and inventors the exclusive right to their respective writings and "discoveries." It is given to individual, group or corporate authors and to "works for hire," and includes any

creative work written or recorded in a "fixed" format. Protections last for the term of an author's life plus 75 years after death; copyright for corporate works can range from 95-120 years. Copyright and academic use of material under copyright in the United States is governed by the following laws: U.S. Copyright Act of 1976, Title 17 U.S.C. §§ 101 – 810; Section 121 of the U.S. Copyright Act (Chafee Amendment) of 1996; the Digital Millennium Copyright Act (DMCA) of 1998; and the Technology, Education and Copyright Harmonization Act (TEACH Act) of 2002.

It is illegal for anyone to violate the rights provided to the owner of a copyright. The Copyright Act contains provisions prescribing damages that can be assessed if infringements are committed. In civil cases, the law allows the assessment of actual damages or statutory damages. For each infringement, statutory damages range from \$250 to \$10,000.

These rights, however, are limited in scope. Copyright protections eventually expire and the previously protected material becomes part of the public domain and available for use by the public at large. Material produced by the U.S. government is exempt from copyright, as taxpayers have funded its creation. Sections 107-118 of the Copyright Act establish limitations to copyright protections.

One major limitation is the doctrine of "fair-use" which is given statutory basis in Section 107 of the Act.

Copyright Fair Use at the University

Section 107 of the Copyright act states that the fair-use of a copyrighted work, including use by reproduction in copies, is not an infringement of copyright for certain purposes, such as criticism, comment, teaching (including multiple copies for classroom use), scholarship or research. In determining fair-use, each of the following four factors should be considered:

1. the purpose and character of the use, including whether such use is of a commercial nature or is for non-profit educational purposes;
2. the nature of the copyrighted work;
3. the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. the effect of the use upon the potential market for or value of the copyrighted work.

The following guidelines are based on these factors. They illustrate proper use of copyrighted material under the fair-use doctrine for teaching, research, library/media, computer, and archives copying. The directives outlined below should be taken as minimum standards for properly exercising fair use of the copyrighted materials.

Permissible Photocopying

The copyright law allows anyone to photocopy copyrighted works without securing permission from the copyright owner when the photocopying amounts to a "fair use" of the material, and applies to all forms of photocopying, whether undertaken, for example, at a commercial copying center, at the University's departmental copying facilities or at a self-service machine. Users of commercial or departmental copy services should be prepared to provide documentation of permission from the publisher or copyright owner when such copying is beyond the limits of fair use described below.

Instructions for securing permission to photocopy copyrighted works appear at the end of this guide. It is the policy of this University that the user (faculty, staff, or student) secure permission whenever it is legally required.

To assure compliance with the law, all public copy machine installations at the University will display one of the following notices. Notices must be printed on heavy paper or other durable material in type at least 18 points in size. Notices must be clearly visible and legible to the casual observer within the immediate vicinity.

Supervised Copier where Materials are Brought to be Copied by Designated Operator

NOTICE - WARNING CONCERNING COPYRIGHT RESTRICTIONS

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted materials.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specific conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess "of fair use" that user may be liable for copyright infringement.

This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.

Unsupervised or Self-Service (Coin-Operated) Copier

NOTICE : The copyright law of the United States (Title 17 U.S. Code) governs the making of photocopiers or other reproductions of copyrighted material. The person using this equipment is liable for any infringement of the copyright law by themselves or others under their direction or control.

Fair-Use Guidelines for Copying

Single Copying for Faculty

A single copy may be made of any of the following by or for a faculty member at his or her individual request for scholarly research or use in teaching or in preparation for teaching a class:

- One chapter of a book
- One article from a periodical or newspaper
- One short story, short essay or short poem, whether or not from a collective work
- One chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper.

Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per student in a course) may be made by or for the faculty member giving the course for classroom use or discussion; provided that:

The copying meets the tests of brevity and spontaneity defined below, and Meets the cumulative effect test defined below, and Each copy includes a notice of copyright.

Definitions for Multiple Copies for Classroom Use

Brevity

- | | | |
|-----|---------------|---|
| (1) | Poetry | |
| | (a) | complete poem if less than 250 words and if printed on not more than two pages, or |
| | (b) | From a longer poem, an excerpt if not more than 250 words. |
| (2) | Prose | |
| | (a) | either a complete article, story or essay of less than 2,500 words, or |
| | (b) | an excerpt from any prose work if not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words. (Each of the numerical limits stated in "1" and "2" above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.) |
| (3) | Illustration | One chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue. |
| (4) | Special Works | Certain works in poetry, prose or in "poetic prose" which often combine language and illustrations and which are intended sometimes for children and at other times for a more general audience fall short of 2,500 words in their entirety. Item "(a)" above notwithstanding, such "special" works may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10% of the words found in the text thereof, may be reproduced. |

Spontaneity

1. The copying is at the instance and inspiration of the individual faculty member, and
2. The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

Cumulative Effect

1. The copying of the materials is for only one course in the institution in which the copies are made.
2. Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.
3. There shall not be more than nine instances of such multiple copying for one course during one class term.

The limitations stated in "1" and "2" above shall not apply to current news periodicals and newspapers and current news sections of other periodicals.

Library Reserve

At the request of a faculty member, libraries of the University may place on reserve one copy of excerpts from copyrighted works in accordance with the fair use guidelines above. For example, a library may place on reserve one copy of an entire article, or an entire chapter from a book, or an entire poem. Whenever appropriate for collection development purposes, the library will purchase one copy of a book from which a chapter has been placed on reserve. *Multiple copies of parts of books, periodicals, or media will not be placed on reserve without the publisher's or copyright holder's prior permission.* The Sherrod Library may pay up to \$50.00 to the publisher through the Copyright Clearance Center for each instance of material placed on reserve by faculty.

Instructions for securing permission to make multiple photocopies of copyrighted works appear at the end of this guide.

Uses of Photocopied Material Requiring Permission

Repetitive copying: The classroom or library reserve use of photocopied materials in multiple courses and sections, or in successive semesters requires advance permission from the owner of the copyright.

Consumable works: The duplication of works that are consumed in the classroom such as standardized tests, exercises, and workbooks requires permission from the copyright owner.

Creation of anthologies as basic text material for a course: Creation of a collective work or anthology by photocopying a number of copyrighted articles and excerpts to be purchased and used together as the basic text for a course requires the permission of the copyright owners.

Copying for profit: Faculty should not charge students more than the actual cost of photocopying the material that is given to each student.

Interlibrary Loan

All interlibrary loans originating at the University will be processed by the Interlibrary Loan department of Sherrod Library (the Colleges of Medicine and Pharmacy will utilize the Quillen Learning Resources Center or medical library). The library will be responsible for maintaining all records required by the Copyright Law, and the guidelines of the National Commission on New Technological Uses of Copyrighted Works

("CONTU"). During a single calendar year the library may obtain from the previous five years of publication no more than five articles from any one journal title it does not own, unless permission is granted to exceed this limit. After this CONTU guideline is exceeded, the applicable library will pay appropriate copyright fees to the affected publisher through the Copyright Clearance Center.

Off-Air Videotape Recording for Educational Purposes

The following guidelines are derived from the statement adopted by the Kastenmeier House Subcommittee on Courts, Civil Liberties and administration of Justice. The guidelines apply only to off-air recording by non-profit educational institutions and to programming from commercial and public broadcast television networks received via transmission by a local television station or a local subscription cable service. They are not intended to apply to direct taping of a satellite feed, which requires advance permission from the copyright holder.

A broadcast program may be recorded off-air simultaneously with broadcast transmission and retained by the University for a period not to exceed the first 45 consecutive calendar days after date of recording. Upon conclusion of such retention period, all off-air recordings must be erased or destroyed immediately. "Broadcast programs" are television program transmitted by television stations for reception by the general public without charge.

Off-air recordings may be used once by individual faculty in the course of relevant teaching activities, and repeated once only when instructional reinforcement is necessary, in classrooms and similar places devoted to instruction within a single building, cluster or campus, as well as in the homes of students receiving formalized home instruction, during the first ten consecutive school days in the 45 calendar day retention period.

Off-air recordings may be made only at the request of and used by individual faculty, and may not be regularly recorded in anticipation of requests. No broadcast program may be recorded off-air more than once at the request of the same faculty, regardless of the number of times the program may be broadcast.

After the first ten consecutive school days, off-air recordings may be used up to the end of the 45 calendar day retention period only for teacher evaluation purposes; that is, to determine whether or not to include the broadcast program in the teaching curriculum, and may not be used in the recording institution for student exhibition or any other non-evaluation purpose without authorization.

Off-air recordings need not be used in their entirety, but the recorded programs may not be altered from their original content. Off air recordings may not be physically or electronically combined or merged to constitute teaching anthologies or compilations.

All copies of off-air recordings must include the copyright notice on the broadcast program as recorded.

Public Performance of Videotapes and Audiovisual Works

The concept of nontheatrical performances, which was well established prior to the 1976 copyright revision, still applies to films and filmstrips, but not to videotapes. Many videotapes are now available for inexpensive purchase or rental with a label warning "For Home Use Only." Because copyright proprietors hold exclusive rights to display and perform their works, purchase or rental of these materials does not include the right to perform publicly.

While educational use does involve public performance, Section 110 of the Copyright Act provides an exemption for face-to-face teaching activities of a nonprofit educational institution, which is assumed (in the absence of a test case) by most parties to apply to "home use only" tapes as well as those specifically intended for instructional applications. The limitations of what is permissible under this exemption are as follows:

- a. They must be shown in nonprofit educational institutions.
- b. They must be shown only to students and educators.
- c. They must be shown by students, instructors, or guest lecturers.
- d. They must be shown in a classroom or other school location devoted to instruction.
- e. They must be shown either in a face-to-face setting or where students and teacher(s) are in the same building or general area.
- f. They must be shown using a legitimate (that is, not illegally reproduced) copy with the copyright notice included.

Performance of audiovisual works, even in nonprofit education institutions, is prohibited without permission of the copyright holder when:

- a. They are used for entertainment, recreation, or even for their cultural or intellectual value but are unrelated to teaching activity.
- b. They are transmitted by radio or television (either closed or open circuit) from an outside location.
- c. They are shown in an auditorium or stadium before an audience not confined to students, such as a sporting event or community lecture or arts series.
- d. They involve an illegally acquired or duplicated copy of the work.

The Technology, Education and Copyright Harmonization Act of 2002 (TEACH Act) addresses such performances in online classes. Fair use guidelines apply, and access to copyrighted material must be controlled in the following manner:

- Material is only for use by students;
- Viewing the material is restricted to students enrolled in the class;
- Ability to further copy the material is restricted
- Copyright notice is displayed

Duplication of Recordings, Films, Slides, and Other Audiovisual Works

Generally, permission must be obtained for any duplication of non-musical sound recordings, films, slides and other audiovisual works that are copyrighted. The following guidelines are considered within the ambit of fair use at the University for the two audiovisual categories described.

Photographic Copying

Photographic copying of a single copy of one chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper may be made, provided the copy is used for scholarly research, teaching, or preparation to teach a class.

Non-Music Audio Recording

A single audio recording copy may be made if it corresponds to the spoken version of a chapter from a book, an article from a periodical, a short story, short essay or short poem, whether or not from the collective work, and provided the copy is used for scholarly research, teaching, or preparation to teach a class.

Music

Permissible Uses

Emergency copying to replace purchased printed copies of music that for any reason are not available for an imminent performance provided purchased replacement copies shall be substituted in due course.

For academic purposes other than performance, single or multiple copies of excerpts of works may be made, provided that the excerpts do not comprise a part of the whole which would constitute a performable unit such as a section, movement, or aria, but in no case more than (10%) of the whole work. The number of copies shall not exceed one copy per pupil.

For academic purposes other than performance, a single copy of an entire performable unit (section, movement, aria, etc.) that is (1) confirmed by the copyright proprietor to be out of print, or (2) unavailable except in a larger work, may be made by or for a teacher solely for the purpose of his or her scholarly research or in preparation to teach a class.

Printed copies that have been purchased may be edited or simplified provided that the fundamental character of the work is not distorted or the lyrics, if any, altered or lyrics added if none exist.

A single copy of recordings of performance by students may be made for evaluation or rehearsal purposes and may be retained by the educational institution or individual teacher. A single copy of a sound recording (such as a tape, disc, or cassette) of copyrighted music may be made from sound recordings owned by an educational institution or an individual teacher for the purpose of constructing aural exercises or examinations and may be retained by the educational institution or individual teacher. (This pertains only to the copyright of the music itself and not to any copyright that may exist in the sound recording).

Prohibitions

The following acts of copying copyrighted materials are prohibited:

- Copying to create or replace or substitute for anthologies, compilations, or collective works.
- Copying of or from works intended to be "consumable" in the course of study or teaching, such as workbooks, exercises, standardized tests, answer sheets and like material.
- Copying for the purpose of performance, except as listed under Permissible Uses.
- Copying for the purpose of substituting for the purchase of music, except as in Permissible Uses.
- Copying without inclusion of the copyright notice that appears on the printed copy.

Archives

In order to comply with the Copyright Act while at the same time making its resources as freely available to researchers as possible, the Archives of Appalachia will:

- a. Seek to have copyright transferred in writing at the time manuscripts are transferred.
- b. Make written notes on the identity of the copyright holders when copyright is not transferred, insofar as the information is available, and freely share this information with interested researchers.
- c. In the printed regulations and rules for use of the Archives, explain that it is primarily the researcher(s) responsibility to inform him/herself regarding the copyright status of the records he/she uses.
- d. Display the required copyright warnings, and notices in the research room on copy request forms and on the copies themselves.
- e. Require all users requesting photocopies to complete a "Request for Photoduplication" form, which includes a statement of purpose and of assumption of all liability for copyright infringement by the user. These forms will be permanently maintained by the Archives and will be consulted whenever a systematic copying endeavor appears to be underway.
- f. Refuse to make copies or give permission to quote copyright-protected items to commercial vendors without written permission of copyright owners.
- g. Refuse to copy or to give permission to quote records that the Archives has agreed not to reproduce.
- h. Freely permit copying and publication of all records whose copyright the Archives controls except that for-profit publications will be expected to pay a standard fee for use of materials.

Computer Programs and Documentation

The Office of Computer Services has adopted the following policy on the use and copying of microcomputer programs and documentation:

- a. The Office of Computer Services does not sanction, encourage, condone, or consent to unauthorized software use.
- b. The software collections in the microcomputer laboratories will utilize, hold, and distribute only public domain software and documentation and authorized original, backup and archival copies of copyrighted software and documentation.
- c. Instructors of courses, workshops or other instructional offerings conducted in the microcomputer laboratories are requested to utilize only authorized copies of copyrighted software and documentation.
- d. Copying or otherwise reproducing any part of a copyrighted program or its documentation which would be in violation of the licensing agreement will not be sanctioned without written and specific permission of the copyright holder.

In addition, the Tennessee Board of Regents Office of General Counsel has issued the following statement, which serves as the University's guidelines:

"The unauthorized use or distribution of computer software violates federal and state laws. The making of copies of microcomputer software is subject to the federal copyright laws. Violation of such laws may result in the filing of a civil law suit against the alleged infringer. If infringement is proven, the infringer may be ordered by the court to pay monetary damages. It is also a violation of the State Computer Crimes Act to acquire or use computer software without proper authorization. Such illegal activity may result in criminal prosecution. In

addition, any such activity may subject the employee to disciplinary sanctions, including termination. Moreover institutional employees may be held personally liable in civil actions for activities that are in violation of the state law and/or Board policy. The educational 'fair use' defense to liability for copyright infringement is extremely limited as defined by federal statute. It affords no special protection to the unauthorized use of computer software. A license to use or make copies of computer software programs must be procured by contractual agreement. The execution of such license agreement is subject to applicable Board policies and guidelines. It is recommended that software that is not acquired by the institution pursuant to a license agreement approved by the Board should not be used without written permission of the campus director of the computer facilities.

Sources of Information

Public Law 94-553. 94th Congress. Oct 19, 1976. Title 17 – Copyrights:

<http://www.copyright.gov/title17> of the U.S. Copyright Act (Chafee Amendment) of 1996: <http://www.loc.gov/nls/reference/factsheets/copyright.html>

Digital Millennium Copyright Act (DMCA) of 1998: <http://www.copyright.gov/legislation/dmca.pdf>

Technology, Education and Copyright Harmonization Act (TEACH Act) of 2002: <http://www.copyright.gov/legislation/pl107-273.html>

Gasaway, Laura. When U.S. Works Pass Into the Public Domain: <http://www.unc.edu/~uncclng/public-d.htm>

ETSU Office of Computer Services "Policy on the Use of Copying of Microcomputer Programs and Documentation." Pieces of Eight. 4:5, Jan 85. pp. 4-5

Suggestions for Obtaining Permission to Reproduce Copyrighted Material

Experience has shown that faculty have greater success than the library in obtaining permission from copyright owners to reproduce and/or reuse copies for teaching. Generally, all that is asked of faculty by the copyright owner is that they follow fair use provisions of the copyright law with regard to educational purpose, brevity of the copied material, consideration for the cumulative effect of copying, and that a notice of copyright ownership be included on the reproduced material. In a few cases, however, the copyright owner might ask for a monetary payment, set specific conditions, or even deny permission outright. In the case of library reserve, the faculty member assumes full responsibility for following copyright requirements. The following facts are necessary in any letter requesting permission to reproduce additional copies and/or reuse of copyrighted material for educational purposes:

- a. Title, author, and/or editor, and edition of material to be duplicated.
- b. Exact material to be used; page numbers, chapters, and if practicable, a photocopy of the material.
- c. Number of copies you will be reproducing and/or reusing.
- d. Use to be made of the duplicated materials; that is, educational research use, or classroom teaching.
- e. Form of distribution; library reserve, classroom distribution, etc.
- f. Whether or not the material is to be sold.
- g. Type of reproduction; photocopy, ditto, offset, typeset, etc.

04/03/89; 07/11

Drug-Free Campus Policy Statement

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP26.aspx>

07/23/90; Effective 03/06; policy changes will appear on the webpage cited

Faculty Senate

Refer to the ETSU Faculty Senate website at

<http://www.etsu.edu/senate/>

07/13;

Harassment Policy

Refer to ETSU Personnel Policies and Procedures Manual for both policy and procedures at

<http://www.etsu.edu/humanres/relations/ppp-30.aspx>

Effective 03/06; policy changes will appear on the webpage cited

Information Technology Services Policies

Acceptable Use of Technology

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/acceptable-use.aspx>

Effective since 11/15, policy changes will appear on the webpage cited

Code of Ethics

Refer to ETSU Personnel Policies and Procedures (PPP-44) linked from ITS Policy List:

<http://www.etsu.edu/its/policies/code-of-ethics.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Complaint Resolution Process

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/resolution-process.aspx>

10/05; Effective 11/15, policy changes will appear on the webpage cited

Computer Policy for Retirees

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/policy-for-retirees.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Design and Installation Standards

Refer to the ITS Policy List at:

http://www.etsu.edu/its/documents/etsu_its_guidelines.pdf

Effective 05/15, policy changes will appear on the webpage cited

Electronic Mail

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/electronic-mail.aspx>

08/10/04; Effective 11/15, policy changes will appear on the webpage cited

Firewall

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/firewall.aspx>

03/10; Effective 11/15, policy changes will appear on the webpage cited

Hardware Maintenance

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/hardware-maintenance.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Intellectual Property Rights

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/intellectual-property-rights.aspx>

Effective 08/15, policy changes will appear on the webpage cited

ITS-Sponsored PCs

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/its-pcs.aspx>

12/09; Effective 11/15, policy changes will appear on the webpage cited

Password Change

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/password-change.aspx>

Effective 11/15, policy changes will appear on the webpage cited

PC Installation

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/pc-installation.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Personal Information Security Breach

Refer to the ITS Policy (linked to Tennessee State Code Annotated 39-14-150) List at:

<http://www.etsu.edu/its/policies/personal-information-security-breach.aspx>

08/10/10; Effective 11/15, policy changes will appear on the webpage cited

Portable Computational Device Security

Refer to the ITS Policy (linked to Tennessee State Code Annotated 47-18-2901) List at:

<http://www.etsu.edu/its/policies/portable-computational-device-security.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Six Year (Hardware Obsolescence)

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/six-year.aspx>

Effective 08/15, policy changes will appear on the webpage cited

University Computing Standards

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/university-computing-standards.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Virtual Private Network (VPN)

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/vpn.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Wi-Fi

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/wireless-networking.aspx>

11/16/06; Effective 11/15, policy changes will appear on the webpage cited

Administrator Access

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/administrator-access.aspx>

01/07; Effective 11/15, policy changes will appear on the webpage cited

Closed Captioning

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/captioning.aspx>

11/14; Effective 11/15, policy changes will appear on the webpage cited

eRate

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/erate.aspx>

06/10; Effective 11/15, policy changes will appear on the webpage cited

HEOA Compliance

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/heoa-compliance.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Incident Weather

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/inclement-weather.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Instructor Access

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/instructor-access.aspx>

10/08; Effective 11/15, policy changes will appear on the webpage cited

Web-Based Courses

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/web-course.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Acceptable Use on the Web

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/acceptable-use-web.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Accessibility for the Web

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/web-accessibility.aspx>

Effective 11/15, policy changes will appear on the webpage cited

Calendar of Events

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/calendar.aspx>

01/09; Effective 11/15, policy changes will appear on the webpage cited

Web Design & Publishing

Refer to the ITS Policy List at:

<http://www.etsu.edu/its/policies/web-traditional.aspx>

11/11; Effective 11/15, policy changes will appear on the webpage cited

ETSU Data

ETSU data and data files in any media are to be considered and treated as sensitive data. Any ETSU-generated information; i.e., papers, letters, documents, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material regardless of physical form or characteristics made or received in connection with the transaction of official ETSU business, is classified as ETSU data.

All employees have access to various types of ETSU data. These data are considered sensitive and in some cases confidential and are the property of ETSU. Data should not be released in any fashion without the consent of those authorized for its release. All data files for the University are protected by the Computer Crimes Act, Tennessee Code Annotated Sections 39-14-601 et seq., as well as the Copyright Act of 1976, 17 U.S.C. Sections 101 et seq., or any other law that may be applicable, and ETSU Financial Procedures Policy FP-12. In addition, employees with access to student record information should be aware this information is considered privileged and confidential. These records are protected under the Family Educational Rights and Privacy Act (FERPA) of 1974 as well as Tennessee Code Annotated Section 10-7-301, 10-7-503 and 10-7-504 and ETSU Financial Procedures Policy FP-12 (Public Records-Inspecting and Copying).

Guidelines concerning dissemination of ETSU data have been included in the ETSU Faculty Handbook, Personnel Policies and Procedures Manual, and ETSU Student Worker Handbook.

Any questions concerning the release of data should be directed to Director of University Relations or through appropriate channels to the Office of any Vice President.

Banner

Banner is the name of the administrative software that serves ETSU. It replaces FRS, SIS, HRS and ADS. Additional information can be found at the following link:

<http://www.etsu.edu/banner/default.aspx>

Effective 10/11, policy changes will appear on the webpage cited

ITS Computer Labs

There are several student computer labs throughout the ETSU campus. Linked below are the ITS labs with a brief overview of each, hours of operation, and information about the computer equipment and printers in each lab.

<http://www.etsu.edu/oit/facultystaffinfo/pclabinfo.aspx>

http://www.etsu.edu/oit/special/Campus_Lab_Inventory.aspx

Effective 10/11, policy changes will appear on the webpage cited

Multimedia Classrooms

Information Technology Services, in conjunction with the Technology Access Fee Committee plans, constructs and maintains the multimedia classrooms at the main campus and also at the remote campuses. A listing of all the classrooms with more detailed information can be found at the link below:

<http://www.etsu.edu/oit/special/multimedia.aspx>

07/19/10; Effective 10/11, policy changes will appear on the webpage cited

Workshops

Workshops and seminars are offered periodically and include a wide variety of computer-related topics. A current list of workshops can be found at:

http://www.etsu.edu/academicaffairs/elearning/ats/training/workshop_catalog.aspx

Faculty and staff are invited to participate in all workshops and seminars conducted by Academic Technology Support.

Effective 10/11, policy changes will appear on the webpage cited

Consulting

Consultation and technical and programming assistance through the Client Support Services staff are available to the faculty and staff. Services are provided subject to staff workload. Faculty developing research proposals are requested to consult with Information Systems in determining the scope and nature of their computer research needs. Analysts are available in the office of Information Technology Services who will provide consultation to the faculty in research design; assist in getting data into the computer; help faculty to utilize the available packaged programs; help develop computer-assisted instruction material for classroom use; and, in general, help the faculty in the field of research and the use of the computer.

Information Technology Governance Committee (ITGC)

<http://www.etsu.edu/oit/about/itgc.aspx>

07/10/01; Effective 10/11, policy changes will appear on the webpage cited

Academic Technology Support Services

Academic Technology Support (ATS) provides ETSU's faculty and academic staff with training, resources, and support needed to use technology in their teaching and research. Additional information about ATS can be found at:

<http://www.etsu.edu/academicaffairs/elearning/ats/>

09/96; 11/20/97 (10/19/00); 06/28/11; Effective 10/11, policy changes will appear on the webpage cited

Intellectual Property Policy

Refer to the Office of Research and Sponsored Programs:

http://www.etsu.edu/research/documents/IPTT_ETSU_Intellectual_Property_Policy.pdf

05/04/84; 06/08/06; Effective 10/11, policy changes will appear on the webpage cited

Misconduct in Scholarship and Research

Refer to the Office of Research and Sponsored Programs:

http://www.etsu.edu/research/Misconduct_Policy.aspx

12/04/97; Effective 10/11, policy changes will appear on the webpage cited

Nepotism Policy

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP29.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Safety and Security on Campus

East Tennessee State University is committed to the safety and security of everyone on campus. In its continuing effort to maintain a safe and healthy campus environment for students, faculty, and staff, ETSU provides the following safety website Staying Safe On Campus (<http://www.etsu.edu/safety/>). The website functions as a clearinghouse for safety related information and resources available to our campus community. This information is presented to the university community with the knowledge that individual awareness and adherence to university security policies and procedures is the best method to maintain a safe campus environment.

ETSU has initiated a number of services and programs designed to provide the university community with additional options for students, faculty and staff to stay safe while on campus. Also included on the website is information about ETSU's emergency preparedness efforts. Emergencies can happen at any time, and how well ETSU responds is related to how well the campus community is prepared. Please visit the website and familiarize yourself with the campus' emergency procedures to insure your readiness in the event of an emergency.

7/13;

Smoking / Tobacco Use Policy

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP53.aspx>

8/1/97; Effective 03/06, policy changes will appear on the webpage cited

Section 2: Employment

Definition and Types of Faculty

[Employee Grievance/Complaint Procedures](#)

[Equal Opportunity for Employment](#)

[Faculty Progressive Discipline Guidelines](#)

[Faculty Ranks and Promotion](#)

[Financial Exigency Policy](#)

[Hiring Procedures for Faculty](#)

[Personnel Policies: Records, Leaves, Retirement, Benefits](#)

[Promotion Policy for Lecturers](#)

[Selection and Periodic Review of Academic Administrative Personnel](#)

[Standards of Conduct for Faculty](#)

[Tenure](#)

[Workload, Reporting, and Evaluation for Full-Time Faculty](#)

[Workplace Violence Prevention Guideline](#)

Definition and Types of Faculty

TBR Policy 5-02-01-00 contains the Board's official definition of faculty: <https://policies.tbr.edu/policies/definition-faculty>

TBR 5:02:01:00; 09/30/83; Effective 03/06, policy changes will appear on the webpage cited TBR Policy 5:02:07:10 <https://policies.tbr.edu/policies/faculty-appointments-universities> defines the following types of faculty appointments.

Temporary Appointments

Temporary appointments are appointments for a specific purpose for a time appropriate to that purpose or for an unspecified period, which appointments may be terminated according to the terms of the contract of employment or appointment. Temporary appointments ordinarily should be used only for lecturers, adjunct or part-time faculty, faculty employed to replace regular faculty on leave of absence, and faculty employed pursuant to grants or for projects funded in whole or in part by non-appropriated funds. In addition, temporary appointments may be used for faculty employed on the basis of state appropriated funds in departments, divisions, or other academic units where the permanent and continued need for the position has not been established, provided that such appointments normally should not be in excess of three academic years. After that, the position can be re-advertised, and the instructor can apply again and be hired if he/she is the best candidate. Appointments of faculty members supported by more than fifty percent (50%) grant funds or other soft money sources, may be approved by the university presidents for periods in excess of three years. Other extensions of temporary appointments for periods in excess of three (3) years require the approval of the Chancellor.

Post Retirement

Refer to the Tennessee Board of Regents policy 5:01:03:03 at:

<https://policies.tbr.edu/policies/retirement-plans>

Refer to the Tennessee Board of Regents Guideline P-160 at:

<https://policies.tbr.edu/guidelines/post-retirement-service-program-tenured-faculty>

Tenure-Track Appointments

Tenure-track appointments are appointments for regular full-time faculty with academic rank and may be for the academic or fiscal year. Tenure-track appointments are for faculty who are employed in a probationary period of employment prior to consideration for tenure. Tenure-track appointments shall not include any right to permanent or continuous employment, shall not create any manner of legal right, interest, or expectancy of renewal or any other type of appointment, and shall be subject to annual renewal by the institution.

Tenured Appointments

Tenure appointments are appointments of full-time faculty who have been awarded tenure by the Board pursuant to the provisions of this policy. To protect academic freedom, tenure appointments include the assurance of continued employment for the appointment year for an indefinite period, subject to expiration, relinquishment, or termination of tenure as hereinafter provided. Such appointments do not include assurance of continued employment at any specified salary, position, or employment during summer sessions or intersessions. No faculty member shall acquire or be entitled to any interest in a tenure appointment at a university without a recommendation for tenure by the president of the university and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member, and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at the university, provided that no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

Recommendations for or against tenure should originate from the department or academic program unit in which the faculty member is

assigned and should include appropriate participation in the recommendation by tenured faculty in the department or academic program unit.

Clinical-Track Appointments

Clinical-track appointments (a) are full-time faculty appointments, (b) are non-tenurable appointments for a fixed term, (c) are renewable, (d) permit promotion in rank, and (e) permit conversion of the appointment to tenure-track at any time prior to but not later than the expiration of the first three-year term, depending on funding availability and faculty performance. In instances where the appointment is converted to tenure-track, the three (3) years served in the clinical-track appointment, at the discretion of the president, may be credited toward the individual's probationary status. Faculty in this classification participate in the academic programs by providing professional services, by exposing students to their professional expertise, and by directing students' educational experiences in clinical/professional settings where the faculty members practice. Clinical-track appointments may be supported, in whole or in part, by appropriated funds or funding from grants or contracts, from clinical practice or clinical/professional facilities, or from other sources.

Convertible and Non-convertible Clinical-Track Appointments

A college, academic department or other academic program unit seeking to fill a particular clinical-track appointment may indicate the position is potentially convertible to a tenure track appointment (convertible clinical-track appointment). Convertible clinical-track appointments permit conversion of the appointment to tenure-track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. Convertible clinical-track appointments must follow the search process as defined for tenure-track appointments. Convertible track appointments not converted within the three year period, as defined above, automatically revert to non-convertible clinical-track appointments. Unless specifically identified as convertible, all clinical-track appointments are non-convertible.

Research-Track Appointments

Research-track appointments (a) are full-time faculty appointments, (b) are non-tenurable for fixed terms, (c) are renewable, (d) permit promotion in rank and (e) permit conversion of the appointment to tenure track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. In instances where the appointment is converted to tenure-track, the three (3) years served in the research-track appointment, at the discretion of the president, may be credited toward the individual's probationary status. Faculty in this classification participate in the academic programs by conducting independent research projects and by mentoring students involved in the research process. Research-track appointments may be supported, in whole or in part, by appropriated funds or funding form grants or contracts, or other sources.

Convertible and Non-convertible Research-Track Appointments

A college, academic department or other academic program unit seeking to fill a particular research-track appointment may indicate the position is potentially convertible to a tenure track appointment (convertible research-track appointment). Convertible research-track appointments permit conversion of the appointment to tenure-track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. Convertible research-track appointments must follow the search process as defined for tenure-track appointments. Convertible track appointments not converted within the three year period, as defined above, automatically revert to non-convertible research-track appointments. Unless specifically identified as convertible, all research-track appointments are non-convertible.

Lecturer-Faculty Appointments

Lecturer-faculty appointments (a) are full-time faculty appointments, (b) are non-tenurable, (c) are renewable, and (d) permit promotion in rank. The primary assignment of lecturer-faculty is usually instruction at the undergraduate level.

Initial lecturer-faculty appointments may be granted for up to three years with an annual performance review conducted by the appropriate academic administrator or supervisor. Appointments may be renewed for further terms of up to three years following any satisfactory performance review.

Coordinator Appointments

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

Graduate Faculty Appointments

Guidelines for appointment to the Graduate School Faculty are located in the ETSU Graduate Catalog at: <http://www.etsu.edu/gradstud/documents/forms/gradfacproc212.pdf>

04/27/90; 05/15/91; 4/27/99; 10/18/00; 10/19/00; 02/01; 03/06, Effective 03/15 policy changes will appear on the webpage cited

Emeritus Appointments

East Tennessee State University will honor select faculty members, upon retirement, as emeritus faculty. These individuals will be granted certain rights and privileges in recognition of their honored role in the University community and their ongoing potential for contributions to the intellectual and cultural life of the University.

To be awarded emeritus status, faculty must have served the University for at least 10 years. Faculty should have attained the rank of Professor, Associate Professor or Assistant Professor (under exceptional circumstances Instructors may be considered). When a faculty member's written notice of retirement is received at the Office of Human Resources, that office will notify the faculty member and respective department chair of eligibility for emeritus status. The retiring member will be asked if he/she wishes to participate in the emeritus procedure. Within one month of receiving the retirement notice from the Office of Human Resources, the chair will convene the department's faculty to review the qualifications of the emeritus faculty candidate as presented in CV and other supporting documentation. Candidates will be

nominated for emeritus status by majority vote. Those nominated will have materials submitted for recommendation by respective Deans and the Academic Vice President/Health Affairs Vice President, and then sent to the Office of the President where final decision will be made. (The President will have access to the Department's nomination and assessment materials, as well as decisions of approval by Deans and the appropriate Vice President.)

The title Emeritus will follow the faculty member's rank upon retirement, i.e., Professor of History, Emeritus. If the recipient is a woman, the feminine ending is used, i.e., Professor of History, Emerita. Emeritus or Emerita status will become effective July 1 of each year, and public recognition of this status will occur annually. A list of all emeritus faculty should be included in the University catalog and other appropriate documents.

Emeritus faculty, as all retired faculty, shall be privileged to maintain an identification card entitling them to certain University privileges. These will include library use, faculty parking permit, reduced rates for athletic events and other privileges which do not exert undue financial burdens on the University. In addition, Emeriti may request the use of available office or laboratory space or may apply, upon approval, for University grants under the same rules as other faculty.

04/95; 07/01/95; 11/15/07

Joint Administrative Appointments: Faculty Role in Departmental Matters-Administrators with Faculty Status

In order to ensure free discussion, clarify roles, and avoid any semblance of conflict of interest or undue influence, faculty members in administrative positions other than departmental chairs will not participate or vote in department matters or meetings. Exceptions to this university policy may be made only by the affirmative majority vote of the faculty of the affected department. The protocol for documenting any exception to this policy will be implemented at the time of initial administrative appointment of any individual who has faculty status but is serving in an administrative position. If a department by affirmative majority vote accords an exception to the policy for an individual, that fact will be noted in writing by the department chair and will be recorded in documentation of the administrative appointment.

03/10; 10/13/11

Employee Grievance/Complaint Procedures

Purpose

The purpose of these procedures is to provide a clear, orderly, and expedient method through which all employees of East Tennessee State University may process bona fide grievances or complaints.

Policy Statement

It is the intention of East Tennessee State University to provide an effective process for the resolution of problems arising from the employment relationship or environment. To this end, a formal grievance/complaint procedure has been established for the use and benefit of all employees. It is the responsibility of administrative, academic, and line supervisors to inform and make available to all employees information concerning these procedures. When an employee believes a condition of employment affecting him/her is unjust, inequitable or a hindrance to the effective performance of his/her employment responsibilities, he/she should seek resolution through this mechanism without fear of coercion, discrimination or reprisal. The objective of East Tennessee State University's Grievance/Complaint Procedures is to make every effort to resolve a grievance/complaint at the lowest possible step. Toward this end, faculty are encouraged to communicate openly with their immediate supervisors and to consult with a trained procedural consultant (so designated by the Faculty Concerns and Grievance Committee for the university and trained appropriately for the position) for clarity about definitions of grievances and complaints and procedures for advancing either.

Scope

These procedures apply to all employees and cover all employment related issues with the exception of Sexual Harassment, Affirmative Action Matters, and Tenure. The institution has a separate set of guidelines for the processing of Sexual Harassment complaints and matters involving Affirmative Action (i.e., unlawful discrimination on the grounds of race, religion, color, sex, age, handicap, nation origin, or veteran status). Sexual Harassment complaints should be filed with those individuals outlined in the Sexual Harassment Plan while Affirmative Action matters should be filed with the Affirmative Action Director. Furthermore, a separate Committee on Promotion/Tenure appeals exists for the disposition of matters involving tenure or promotion.

Moreover, an employee may choose to utilize these procedures for review by the grievance committee (established pursuant to the within guidelines) in the following situations:

Actions relating to the suspension of employees for cause or termination in violation of an employment contract which fall under TBR Policy 1:06:00:05 (cases subject to TUAPA); or,

Actions related to TBR Policy 5:02:03:00, Section III. 16. b. (2) (suspension of tenured faculty). Furthermore, the University may choose to utilize these procedures for review by the grievance committee (established pursuant to the written guidelines) when resolving a matter initiated pursuant to TBR Policy 5:02:02:00 (faculty promotion).

Definitions

Matters Subject to the Grievance or Complaint Procedure

There are two (2) types of matters that may be addressed by these procedures: (1) grievances subject to committee review; and, (2) complaints that must be resolved without committee review.

1. Grievance (committee review available)

An employee may only grieve those matters which result from any action the Institution has taken against the employee which:

- o Violates school or TBR policy, or involves an inconsistent application of those policies; or,
- o Violates any constitutional right including, but not limited to the First, Fourth, or Fourteenth Amendments to the Federal Constitution and specifically, but again not limited to, actions that hamper free speech, freedom of religion, the right to association, personal and professional property rights, provides for improper search and seizure, or denies constitutionally required notice or procedures.

2. Complaint (committee review not available)

A complaint is a concern an employee wants to discuss with supervisory personnel in an effort to resolve the matter. Personnel actions such as performance evaluations, rates of pay, position reclassification, or position termination due to reduction in force are not defined as complaints.

In effect, in order for a personnel action such as those described in the preceding paragraph to be formally challenged by an employee or faculty member, the action must be the result of an alleged violation of school or TBR policy, an inconsistent application of those policies, a violation of any constitutional right, et. seq. (Note: bases for challenges are listed in "Scope" and "Definitions.")

This section recognizes that the informal "give-and-take" traditionally associated with the employment process will not be altered and that an employee should feel free to express dissatisfaction with the working environment; however, there is an appropriate framework for expressing personal dissatisfaction, which this policy attempts to outline.

Employees

All references to the term "employee(s)" contained in these procedures only include administrators, faculty (full-time or temporary contracts), professionals, clerical, and support personnel. Probationary employees are also included in the definition; however, student workers, graduate assistants, adjunct faculty, and temporary workers are not included in the definition of employee as it pertains to the grievance procedure.

Grievance Committee

There are two grievance committees utilized by the University. The two types are the (1) Faculty Concerns and Grievances Committee, and (2) Non-Faculty Grievance Committee.

a. Faculty Concerns and Grievances Committee

The Faculty Concerns and Grievance Committee shall (a) designate a panel of three faculty members to serve the university as procedural consultants; (b) participate with the University Attorney in training procedural consultants in the definitions, policies, and procedures related to filing both grievances and complaints; (c) serve, when asked by the faculty member, as a consultative body for the development of any grievance or complaint, subject to guidelines and restrictions of this process stated in the section on Faculty Senate Policy for Faculty Grievances; and (d) shall only consider and forward recommendations to the President on those matters which meet the criteria for grievances—with those problems which are deemed complaints to have their ultimate resolution through the Office of the President of the University.

b. Non-Faculty Grievance Committee

The Non-Faculty Grievance Committee shall only consider grievances brought by non-faculty members. The Non-Faculty Grievance Committee shall also be selected from a Non-Faculty Grievance Pool and shall be activated for individual grievances only.

1. Non-Faculty Grievance Committee Pool

The President shall select a pool of potential committee members who will receive training by the Office of Human Resources regarding the University's Grievance procedure. Six (6) full-time permanent employees from each non-faculty EEO category will be selected by the President to serve as Pool Members. Their terms of service will be staggered such that two (2) members from each EEO category will serve a one (1) year term, two (2) members will serve a two (2) year term, and two (2) members will serve a three (3) year term. These individuals may serve subsequent terms but may not succeed themselves and the President shall replace all vacated positions. Furthermore, the percentage of females and minorities on the Non-Faculty Grievance Pool shall reflect as closely as possible their representation at the University at large. The following personnel, however, shall not be eligible to serve as members of the Non-Faculty Grievance Pool: personnel in the Office of the President; personnel employed in the Offices of the Vice Presidents; or employees of the Office of the Internal Auditor, Payroll Office, or Office of Human Resources.

2. Non-Faculty Grievance Committee Selection

The President shall select the Grievance Committee which shall consist of three (3) members selected from the Grievance Committee Pool. At least one member of the grievant's peer group must serve on the committee; however, relatives, employees who have supervisory responsibility over the aggrieved employee, or anyone working in the same department under the same manager or supervisor are ineligible to serve on the committee. The committee shall select a chairperson and conduct an impartial hearing on the grievance at which it would accept and review all pertinent information presented by the employee as well as any other information it deems appropriate. The committee's review shall be thorough and independent and its recommended action shall be based on a full and fair consideration of all the facts and circumstances.

Immediate Supervisor

That person who is directly responsible for the supervision of the employee's activities.

Next-higher-level Supervisor

That person who is directly responsible for the supervision of the immediate supervisor's activities.

Working Days

Days on which the business offices of the Institution are officially open.

Date of the Decision

Date the decision is communicated to the employee if communicated in person; or, three (3) days after mailing of the decision, if communicated by mail.

Responsibility for Implementation and Compliance

The President of the University has ultimate responsibility for the implementation of these procedures and is the final decision maker in the resolution of complaints. The final decision making authority in any action involving a grievance, pursuant to TBR Policy 1:02:11:00, resides with the Chancellor of the Tennessee Board of Regents.

General Rules of Implementation

The primary responsibility for resolving grievable matters rests with the employee/faculty member and his or her immediate supervisor. Initial steps should always be taken to resolve disputes at this level before proceeding to the following rules of implementation. When a concern or issue has not been resolved informally, and the concern might be foreseen to result in a formal complaint or grievance, the immediate supervisor will refer the faculty member to an appropriate procedural consultant or consultants for consultation and guidance by giving the faculty member a referral card developed and provided by Faculty Senate.

Employees using these procedures shall be entitled to do so without fear of retaliation, interference, coercion or discrimination.

A grievance which is the subject of an action filed with an external body shall not be processed through the University's grievance procedures. The term external body includes a court or federal or state administrative body such as the Equal Employment Opportunity, Office of Civil Rights, or Tennessee Human Rights Commission.

A grievance/complaint must be presented to the employee's immediate supervisor within ten (10) working days after the occurrence of the incident. Any claim not presented within the time frame provided shall be deemed to have been waived. For repetitive or ongoing incidents or circumstances, the grievance/complaint must be filed within ten (10) working days of the last occurrence of such incident or circumstance or of the discovery by the employee of the occurrence. This policy presumes that all employees or faculty members will use good faith and diligence in the discovery of grievable matters.

The grievant/complainant is entitled to be accompanied by an advisor at each step of the procedure; however, the advisor may not act as an advocate on behalf of the individual.

Employees shall be given the opportunity to pursue grievances/ complaints during their assigned work time.

The President may grant reasonable extensions of the applicable time limits at each stage of the procedure upon the timely showing of good cause. The request for an extension must be in writing. The approval or denial of the request shall also be in writing.

Supervisors to whom a grievance is raised and the Grievance Committee may consult the Director of Human Resources for advice on resolving grievances (except for grievances involving an action taken against the grievant by the Director of Human Resources). Copies of all written and associated documentation will be filed in the Office of Human Resources.

There shall be a one-semester time limit placed on all grievable matters. In essence, no grievance may be heard unless the grievable incidence(s) occurred within the semester immediately preceding the current semester or within the current semester.

Grievance/Complaint Process

Steps for Filing a Grievance Only

Discussion with Immediate Supervisor

A grievance must be brought to the attention of the employee's immediate supervisor within twenty (20) working days after the employee becomes aware of the problem. The employee should state the basis for the grievance and the corrective action desired in temperate and reasonable terms. The employee and the supervisor shall discuss the grievance in an attempt to resolve the matter in a mutually satisfactory manner. The supervisor shall conduct any necessary or appropriate investigation and inform the employee of a decision based upon full and fair consideration of all the facts within five (5) working days of the initial discussion. The immediate supervisor will assure that the decision is clearly communicated to, and understood by, the employee. If the employee is satisfied with the decision, no additional action is required. If the employee is not satisfied, the employee may proceed to Step 2 and will be referred to an appropriate procedural consultant or consultants for consultation and guidance by giving the faculty member a referral card developed and provided by the Faculty Senate. If no decision is communicated to the employee within five (5) working days of the initial discussion, the employee may proceed directly to Step 2.

Discussion with Higher-Level Supervisor

If the employee and the immediate supervisor are not able to reach a mutually satisfactory resolution to the grievance, the employee may proceed to discuss the matter with the next-higher-level supervisor within ten (10) working days of the date of the decision of the immediate supervisor. Failure to comply with Step 2 in a timely manner shall be deemed a waiver by the employee for this particular occurrence and the grievance may not be raised again. The next-higher-level supervisor and the employee shall then follow the procedures required in Step 1.

If the employee is satisfied with the decision reached by the next-higher level supervisor, no additional action is required. If the employee is not satisfied, the employee may proceed to Step 3; if the employee has not already seen a procedural consultant, she or he will be referred to an appropriate procedural consultant or consultants for consultation and guidance by giving the faculty member a referral card developed

and provided by the Faculty Senate. If no decision is communicated to the employee within five (5) working days of the initial discussion between the employee and the next-higher-level supervisor, the employee may proceed directly to Step 3.

Written Grievance Statement

If the employee and the next-higher-level supervisor are not able to reach a mutually satisfactory resolution to the grievance the employee may file a written grievance with his/her vice president on the designated form, available online at:

<http://www.etsu.edu/humanres/forms.aspx>

This form shall allow the employee to clearly indicate whether she or he is filing a formal grievance or complaint – or the university may choose to make available two different forms, one for a grievance and one for a complaint: It is the faculty member's responsibility to make her or his own case for the problem being addressed appropriately as either a grievance or a complaint as delineated in this policy. The grievance must be filed within ten (10) working days of the date of the decision of the higher-level supervisor. Failure to comply with Step 3 in a timely manner shall be deemed a waiver by the grievant for this particular occurrence and the grievance may not be raised again.

A copy of the grievance, along with any supporting documentation, shall be given to the immediate supervisor and the next-higher-level supervisor. The vice president may request either or both supervisors to respond in writing to the grievance statement. If the employee is satisfied with the decision reached by the vice president no additional action is required. If the employee is not satisfied the employee may proceed to Step 4. If no decision is communicated to the employee within fifteen (15) working days after filing the grievance with the vice president, the employee may proceed directly to Step 4.

Written Grievance Statement to be Received by the President and Grievance Committee

If the employee and the vice president are unable to reach a mutually satisfactory resolution the employee may file with the President of the institution. Any grievant, who may otherwise be entitled to a hearing before the grievance committee, may waive such a hearing and accept the findings of the President. Any faculty member considering such a waiver shall first be referred to an appropriate procedural consultant or consultants for a consultation on the advisability of signing a waiver of this right by giving the faculty member a referral card developed and provided by the Faculty Senate. Any such waiver shall be in writing and signed by the grievant. The waiver should state the matter involved and should expressly state that the right of the grievant to a formal hearing by the Grievance Committee is knowingly and voluntarily waived.

If the grievant waives his/her rights to a hearing, the President shall within twenty (20) days after receipt of the grievant's file, advise the grievant of the decision. The President's decision will be final and shall be directed to the employee. If no decision is communicated to the employee within twenty (20) working days of filing the grievance the employee may file directly with the Chancellor of the Tennessee Board of Regents.

If the grievant does not waive the right to a hearing, the President shall, within five (5) days of receipt of the grievant's file, refer the grievance and all relevant documentation to the appropriate grievance committee. Within twenty (20) days after receipt of the grievant's file the committee shall advise the President and the grievant of its decision. The recommendation shall be based on a full and fair consideration of all the facts and circumstances. The report shall also contain a summary of the committee's investigation and findings.

Appeal of Grievance to the Chancellor, Tennessee Board of Regents

In any case where the President makes a decision adverse to the grievant, the President shall advise the grievant of his/her right to appeal the decision to the Chancellor. The employee's appeal to the Chancellor must be filed within fifteen (15) working days of the date of notification of the President's decision.

Steps for Filing a Complaint Only

The steps involved in the resolution of complaints follow the same procedures as those outlined for the resolution of grievances with the following exceptions:

- a. Complaints do not include a right to a hearing or adversarial proceeding before the grievance committee; and,
- b. The President is the final decision maker involving complaints; that is, the complainant does not have the right to appeal to the Chancellor of the Tennessee Board of Regents.

Maintenance of Records

Copies of all written grievances/complaints and accompanying responses and documentation will be maintained with the Office of Human Resources for at least three (3) years.

Committee Membership and Selection

A Faculty Concerns and Grievances Committee shall serve as an advisory body to advise the Senate and, through the Senate, either the Vice President for Academic Affairs or the Vice President for Health Sciences on matters arising from either a concern or a grievance filed by a faculty member or members. The committee shall consist of one faculty senator from each college and school. An alternate may be asked, by the Senate president, to sit in place of a regular committee member in those cases in which the regular committee member is unable to serve or cannot be present for one or more scheduled meetings. A committee member who has a particular interest in the case outcome will excuse him or herself from the committee and be replaced by an alternate for that hearing.

The committee will be appointed by the Faculty Senate, as a committee of the Senate. The chair shall be elected by the committee members at their first meeting of each academic year.

Faculty Senate Policy for Faculty Grievances

All formal complaints and grievances by faculty are now governed by the East Tennessee State University's Employee Grievance/Complaint Policy and Procedure (1.4). Any faculty member wishing to formally challenge an administrative decision should carefully follow the procedures outlined there and it is recommended that she or he consult with an appropriate procedural consultant or consultants with regard to policy, procedures, and rights.

However, faculty members occasionally want an opportunity to discuss their concerns with their peers and to obtain their peers' advice, without becoming mired in formal grievance procedures. East Tennessee State University provides two avenues for such discussions/consultations—either or both of which are available to all faculty members: The first is a consultation with a trained procedural consultant or consultants, and the second is through a formal consultation (specified and limited below) with selected members of the Faculty Senate Committee on Faculty Concerns and Grievances. Members of the Committee on Faculty Concerns and Grievances who provide formal consultation on a case will not sit on a formal grievance hearing of that case.

Therefore, we recommend that the Senate Committee on Concerns and Grievances will serve two functions in addition to those specified in the Senate By-Laws 1.5.1.3.

1. The Committee will discuss concerns filed by individual faculty members. A concern is defined as any matter that could be subject to a complaint or grievance as outlined under the University's Complaint and Grievance Policy. In addition, the committee will have the discretion to discuss any other matters it deems appropriate.

Prior to meeting with the committee, the faculty member will submit a brief statement of her/his concern. In discussing such matters, the Committee will not function as an adversarial hearing board. Rather the committee members will listen to the faculty member's/members' complaint and advise her/him as they see fit. They will advise the faculty member about the proper way to proceed. However, the committee's deliberations, since they are merely advisory, cannot become part of any formal grievance the faculty member chooses to file. Deliberations will be confidential, unless all parties agree otherwise. The committee will maintain no records.

2. If the faculty member chooses to file a formal grievance, the committee, in conjunction with the President of the Faculty Senate, will select a five-member committee who will formally hear the grievance in accordance with university policy. This committee will report its findings to the University President.

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Equal Opportunity for Employment

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP04.aspx>

09/15/79; 02/15/91; 08/15/96; 10/18/00; Effective 03/06, policy changes will appear on the webpage cited

Faculty Ranks and Promotion

Promotion in rank is recognition of past achievement of the individual being considered for promotion. In addition, the advancement in rank is recognition of future potential and a sign of confidence that the individual is capable of even greater accomplishments and of assuming greater responsibilities. The policy of the Tennessee Board of Regents is to make promotions strictly on consideration of merit tempered by university and fiscal considerations. The purpose of this policy is to help ensure that promotions are made objectively, equitably, impartially, and as a recognition of merit in line with the following policy guidelines.

Principles of Promotion

The major responsibilities of the university are to provide the best possible education, to encourage scholarship, creative productivity, and research, and to furnish significant service to the citizens of the State of Tennessee. Fundamental to this responsibility is the recruitment, selection, recognition, and retention of quality faculty members. Providing incentives and rewards for superior performance is a means of assuring the continuing existence of a high quality faculty. Advancement in rank is a recognition of accomplishments and a sign of confidence that the individual is capable of greater achievements and of assuming greater responsibilities. The policy of East Tennessee State University is to grant advancement on the basis of merit. In accord with this policy, promotions are to be made equitably, impartially, and in keeping with the following guidelines.

Each academic rank represents specific qualifications, professional competencies, and a history of productivity together with the promise of continued growth. Promotion to higher rank is neither an unqualified right nor an automatic occurrence. Having completed a given period of service or performed routine duties (such as carrying a normal course load, advising students, research to the degree needed for teaching courses, participation in departmental programs and governance, and committee service) should be considered an affirmative factor in appraising a faculty member's qualifications for promotion, though they are insufficient in and of themselves to warrant promotion.

The excellence of the faculty of East Tennessee State University is maintained in part through an appraisal of each candidate for promotion by colleagues and by appropriate administrative officers. This appraisal process must begin at the departmental level with a statement of the objectives and aims of the department, the college or school of which it is an integral part, and the university as a whole. Faculty members may be recommended for promotion to a higher academic rank based upon their demonstrated qualifications for that rank as evaluated by their peers in the department concerned, the department chair, the promotion and tenure advisory committee of the school or college, the academic dean, the vice president and the president.

The appraisal of each candidate should incorporate a thorough review of achievements which are expected in teaching; research, scholarly or creative activity; and professional service. Chairs and deans shall keep a faculty member informed of their expectations for his/her performance, including requirements for promotion and tenure. Any dramatic alterations in these expectations should be made explicit. In most circumstances, this will be accomplished by the Faculty Activity System. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports and evaluations. The department chair should submit evaluations of these activities, accompanied by evidence obtained through an evaluation process designed to ensure that recommendations are predicated on substantive analysis.

The criteria according to which excellence is defined will vary from discipline to discipline. The standards established by each discipline

should be carefully documented and considered by everyone involved in the evaluation of members of that discipline. Certain areas, such as the fine, performing and applied arts, may justifiably require different criteria than do other disciplines. In these, evidence of creative or other significant productivity may be presented. Achievements of this sort, however, should be of such quality and extent as to earn for the individual that same recognition in the discipline that significant research earns in areas of study in which research is an important factor.

Because of the importance and significance of the promotion deliberations, each faculty member must assume responsibility for insuring that pertinent information concerning teaching, research, scholarly or creative activity, and professional service is available to the chair and departmental committee. In addition to individual qualifications and performance, other special factors may also play a part in the recommendations eventually offered by the vice presidents. Consistent with the Tennessee Board of Regents' policy, the university administration must consider such matters as departmental rank distribution, potential for continued staff additions, prospective retirements and resignations from the department, enrollment patterns, and program changes or developments.

Definitions

Teaching

Teaching applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, student advising and/or mentoring, development of course materials and courseware, and development of innovative approaches to instruction. At the discretion of the college or faculty department faculty, student advisement may be a component of teaching or of service to the university, depending on the nature and scope of the duties performed.

Research/Scholarship/Creative Activities

Research applies to the studious inquiry, examination, or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship/creative activities may include, but are not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, creative activities (e.g., film-making, performances, or other artistic creations), and the development of innovative teaching approaches.

Professional Service

Professional service applies to involvement within the community as defined by the university's role and mission, service to the university, and service within the bounds of the applicant's academic discipline and budgeted assignment. At the discretion of the college or faculty department faculty, student advisement may be a component of teaching or of service to the university, depending on the nature and scope of the duties performed.

Terminal Degree

The TBR will use national discipline standards to determine which degrees are considered to be "terminal" within each discipline and will provide each university with a list that delineates these degrees. Each university may request blanket exceptions to these standards by classification based upon its mission and hiring practice. Each university may also petition the Board for "equivalent work experience credit" when a candidate has not obtained a terminal degree, but has a record of extraordinary achievement in a given field. The equivalent work experience credit may include relevant teaching experience or other experiences such as experience gained as an administrator, counselor, librarian, journeyman, or the like.

Rank at Appointment

New faculty members will normally be employed, based upon their qualifications, at the rank of instructor, assistant professor, associate professor or professor.

Except under unusual circumstances, individuals lacking the terminal degree, as defined by discipline, will not be hired in one of the professorial ranks. The terminal degree does not necessarily qualify one for a professorial rank nor does receipt of the terminal degree guarantee promotion to a higher rank. When time in rank is a factor for promotion, years spent in that rank in some other institution may be counted as specified in the letter or contract of appointment.

Promotion Guidelines

The academic units of the university must develop written guidelines for promotion with specific criteria for evaluating the faculty in teaching, research and service. The departmental guidelines cannot be less rigorous than TBR or university guidelines. A department or college may weigh criteria to be considered in promotion recommendations and should establish appropriate standards within criteria for the distinctive discipline(s) and the level(s) of program(s) it embodies. If such weighted criteria and standards for promotion are to be applied to candidates, they should be carefully documented in approved unit mission statements and policies. Those documents become bona fide only when (1) they have been considered by faculty in those units, (2) they have gained approval by the university as official college or departmental mission statements and related policies that are consistent with university mission and policy, and (3) they have been communicated in publications or in other written form (including the Web) to faculty affected by them. Bona fide documents are maintained as public information in the offices of appropriate department chairs and deans, the Vice President for Academic Affairs or the Vice President for Health Affairs, and the Faculty Senate.

The guidelines for promotion described in the remainder of this section represent minimum requirements for promotion of faculty in tenure and tenure-track appointments to which customary expectations concerning teaching, research or creative activity, and professional service apply. Regarding non-tenurable but promotable clinical and research appointments, it is the responsibility of departments or colleges to develop suitable criteria to evaluate promotion of individuals holding such appointments. Bona fide criteria for promotion of individuals in non-tenurable appointments should be in place before a department or college attempts to fill such appointments for the first time.

Nominees for promotion will be judged on the basis of their performance in teaching, research, scholarly and/or creative activity, and professional service as evaluated by their peers and appropriate administrative officers. Evidence of performance is to be, to the extent possible, objective and documented. Performance in these areas will be given different weights depending upon the assigned duties and responsibilities of the individual concerned and the uniqueness of the unit involved.

Requirements for minimum service in one rank are not absolute. Exceptions may be made on the basis of exceptional academic and/or other achievements of a particularly valuable nature.

All candidates for promotion to senior ranks (associate professor and professor) must meet approved departmental and/or college/school criteria for achievement in each of the three areas of teaching; research, scholarly and creative activities; and service. Promotion in rank carries the implication of attainment of criteria as well as increasing levels of achievement in the discipline. Candidates for promotion to associate professor or professor are expected to demonstrate both a higher quality and a greater cumulative quantity of achievement in each of the three areas than are candidates for promotion to lower rank.

Teaching

Since the first responsibility of the university is the education of its students, excellence in teaching should be continually encouraged and rewarded. No nomination for promotion should be made without accompanying evidence of the nominee's effectiveness as a teacher, where teaching is a part of the individual's work assignment. Inevitably, the rating of teaching ability is to some degree a value judgment. It is incumbent upon each department to develop a rating procedure whereby all factual information relative to a candidate's work as a teacher is available at the time s/he is considered for promotion. Evaluation of instruction shall be based on the following criteria with each unit assigning varying degrees of weight to each criterion. Deficiencies in some criteria may be counterbalanced by superiority in others. Command of subject matter, and a record that indicates that the individual has remained current in his/her field of specialization.

Ability to organize and present subject matter in a logical and meaningful way.

Ability to motivate students.

Curriculum and/or program development; development of instructional techniques or teaching methods, including development of on-line teaching methods and courses.

Mentoring of undergraduate, graduate or post-graduate students, including:

- a. efforts to promote student research, scholarship, and creative activities;
- b. successful direction of theses, dissertations or independent research projects; and
- c. effective leadership of research projects intended in part to train students in research techniques.

Textbooks or other published works in the teaching area, including documentation of teaching methodology that may be shared with colleagues. Such publications would also be considered as contributions to research, scholarly or creative activities.

Excellence in the advisement of students, either formally or informally. (At the discretion of the college or faculty department faculty, student advisement may be a component of teaching or of service to the university, depending on the nature and scope of the duties performed.)

Honors or other recognition for contributions to teaching.

Evidence of teaching effectiveness should be provided by the candidate and affirmed by peer review at the departmental or academic program unit level and by evaluation by the department or unit chairperson and the appropriate dean. Where appropriate, evidence of teaching effectiveness may include information drawn from student evaluations of instruction.

Considerations other than hours of classroom contact should include such matters as the total number of preparations per semester, the number of courses per academic year, the level of difficulty of the courses, the number of students assigned to the classes, and time and location of courses.

Research, Scholarly, and Creative Activities

Research, scholarly, and creative activities are important areas of faculty involvement in the university. Clear evidence of the quality of work should accompany each application. Evidence supplied by the candidate might indicate performance beyond routine expectations in the following areas. Academic units will assign varying degrees of weight to each criterion. Deficiencies in some criteria should be counterbalanced by superiority in others.

Publications: textbooks, books or chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, abstracts, book reviews, and other related items. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are more significant than those that are not subjected to such rigorous examination. It should be emphasized that quality is more important than quantity.

Papers presented: those papers presented at local, state, regional, national, and international professional meetings. The significance of content and selection processes should be considered in reviewing such presentations.

Performances or exhibitions that are invited or juried by internationally, nationally, or regionally recognized members or groups within the discipline.

Research in progress: Verification of stages of development is mandatory.

Other items such as funded or unfunded research proposals, computer software development, or audio-visual media may also be considered.

Academic departments and/or colleges may use written reviews and evaluations by qualified external peers to evaluate a candidate's research, scholarly and/or creative activity. The chair and the candidate must agree on the reviewer(s) selected from departments or institutions other than the candidate's own.

Professional Service

Evidence of the candidate's contributions in the area of professional service should be offered by the candidate. Documentation of all service activities is required. Professional service encompasses a faculty member's activities in one of three areas: university service, service to the discipline, and outreach or public service.

Service to the university (and to affiliated institutions) refers to work other than teaching and scholarship done at the department, college, or university level. A certain amount of such service is expected of every faculty member; indeed, universities could hardly function without conscientious faculty who perform committee work and other administrative responsibilities. University service includes, but is not limited to,

serving on departmental committees and participating in college and university committees. Some faculty members may accept more extensive citizenship functions, such as a leadership role in the Faculty Senate, membership on a specially appointed task force, service as advisor to a university-wide student organization, and membership on a university search committee. At the discretion of the college or faculty department faculty, student advisement may be a component of teaching or of service to the university, depending on the nature and scope of the duties performed.

Service to one's discipline or to the teaching profession generally includes participation in the activities of state, regional or national professional organizations related to the candidate's discipline; association leadership; journal editorships; article and grant proposal review; guest lecturing on other campuses; and other appropriate activities. Significant professional service requires more than organizational membership and attendance. Examples of significant service include that done by an officer of a professional organization or a member of the editorial staff of a journal.

The outreach or public service function is the university's outreach to the community and society at large, with major emphasis on the application of knowledge for the solution of problems with which society is confronted. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the university. A vital component of the university's mission, public service must be performed at the same high levels of quality that characterize the teaching and research programs.

The academic unit to which the candidate belongs should evaluate the candidate's service using the following criteria, to each of which the unit may assign varying degrees of weight:

A description of the candidate's position that permits evaluation of performance in relation to assigned and budgeted duties. This should include a statement of the mission or purpose of the position and the objective(s) of the nominee's service unit, as well as the specific assigned tasks and responsibilities of the nominee.

An evaluation of the effectiveness with which the service is performed, as judged by its relation to the general welfare of the university; its effect on the development of students and other faculty members; and/or its impact on other individuals, groups, or organizations served. Documentation of the effectiveness of service should include evidence of the success of the service in improving communities, programs, operating agencies, production processes, or management practices. It should also include indications of client satisfaction with the service provided by the nominee, and of the magnitude and complexity of his/her work (as opposed to perfunctory activity that does not lead to useful results).

An appraisal of the candidate's local, regional and national stature. Although the achievement of national stature is sometimes difficult for public service faculty whose activities are primarily directed to groups within the state, the public service professional should take advantage of every opportunity to project his/her accomplishments among peers on a local, regional, and national basis. Service/outreach work is sometimes not publishable. The results may be in the form of direct consultations, planning reports, or instructional time directed largely to the recipients of university service programs. But certain aspects of service work are suitable for publication in professional journals. For example, unique techniques developed to motivate clients or new approaches to the transfer and application of knowledge would be of interest to peers in other public service programs across the nation.

Assistant Professor

Those faculty members promoted to or hired at the rank of Assistant Professor should meet the following criteria:

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty.

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

Evidence of effective teaching if the individual has taught at the college level. If the individual has not taught at the college level, evidence should be obtained that satisfactory teaching performance can reasonably be expected.

Promise of productive creative and scholarly research and professional service.

Associate Professor

Those faculty members promoted to or hired at the rank of Associate Professor should provide documented evidence of (a) high quality professional productivity which may lead to national recognition in the academic discipline or (b) high quality professional productivity that is consonant with the goals of the university and of the academic unit to which the faculty member belongs. Specifically, faculty promoted to or hired at the rank of Associate Professor should meet the following criteria:

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

A faculty member may apply for promotion to associate professor after having completed five full years in the rank of assistant professor.

Exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval).

Documented evidence of teaching effectiveness.

Documented evidence of professional service activities of a significant nature.

Documented evidence, as accepted within the discipline, of scholarly productivity in research or creative endeavors.

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

Professor

The highest rank to which one may be promoted is that of Professor. Documented evidence of teaching excellence and superior contribution to student development, superior scholarly or creative activity, and superior professional service will contribute to the positive record of the candidate for advancement to the rank of professor. Since there is no higher rank, promotion to professor is taken with great care and requires a level of achievement beyond that required for associate professor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.

Those faculty members promoted to or hired at the rank of professor should provide documented evidence of (a) sustained high quality professional productivity and national recognition in the academic discipline or (b) sustained high quality professional productivity in the academic discipline that is consonant with the goals of the university and of the academic unit to which the faculty member belongs. Specifically, faculty members promoted to or hired at the rank of professor should meet the following criteria:

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

A faculty member may apply for promotion to professor after having completed five full years in the rank of associate professor, provided that exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval.)

Documented evidence of teaching effectiveness.

Successful research, scholarly, and/or creative activity, as evidenced by such accomplishments as published scholarly books, articles in professional journals in one's discipline, presentation of papers before regional, national or international professional groups, receipt of major research grants, and/or a record of significant exhibitions or performances.

Professional service of an outstanding nature, usually of such kind as to make the individual regionally or nationally known in the discipline, or, alternatively, as a leading figure in service efforts promoted by the institution.

Evidence of good character, mature attitude, and professional integrity, and a high degree of academic maturity and responsibility.

Exceptions to Minimum Rank Qualifications

The minimum rank qualifications should be met in every recommendation regarding appointment to academic rank and for promotion in academic rank. Exceptions to local ETSU requirements (e.g., years-in-rank) require the approval of the president of the university. Exceptions to TBR minimum rank qualifications can be recommended to the Chancellor by the president; however, such exceptions are not favored and should be granted only upon a showing of a candidate's exceptional merit and/or other extraordinary circumstances, such as an objective need to deviate from these minimum qualifications in filling positions and/or retaining otherwise qualified faculty within certain academic disciplines.

Petitions for exceptions to promotional criteria may include consideration of the appropriateness of the degree or extraordinary qualities that the candidate may possess. The equivalent work experience credit may include relevant teaching experience or other experiences such as experience gained as an administrator, counselor, librarian, journeyman, or the like. When evaluating college-level instruction, research/scholarship/ creative activities, and service, the university may make its own determination whether or not the number of years of experience from another university is to be accepted in total or discounted in some manner.

Initiation and Processing of Promotion Recommendations

The formulation of recommendations concerning the promotion of a faculty member is a cumulative process occurring at three levels: departmental/ divisional, collegial, and executive or presidential. The faculty member eligible for consideration also has a significant role by assuming responsibility for timely submission of pertinent materials to the department chair for review at each level.

The director of personnel, by May 1st of each year, shall provide department chairs, deans, the appropriate vice president, and the president with lists of faculty members eligible for promotion through length of service. The action by the director of personnel does not relieve the department chairs of the responsibility of determining eligibility for promotion. Department chairs, during the succeeding 15 days, will verify the lists through departmental and other administrative offices.

By May 15 each faculty member eligible for promotion shall be so notified in writing by the department chair. A department chair may initiate a promotion recommendation at any time; but unless there is special need for earlier processing, subsequent steps will be taken according to the established schedule.

Applications will be completed by each faculty member applying for promotion. These applications must be submitted to the department chair no later than September 15. All promotion applications must be complete at that time. No additional documentation may be added after September 15 except at the request of the reviewers and with the permission of the candidate, or vice versa.

Promotion applications will be reviewed at each level of the process. It is expected that no level of review is bound by prior judgment(s). At each level in the process, the cumulative recommendations and statements of rationale recorded by committees and administrators will be forwarded as integral parts of each candidate's application. Each reviewing official or committee has the responsibility to remand an application to any preceding level if that level's review is found to be incomplete or otherwise unacceptable. Consistent with Board of Regents policy, all peer committees have qualified privilege of academic confidentiality against disclosure of individual promotion votes unless there is evidence that casts doubt upon the integrity of the peer committee.

In some cases, such as small departments or unique fields of study, outside expertise may also be necessary in the evaluation process. The chair and the candidate must agree on the individual(s) selected from departments or institutions other than the candidate's own. All senior faculty in the candidate's department (those holding academic rank equal to or higher than that sought by the candidate), not including the department chair, and such outside experts as are needed will meet to review the promotion application. The promotion applicant must be given at least one week's notice of such meetings and, consistent with procedures described in the ETSU Faculty Handbook, shall have the opportunity to bring to the participants' notice any material that may be helpful in determining the applicant's fitness for higher rank.

In addition to any other evidence that the candidate might choose to provide, the candidate must furnish student assessments of instruction

for at least eight courses taught while holding current rank, wherever possible, or for every course evaluated while holding current rank, if this number is greater. These student assessments should be representative of a variety of classes that the candidate has taught. A University-approved assessment instrument will be used for this purpose. Student assessments must be included with all applications for promotion and will be considered as one important source of information concerning effective teaching, although not the only one.

A separate peer evaluation of teaching effectiveness must also take place. This evaluation must include a review of student evaluations with consideration given to the type of courses involved. In addition, peer reviewers should assess items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular teaching responsibilities. Peer reviewers should also observe the candidate's classroom teaching.

Departments and colleges may establish their own criteria and processes for peer evaluation of teaching and may include these in their official statements of expectations for promotion, subject to the provisions of the ETSU Faculty Handbook.

It is the obligation of candidates for promotion, with assistance from their department chairs, to ensure that their teaching is evaluated by peers as described in the ETSU Faculty Handbook and to present in the promotion application documentation of the findings of peer evaluations.

Proposed changes in the process for student assessments of instruction will be submitted to the ETSU Student Government Association for consideration and reaction. The SGA will review the uses of student assessments of instruction on a regular basis and will bring its questions, concerns and suggestions to the Faculty Senate and to the Academic Council.

Complete and accurate documentation of all research, scholarly and creative activities, including complete bibliographic listings of publications, status of journals (refereed and non-refereed), role in jointly authored articles and papers, and complete descriptions of professional service activities should be included in each application to provide evidence of and support for these activities. Copies of published items and other reported research and creative activities must be available for examination by reviewers.

The departmental review by the committee of senior faculty will be completed using appropriate criteria, as established by the department and consistent with university criteria, in reaching its decision.

After formal discussion, the committee of senior faculty within the department will vote to recommend, or not to recommend, each candidate within the department. A written, composite statement explaining the recommendation shall be signed (by means that may include electronic signatures) by each reviewing faculty member and forwarded to the department chair, with a copy to the candidate. Included in that statement will be an explicit evaluation in each of the areas of teaching; research, creative, and scholarly activity; and professional service. Dissenters may include their views in the committee report.

The department chair, by October 15, will forward to the school or college dean, and to the candidate his/her own decision to recommend or not recommend the candidate for promotion. Included in that recommendation will be a written rationale explaining the recommendation, with an explicit evaluation in each of the areas of teaching; research, creative, and scholarly activities; and professional service.

The chair will inform the dean of the faculty members' vote. Should the chair elect to act contrary to the vote of the senior faculty, the dean or other appropriate administrative official should meet with the senior faculty of the department in question to discuss the matter. The dean or other appropriate official should also meet with the chair of the department.

All recommendations reached at the departmental level will be forwarded to the dean who will forward them to that college or school's promotion and tenure committee for its review.

Prior to or during the fall semester of each year, the dean of each college or school will implement procedures to establish a promotion and tenure committee. This committee shall take its membership from faculty at professorial ranks. The dean should ensure adequate representation from the tenured faculty. All members should have at least 3 years of service at ETSU. Collectively the membership should represent the various disciplines of the college or school with equal numbers appointed by the dean and elected by the faculty. At least two-thirds of the members of the committee should hold the rank of associate professor or professor. When there are not sufficient numbers of faculty within a college holding the rank of associate professor or professor to serve on the committee, the dean will request participation of faculty in other colleges. Department chairs may not serve on such committees. No person who is an applicant for promotion in a given year may be an elected or appointed member of a College/School Promotion/Tenure Committee during that year. A person who may have been elected to serve a two or three-year term, should s/he apply for promotion during that term, shall excuse her/himself from the College/School Committee in that year. In the event a replacement is needed, the College/School will obtain a replacement on the same basis as the individual was appointed. The size of the committee should be from 6 to 14 members who shall serve staggered 2- or 3-year terms. The school or college faculty shall decide whether the committee chair shall be elected from among the members of the committee or appointed by the dean. The committee shall function in the role of advisor to the dean from October 15 until December 15 of each year. More specifically, this committee will perform the functions of review as follows:

- a. Receive and review promotion and tenure recommendations of the chairs and departmental committees for transmittal to the dean. In formulating its recommendations for promotion, the committee should consider the broad perspective of the philosophy and objectives of the school or college and any bona fide weighting of criteria and standards reflecting the expectations of the applicant's academic department and/or college.
- b. Review all applications to assure that criteria for promotion and tenure are being correctly and uniformly applied to all members of the school or college.
- c. Review the completeness of the information presented and question any omission in criteria or variations in procedure. Where discrepancies or misapplication of criteria are noted, the committee will attempt to correct the errors through direct consultation with those involved.
- d. Only members of the college/school committee holding academic rank equal to or higher than that sought by a candidate may vote on that candidate's promotion.
- e. Members of the college/school committee from a candidate's home department shall not participate in the college/school committee's discussion of the candidate or in its votes on that candidate's tenure and/or promotion.

The school/college review committee will, by December 15, forward to the dean its recommendations and a written, composite statement for each faculty member being reviewed. The use of secret or open balloting shall be decided by the college, school, or division committee. These written statements will include an explicit evaluation in each of the areas of teaching; research, scholarly and creative activity; and professional service, and will be signed (by means that may include electronic signatures) by each committee member. Dissenters may

include their views in the committee report. A copy of the committee recommendation will be forwarded to the candidate.

The dean's recommendations, together with all written documentation, will be forwarded to the appropriate vice president by February 1. This report must also include an explicit evaluation of each candidate's record in the areas of teaching; research, scholarly, and creative activity; and professional service.

The dean, at the time the candidate's application is forwarded to the vice president, will also notify the candidate and the department chair of his/her decision to recommend or not to recommend. The decision will be supported in writing. A copy of this written support will be provided to the candidate and the department chair. In the event of a negative recommendation, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

The vice president will hold a meeting with the dean concerned prior to a final recommendation. The vice president will notify the candidate, dean, and department chair of his/her decision to recommend or not to recommend. The decision will be supported in writing. In the event of a negative recommendation, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

Upon reaching a decision regarding each application for promotion, the vice president will forward the application, together with all recommendations relevant to it, to the president by March 1.

All promotion applications initiated will be forwarded to the president regardless of the recommendation made by any intervening administrator or faculty committee, unless the candidate chooses to withdraw his/her application. Only the candidate has the right to withdraw an application that has been filed.

Final action, prior to consideration by the Board of Regents, on each promotion recommendation will be taken by the president. When a recommendation is approved by the president and subsequently by the chancellor and the Board of Regents, the president will notify the faculty member, by letter through the appropriate vice president's office, of the award of promotion. When a recommendation is disapproved by the president, s/he will, through the appropriate vice president's office, inform the department chair of the faculty member involved, in writing, stating reasons for disapproval, and the chair will so advise the faculty member within five days of said notification. Any appeal to the Board of Regents must be made in accordance with Board policies. Appropriate administrative officers will be advised by the president of the action taken on all promotion recommendations; whether approved or disapproved.

A list of faculty members who are recommended for promotion will be forwarded to the chancellor and to the Board of Regents.

Upon final action taken by the Board of Regents, the president will notify the candidate and recommendation forms will be filed in the Personnel Office.

Appeal Procedure

An appellate procedure stands as a basic and important part of the overall promotion granting process. The responsibility of evoking the appeal procedure must be assumed by the candidate.

Two appeal opportunities follow the dean's action and precede that of the president. The candidate may opt to utilize either one, but not both, of these opportunities. Should the dean opt not to recommend in favor of promotion, the candidate may request a pre-appeal conference with the vice president. Should the vice president choose not to recommend for promotion and the candidate has not appealed following the dean's decision, the candidate may request a pre-appeal conference with the president. In either event the pre-appeal conference must be requested within seven days of receiving written notice of the negative recommendation.

The University Promotion and Tenure Appeals Committee (PTAC) will be composed of one faculty senator elected by the Senate who will chair the committee, and one member from each college or school who was not a member of that body's promotion and tenure committee when the candidate's application was evaluated, as selected by the faculty senators from that college or school. The college/school senators will also designate two alternates from their college/school who would be available to serve if the primary designee is ineligible or unavailable to serve. If the college/school senators fail to designate a committee member and alternates, or if those designated are ineligible or unavailable to serve, then the Faculty Senate President and the PTAC Chair will jointly select a faculty member from that college/school to serve. Terms of appointment shall be for two-year staggered terms with the exception of the committee chair who will serve only a one year term. All members of the PTAC will be tenured and will hold professorial rank. Deans, department chairs, and other administrative personnel directly involved in college or school-level promotion decisions (such as associate or assistant deans) are excluded from membership on this committee. No member of the PTAC shall have participated in the review of the candidate's application at any previous level.

After the pre-appeals conference, if the candidate has decided to proceed with the appeal, s/he must file an appeal in writing with the university Promotion and Tenure Appeals Committee within one week or forfeit the right to appeal at that level. When the appeal goes forward, the vice president will submit the candidate's complete promotion application to the chair of the university Promotion and Tenure Appeals Committee. The committee shall review information relevant to each appeal in accordance with procedures developed by the committee for all such appeals and incorporate its recommendations as a part of each candidate's application to be returned to the vice president or the president for consideration. The committee will also send a copy of its recommendation(s) to the candidate, the department chair, the dean and the appropriate vice president. In the event the university Promotion and Tenure Appeals Committee makes a recommendation regarding tenure and/or promotion, the president or vice president will inform the chair of the committee in writing of the final decision and its rationale.

The final appeal opportunity is after the president's decision is made known. The appeal is directed to the Board of Regents in accordance with TBR policy 1:02:11:00 <https://policies.tbr.edu/policies/appeals-and-appearances-board>.

01/29/88; 07/91; 05/92; 12/888; TBR 4/2/04; 02/12/09; 10/13/11; 3/20/2015

Promotion Policy for Lecturers

Lecturer appointments (a) are full-time faculty appointments, (b) are non-tenurable, (c) are renewable, and (d) permit promotion in rank. The

primary assignment of a lecturer is usually instruction at the undergraduate level.

Initial lecturer appointments may be granted for up to three years with an annual performance review conducted by the appropriate academic administrator or supervisor. Appointments may be renewed for further terms of up to three years following any satisfactory performance review.

Academic ranks for lecturers and the means by which they are distinguished at ETSU are as follows:

Lecturer

To be renewed as Lecturer, the candidate must have:

- 1. Master's or terminal degree from an accredited institution in the instructional discipline or related area. **
- 2. Evidence of good character, mature attitude, and professional integrity.
- 3. Demonstrated ability in instruction and student development.

Senior Lecturer

To be promoted to Senior Lecturer, the candidate must have:

- 1. Master's or terminal degree from an accredited institution in the instructional discipline or related area. **
- 2. Evidence of good character, mature attitude, and professional integrity.
- 3. Documented evidence of high quality teaching and contributions to student development.

Master Lecturer

- 1. Master's or terminal degree from an accredited institution in the instructional discipline or related area. **
- 2. Evidence of good character, mature attitude, and professional integrity.
- 3. Documented evidence of teaching excellence and superior contribution to student development.

Colleges and/or departments shall be responsible for developing written criteria, guidelines, and timelines for lecturer promotions. Criteria, guidelines, and timelines shall be approved by the dean. To ensure criteria and guidelines are consistently meeting the goals of the department, as well as the professional development goals of the lecturers, criteria and guidelines should be reviewed by academic departments and approved by the dean of the college every three years.

Applications for promotion may be made after a minimum of five years in rank and should be submitted to the chair of the department by September 15.

Departmental promotion committees should consist of all tenured, tenure-track, clinical and research faculty, and lecturers of higher rank than the applicant.

Departmental recommendations for promotion shall be submitted through the chairs and approved by the dean. The candidate may appeal the dean's decision following the guidelines for promotion appeals outlined in the faculty handbook.

Salary increments for promotion will be an 8% increase in base salary upon promotion to Senior Lecturer, and a 10% increase in base salary upon promotion to Master Lecturer.

** Exceptions to the degree requirement may be made in accordance to SACS standard 3.7.1

05/19

Financial Exigency Policy

Definition of Financial Exigency

Financial Exigency is the formal declaration by the Tennessee Board of Regents that East Tennessee State University faces an imminent financial crisis, that there is a current or projected absence of sufficient funds (appropriated or non-appropriated) for the campus as a whole to maintain current programs and activities at a level sufficient to fulfill its educational goals and priorities, and that the budget can only be balanced by extraordinary means which include the termination of existing and continuing academic and non-academic appointments.

Actions Required Prior to the Declaration of Financial Exigency

Financial exigency results from an imminent fiscal crisis characterizing the entire institution; thus, the condition of financial exigency may not be declared at a level below that of the institution (i.e., it may not be declared at the level of an academic or administrative unit such as a school, department, or similar account-level unit). In light of the gravity of consequences resulting from a declaration of financial exigency, the process leading to an institutional recommendation to the Tennessee Board of Regents that financial exigency be declared must be cautious, fair, well informed, and as responsive as possible to the interests of various segments of the institution.

The responsibility for initiating the proposal for declaration of financial exigency resides with the President of East Tennessee State University. Since recommending the declaration of financial exigency is an extreme measure, that responsibility requires the President to provide all appropriate assurances and documentation that available and reasonable procedures to reduce the expenditure levels of the institution are exhausted, and that no efforts have been spared to enhance revenues.

Prior to proposing the declaration of financial exigency, the President shall share with the entire faculty or its representative body and with representatives of other campus personnel constituencies all pertinent analysis and documentation that, in his or her opinion, demonstrate an imminent fiscal crisis for the entire institution that would warrant a declaration of financial exigency. That analysis and documentation should be shared promptly and with sufficient notice to all personnel constituencies including the Faculty and Staff Senates; and

opportunities should be provided for discussions with and advice from those bodies, answers to appropriate questions, and general deliberations befitting an educational institution.

After discussion and review of any advice from various personnel constituencies, the President shall, if he/she remains convinced that conditions warrant a recommendation for declaration of financial exigency, present the recommendation with full documentation to the Chancellor of the Tennessee Board of Regents.

If his/her review supports the conclusion that conditions warrant a declaration of financial exigency, the Chancellor shall so recommend to the Board of Regents. In addition to providing the Board of Regents with a recommendation to declare financial exigency, the Chancellor in consultation with the campus president shall also submit a statement of findings and conclusions including at least the following:

- a. A description of the current fiscal condition of the institution, including the projected amount of deficit that would result from failure to declare financial exigency.
- b. A projection of the fiscal condition that would result, in the opinion of the President and the Chancellor, from general types of action anticipated to be taken subsequent to a declaration of financial exigency.
- c. An analysis of the reason for the current imminent fiscal crisis characterizing the entire institution, specifying with appropriate documentation those identifiable factors contributing to the crisis.
- d. A statement of assurance, with supporting evidence, that available and reasonable procedures to reduce expenditure levels of the institution are exhausted, that further retrenchment within existing policies is not compatible with the objective of assuring maximum protection for the academic programs of the institution and the educational needs of students, and that efforts to enhance revenues have been carried out in a responsible manner.
- e. A transmittal of any advice, alternatives, or information in writing by any institutional personnel constituencies including the Faculty and Staff Senates.

Actions Required Subsequent to the Declaration of Financial Exigency

Should the Board of Regents formally declare a state of financial exigency at East Tennessee State University, the President shall in a reasonable time and with appropriate documentation initiate a proposed plan to allocate necessary funding reductions among the primary budgetary sub-units (e.g., academic affairs, student affairs, fiscal affairs, etc.) within the institution. The following procedures shall be followed:

The President shall convene an ad hoc University Council, which shall serve as the institution's Financial Exigency Committee. The membership of this council includes: the President of the University, the President of the Faculty Senate, the President of the Staff Senate, the President and one elected member of the Student Government Association, the President and one elected member of the Graduate and Professional Student Association, three elected members of the staff, one full-time, tenured faculty members elected by faculty from each existing college, the School of Continuing Studies and Academic Outreach, and the University Libraries one dean elected by the deans (not to include the Deans of the College of Medicine and College of Pharmacy), and the vice presidents of Academic Affairs, Health Affairs, Student Affairs, Finance and Administration, and University Advancement

The President's proposed plan for allocating necessary funding reductions to primary budgetary sub-units shall be reviewed by the Financial Exigency Committee. The Committee shall review the amounts of proposed reductions, evaluate proposed reductions in the light of institutional priorities, and consider administrative organization and academic priorities. It shall also consider the magnitude of proposed reductions in each primary budgetary sub-unit in the light of factors prescribed by applicable state or federal laws regarding fair employment practices.

The Committee shall submit in writing within thirty days to the President its response to the President's plan, which shall include either an endorsement or a recommendation of alternatives.

The President shall consider any alternatives recommended by the Committee and, within thirty days, shall indicate to the Committee a final decision relative to the internal allocation of necessary funding reductions. This financial plan should be communicated broadly to all personnel constituencies including the Faculty and Staff Senates.

Heads of primary budgetary sub-units, with broad and clearly defined faculty and staff consultation, shall recommend to the President plans for effecting their designated budget reductions. Those recommendations from heads of primary budgetary sub-units shall include proposed reductions in programs or personnel, shall achieve the designated reductions, and shall respond to any inquiries the President or the Financial Exigency Committee may direct.

As a primary component of his or her review of plans submitted by heads of primary budgetary sub-units, the President shall — prior to accepting them — submit the plans for review by the Financial Exigency Committee.

The Committee shall review plans submitted by heads of primary budgetary sub-units with consideration for the following general principles:

- a. Retrenchment other than reduction-in-force should reflect as its major priority maximum protection for the academic programs of the institution and the educational needs of students.
- b. When an academic or administrative unit undergoes reduction-in-force, the principle consideration in determining which persons to retain and which to terminate should be the maintenance of viable academic or support programs within that unit.
- c. Personnel or affected academic or administrative units should have significant advisory involvement relative to determining specific persons and minimal personnel needs or areas of specialization essential to a unit's viability.
- d. To avoid the possibility of compromising the quality of highly productive programs within the institution and to recognize the best interests of continued academic excellence, reduction-in-force cannot normally be accomplished on a strictly across-the-board basis.
- e. Affirmative action plans should be carefully considered in all personnel decisions.
- f. Unless an exception is made in order to maintain a viable academic or support program as identified in "b" above or for reasons of affirmative action as noted in "e" above, decisions as to the order of personnel terminations in academic or administrative units should be made in light of the following factors in rank order as they apply to personnel within the specific academic and administrative units:
 1. Faculty considerations:
 - a. Tenure status (non-tenured before tenured);

- b. Rank (junior faculty before senior faculty);
- c. Seniority within rank (total years in current rank at ETSU and elsewhere)
- d. Local seniority within rank (total years in current rank at ETSU);
- e. Length of service (total years at ETSU).

Performance evaluations are an inherent part of promotion and tenure decisions. Therefore, performance is a determinant of the tenure, rank and longevity factors listed above. If equality of all the above factors exists, then a special performance evaluation covering the academic careers of the faculty members involved shall be the final deciding factor.

2. Non-Academic Considerations:

- a. Length of service (total years at ETSU)
- b. Seniority within position/classification
- c. Performance evaluation.

The Financial Exigency Committee shall submit in writing to the President its response to the plans for recommended reductions submitted by heads of primary budgetary sub-units. That response shall include either an endorsement or a recommendation of alternatives. After appropriate review of response by the Financial Exigency Committee, the President shall indicate acceptance, rejection, or amendments to reduction plans submitted by heads of primary budgetary sub-units. The President shall communicate his or her composite plan for reducing expenditures to the entire campus community. The President shall submit for approval by the Chancellor the composite plan for effecting budgetary reductions as required by the fiscal condition of the institution. That transmittal must include the written response by the Financial Exigency Committee to both (1) the President's plan for allocating necessary funding reductions to primary budgetary sub-units, and (2) plans for primary budgetary sub-units for effecting their designated budget reductions. If the Chancellor approves the plan for implementation, he/she shall submit it as information, together with any analysis he/she may deem appropriate, at the next meeting of the Tennessee Board of Regents.

Procedures for Termination of Personnel Under Conditions of Financial Exigency

Following declaration by the Tennessee Board of Regents that a condition of financial exigency exists at East Tennessee State University, the President of the University — having complied with those actions required subsequent to the declaration of financial exigency — is authorized to carry out those actions, including reduction-in-force, which are included in the plan approved by the Chancellor. Reduction-in-force under this policy may include any personnel classification, including tenured faculty members or probationary faculty members prior to the end of their terms of appointment.

The procedures for termination described in this policy are in force only during a period in which the Tennessee Board of Regents has declared that East Tennessee State University is in a condition of financial exigency. An individual selected for termination shall receive prompt written notification from the President. That notification shall include the following:

- a. a statement of the basis on which the individual was selected for termination;
- b. an indication of the data or reasons supporting the choice if it is not a clearly defined factor such as rank or tenure status;
- c. a statement of the date on which the termination is to become effective;
- d. a copy of the declaration of financial exigency adopted by the Tennessee Board of Regents; and e. such other information as the President may deem appropriate.

An individual who receives notice of termination may appeal the decision under the conditions indicated in this section.

- a. Faculty who receive notice of termination shall appeal to a Faculty Hearing Committee, which shall consist of nine members of the faculty and administration; five appointed by the Faculty Senate and four appointed by the President. Staff who receive notice of termination shall appeal to a Staff Hearing Committee which shall consist of nine members of the staff and administration; five appointed by the Staff Senate and four appointed by the President.
- b. The Faculty or Staff Hearing Committee shall ensure prompt hearings that are thorough and fair but need not be judicial in nature. Strict rules of procedure (e.g., confrontation, cross-examination and formal rules of evidence) need not be required.

The following conditions constitute grounds for appeal by an individual of notice of termination.

- a. Established institutional procedures or provisions of Board Policy 5:02:06:00 were not followed.
- b. Appropriate criteria were not applied, including but not limited to the allegation that his or her selection constituted a violation of the individual's academic freedom or that unfounded or arbitrary assumptions of fact were made.

The Hearing Committee shall not review the decision concerning the declaration of financial exigency of the President's plan for the amount of reduction to be assumed by each primary budgetary sub-unit.

A recommendation will be sent from the Faculty or Staff Hearing Committee to the President recommending that he/she uphold or reverse the action of termination, and the President will inform the appropriate hearing committee and the individual of a final decision.

The President's final decision may be appealed to the Chancellor and, after he/she has reached a decision, to the Tennessee Board of Regents.

Continuing Rights of Persons Terminated Under Conditions of Financial Exigency

No vacancy caused by a termination under conditions of financial exigency shall be filled for a period of three years from the time of notice of termination without first offering the position to the person terminated (academic or non-academic), provided that the person terminated keeps the institution informed of his or her current mailing address. If the person previously terminated is offered the position and accepts, he/she will be returned to the same rank and tenure status.

Termination of Declaration of Financial Exigency

The policies and procedures established by this policy shall continue in effect during the period of a state of financial exigency. If the financial health of the institution improves sufficiently, the President shall initiate a proposal for the termination of a declared state of financial exigency. At the termination of a declared state, that action by the Tennessee Board of Regents shall cause all policies, procedures, and

bodies created in this policy for the sole purpose of making and implementing exigency decisions to cease to exist.

Definitions

The following are general definitions of words and terms used in this policy that are not defined above. These words and terms are subject to further qualification and definition in the previous sections of this policy.

Reduction-in-force — the termination of employment of faculty or staff resulting from a budgetary crisis reflected in a declared state of financial exigency.

Entire institution — any one of the institutions of the Tennessee Board of Regents System for which funds are separately appropriated by the Tennessee General Assembly.

Academic or administrative unit — an academic department or other similar account-level unit.

Representative faculty body — the major faculty organization devoted to governance (as implied in Board Policy 1:03:10:00).

Primary budgetary sub-unit — a major budgetary area of an institution (e.g., academic affairs, student affairs, fiscal affairs) usually headed by an administrator reporting directly to the President.

03/04/85; 06/28/11

Hiring Procedures for Faculty

The Board empowers the president of the University to appoint individuals to faculty positions. Faculty members - instructors and those holding professorial ranks - are appointed for one-year periods of service. Full-time employees in one of these ranks may be granted continuing employment under the provisions of the tenure policies outlined subsequently and may be terminated only in accordance with these provisions.

The terms of every new appointment shall be stated in writing and be in the possession of both the prospective faculty member and the administration before the appointment is confirmed. Each time a faculty member is reappointed the terms of the reappointment including salary, contract year, department of assignment, and rank shall be stated in writing and be in his/her possession before the expiration of his/her previous assignment, to the extent possible. Since no agreement may become final until the Board of Regents has approved annual budgets, and since such approval may sometimes not be given until after termination of the academic year, it may not be possible to guarantee any upcoming year's salary before the expiration of a previous appointment. In such instances, a faculty member will be furnished in writing the terms of his/her reappointment that will become effective with the approval of the University's budget.

At the time of his/her employment, a new faculty member shall be informed of the current University, college, and department standards by which he/she can expect to be judged for eligibility for tenure. All faculty have access to the complete and updated ETSU Faculty Handbook, which is available online at: <http://www.etsu.edu/senate/facultyhandbook/default.aspx>.

Chairs and deans shall keep a faculty member informed of their expectations for her/his performance, including requirements for promotions and tenure. Any dramatic alterations in these expectations should be made explicit.

05/04/87; 07/91; 03/06/08

Faculty hiring procedures are located in the ETSU Personnel Policies and Procedures Manual, PPP-35:
<http://www.etsu.edu/humanres/relations/PPP-35.aspx>

09/15/79; Effective 03/06, policy changes will appear on the webpage cited

Personnel Policies: Records, Leaves, Benefits, and Retirement

Personnel Records

Pursuant to Tennessee Board of Regents Policy 5:01:00:10, all personnel records are filed in the Office of Human Resources. State Board of Regents and East Tennessee State University policies referred to above are available for review in the Office of Human Resources. Refer to PPP-03:

<http://www.etsu.edu/humanres/relations/PPP03.aspx>

and

TBR Policy 5:01:00:10:

<https://policies.tbr.edu/policies/personnel-records>

REFERENCE TBR meetings: June 25, 1976; March 4, 1977; June 26, 1981; September 18, 1981; September 30, 1983; September 16, 1988; Effective 03/06, policy changes will appear on the webpage cited

Personnel records are public records subject to inspection and copying

Refer to Financial Procedures Manual, FP-12:

<http://www.etsu.edu/fa/fs/finpro/FP-12.aspx>

TBR 5:01:00:10; 9/88; Effective 03/06, policy changes will appear on the webpage cited

Leaves

Adoptive Parents Leave

The previous policy on Adoptive Parents Leave has been replaced with the policy on Parental Leave. Refer to ETSU Personnel Policies and Procedures Manual, PPP-22:

<http://www.etsu.edu/humanres/relations/PPP22.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Annual Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-17:

<http://www.etsu.edu/humanres/relations/PPP17.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Bereavement Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-18:

<http://www.etsu.edu/humanres/relations/PPP18.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Civil Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-19:

<http://www.etsu.edu/humanres/relations/PPP19.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Disaster Relief Service Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-56:

<http://www.etsu.edu/humanres/relations/PPP56.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Educational Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-52:

<http://www.etsu.edu/humanres/relations/PPP52.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Family and Medical Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-46:

<http://www.etsu.edu/humanres/relations/PPP46.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Holidays

Refer to ETSU Personnel Policies and Procedures Manual, PPP-14:

<http://www.etsu.edu/humanres/relations/PPP14.aspx>

Source: TBR Meetings, October 12, 1972; September 30, 1983; December 14, 1984; December 13, 1985; September 18, 1992; Effective 10/13/11, policy changes will appear on the webpage cited

Leave of Absence

Refer to ETSU Personnel Policies and Procedures Manual, PPP-21:

<http://www.etsu.edu/humanres/relations/PPP21.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Leave Transfer Between the State University and Community College System and State Agencies

Refer to ETSU Personnel Policies and Procedures Manual, PPP-25:

<http://www.etsu.edu/humanres/relations/PPP25.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Military Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-23:

<http://www.etsu.edu/humanres/relations/PPP23.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Parental Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-38:

<http://www.etsu.edu/humanres/relations/PPP38.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Sick Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-24:

<http://www.etsu.edu/humanres/relations/PPP24.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Voting Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-49:

<http://www.etsu.edu/humanres/relations/PPP-49.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Retirement

Refer to Personnel Policies and Procedures Manual, PPP-09

<http://www.etsu.edu/humanres/relations/PPP09.aspx>

Effective 10/13/11, policy changes will appear on the webpage cited

Benefits

Information on retirement benefits, health insurance, and other benefits is available online at the Office of Human Resources web site:

<http://www.etsu.edu/humanres/benefits/default.aspx>

Effective 03/06, policy changes with The Tennessee Board of Regents has established a procedure to ensure that survivors of deceased employees are promptly informed regarding payment of earned wages and any other benefits to which they may be entitled. The procedure can be found at:

<https://policies.tbr.edu/guidelines/benefit-event-employee-death>

Effective 10/13/11, policy changes will appear on the webpage cited

Information on retirement benefits, health insurance, and other benefits is available online at the Office of Human Resources web site:

<http://www.etsu.edu/humanres/benefits/default.aspx>

Effective 10/31/11, policy changes will appear on the webpage cited

Selection and Periodic Review of Academic Administrative Personnel

Selection

Chairs

When a vacancy for the position of department chair exists, it may occur simultaneously with a job opening in the department or it may occur when a chair will no longer serve in that capacity but will remain in the department as a member of the faculty. In both cases, however, the college/school dean will notify the department concerning a vacancy or an impending vacancy.

a. Vacancy Occurring Simultaneously with a Job Opening

The search committee will be composed of at least eight members. The dean of the school or college in which the department is located will ask the departmental faculty to elect five of their own tenured members from the department. If there are less than five tenured faculty in the department, the departmental faculty will choose the remaining members from full-time members of the department. If there are less than five full-time faculty of any designation within the department, then the additional requisite committee members will be chosen by the departmental faculty from full-time faculty from outside the department. The department has the option of selecting one undergraduate or graduate student majoring in the department as one of the five designees. The dean will appoint three additional members of the search committee. If the members chosen by the departmental faculty happen not to be sufficiently diverse in any way, the dean will use his/her appointments to ensure diversity of the search committee. The dean will name as chair of the search committee a committee member who is tenured and not a member of the department.

If the dean and department wish to establish a committee larger than the minimum of eight, this may be done as long as at least

60 percent of the voting members are chosen by the departmental faculty following the previously cited criteria. Individuals who wish to be considered for the vacancy will not serve on the committee.

- b. The dean will meet with the search committee and full-time departmental faculty to discuss mutual expectations and needs regarding the department chair. The search committee and full-time departmental faculty will be involved in developing the job description and advertisement for the chair's position. The search committee will seek input from all the faculty in the department and from others as desired, screen candidates for the position, and submit to the dean the names of two or more candidates who they think are best fitted for further consideration. Interviews, if held, will include, at a minimum, meetings with the dean, the search committee, and full-time departmental faculty. If the dean agrees, the committee may submit the name of only one candidate. Candidates may or may not be ETSU faculty.

After the interview process and other due diligence, if the dean finds one or more nominations from the search committee acceptable, the dean will consult with the faculty concerning the preferred candidate(s) and determine that these are acceptable to the majority of the departmental faculty. One acceptable candidate will then be recommended by the dean to the appropriate vice president who, if in agreement, will recommend a nominee to the president. If the dean's nominee is disapproved, the dean may submit other nominations made by the committee. If none of the committee's nominees is acceptable to the dean, or if all of the dean's nominees are disapproved, the dean may request that the committee submit additional names for consideration (and for review and approval by the majority of the department) or may terminate the search and institute procedures for a new search.

When a nominee has been approved by the President, the department will be advised by the dean. Vacancies will be filled as expeditiously as is feasible. If for any reason a chair's position is left vacant pending the appointment of a new chair, the dean of the school/college will, after seeking the advice of the department and with the concurrence of administrative superiors, appoint an interim chair to serve during the interim.

c. Vacancy Occurring Without a Job Opening

Prior to the selection of a search committee the dean will obtain from the President, via the appropriate vice president, a statement as to whether or not an additional position can be created within the department. If a new position is created, the dean will appoint a committee according to the guidelines in section "Chairs" above. If a new position is not created, the dean will appoint a committee according to the same guidelines with the added restriction that the search must be confined to the present members of the faculty.

Academic Dean

When a vacancy of a position of an academic dean exists, or when it is known that such a vacancy will exist within the next twelve months, the appropriate vice president will inform the faculty of the affected college or school. A search committee will be appointed or otherwise secured by the vice president, who will also appoint the committee chair. This committee will include faculty members and a student or students from the affected college or school, together with other individuals who must never constitute a majority of the committee.

Candidates may or may not be ETSU faculty. Individuals who wish to be considered for the vacancy will not serve on the committee. The search committee will seek the advice of the faculty in the affected college or school and others as desired; will screen candidates for the position; and will submit to the vice president the names of two or more candidates whom they think to be best fitted for the position. The vice president may accept or reject any or all names submitted. If the latter be the case, the committee may be instructed to furnish additional names until an acceptable list is submitted. If, however, one or more nominees is considered to be satisfactory the committee will be consulted regarding these preferences. The preferred candidate will then be recommended to the President. If the nominee is disapproved, further nominations from the search committee may be submitted. In the event all nominations are disapproved the vice president may request that the committee submit additional names until a satisfactory nominee has been submitted.

There may be deviations from this policy where necessary to conform to the requirements of the accrediting agency having jurisdiction over any college or school.

Vacancies will be filled as expeditiously as is feasible. If a deanship is left vacant pending the selection of a new dean, the appropriate vice president, after consultation with department chairs and such others as are deemed appropriate will, with the concurrence of the President, appoint an acting dean to serve during the interim.

Vice President for Academic or Health Affairs

When a vacancy of the position of the Vice President for Academic Affairs, or Vice President for Health Affairs exists, or when it is known that such a vacancy will exist within the next twelve months, the President will inform the faculty of the affected units of the vacancy. A search committee will be appointed or otherwise secured by the President, who will also appoint the committee chair. This committee will include faculty members and a student or students from the affected colleges and schools, together with other individuals who must never constitute a majority of the committee. Individuals who wish to be considered for the vacant position will not serve on the committee. The search committee will seek the advice of the faculty and others as desired; will screen candidates for the position; and will submit to the President the names of one or more candidates whom its members think best fitted for the position. The President may accept or reject any or all names submitted. If the latter be the case the committee may be instructed to furnish additional names until an acceptable list is submitted, or other means may be used to fill the position.

Vacancies will be filled as expeditiously as is feasible. If the position is left vacant pending the selection of a new vice president for academic or health affairs, the President will appoint an acting vice president to serve during the interim.

Periodic Review

In addition to annual personnel reviews of all staff, East Tennessee State University conducts periodic reviews of administrators. Ordinarily these reviews occur every four years from the start of an individual's time in a particular position. ETSU's Personnel Policies and Procedures Manual [<http://www.etsu.edu/humanres/relations/PPP-59.aspx>] describes the periodic review process in detail, including the calendar, criteria by which administrators will be evaluated, who will participate in the review process, and provisos regarding who is exempt from review.

Standards of Conduct for Faculty

Academic Freedom and Responsibility

East Tennessee State University endorses the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors as revised and refined since 1940, and also the Statement on Professional Ethics of the same organization, insofar as these are not limited by State law or the policies of the Tennessee Board of Regents. The University recognizes the principle of academic freedom, pursuant to which: The faculty member is entitled to freedom in the classroom in discussing his or her subject, being careful not to introduce into the teaching unrelated subject matter.

The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties and subject to conditions of a sponsored grant or contract, if any, supporting the research and the University's Financial Conflict of Interest Policy. Research for financial gain must be based upon an understanding with the authorities of the university, which is documented, reduced to writing and signed by the faculty member and the appropriate academic officer(s).

The faculty member is a citizen, a member of a learned profession, and an officer of an educational university/college. When the faculty member speaks or writes as a citizen, he/she should be free from university/college censorship or discipline, but his/her special position in the community imposes special obligations. As a man or woman of learning and an educational officer, he/she should remember that the public may judge the profession and the university/college by the faculty member's utterances. Hence, a faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the university/college. Academic freedom is essential to fulfill the ultimate objectives of an educational university/college—the free search for and exposition of truth—and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth, and academic freedom in teaching is fundamental for the protection of the rights of the faculty member in teaching and of the student to freedom in learning. Implicit in the principle of academic freedom are the corollary responsibilities of the faculty who enjoy that freedom. Incompetence, indolence, intellectual dishonesty, failure to carry out assigned duties, serious moral dereliction, arbitrary and capricious disregard of standards of profession conduct—these and other grounds as set forth in TBR and university policy may constitute adequate cause for dismissal or other disciplinary sanctions against faculty members subject to the provisions of Article III. The right to academic freedom imposes upon the faculty an equal obligation to take appropriate professional action against faculty members who are derelict in discharging their professional responsibilities. The faculty member has an obligation to participate in tenure and promotion review of colleagues as specified in university policy. Thus, academic freedom and academic responsibility are interdependent, and academic tenure is adopted as a means to protect the former while promoting the latter. While academic tenure is essential for the protection of academic freedom, all faculty members, tenured or non-tenured, have an equal right to academic freedom and bear the same academic responsibilities implicit in that freedom.

Source: TBR April 2, 2004; approved by Academic Council February 17, 2005

05/04/87; 07/91; 03/06/08

Romantic Relationships between Faculty and Students

A Statement by the Faculty Senate and the Academic Council

Because those who teach are entrusted with guiding students, judging their work, assigning grades for papers and courses, and recommending students to colleagues, instructors are in a delicate relationship of trust and power. This relationship must not be jeopardized by possible doubt of intent, fairness of professional judgment, or the appearance to other students of favoritism.

One of the unstated tenets of the teaching profession indicating the commitment of its membership to a climate free from sexual harassment is the view that it is unwise and inappropriate for faculty who have or have had romantic relations with students to:

- a. teach such students in a class,
- b. supervise them in research or graduate work, or
- c. recommend them for fellowships, awards, or employment.

Prudence and the best interest of the students dictate that in such circumstances of romantic involvement, the student(s) should be aided to find other instructional or supervisory arrangements.

Faculty should keep in mind that initial consent to a romantic relationship does not preclude a charge of sexual harassment in the future.

05/04/87; 07/91; 03/06/08

TENURE

The quality of the faculty of any university is maintained primarily through support of a wide variety of professional development. It is monitored through the appraisal, by competent faculty and administrative officers, of each candidate for tenure. Tenure at a Tennessee Board of Regents university provides certain full-time faculty with the assurance of continued employment during the appointment year as defined in the employee's contract until retirement or dismissal for adequate cause, financial exigency, or curricular reasons, as further discussed herein.

Definitions

The following are general definitions of words and terms used in this policy that are not hereinafter specifically defined. However, the words and terms are subject to further qualification and definition in the subsequent sections of this policy.

Academic Tenure

Tenure is a personnel status in an academic department or other academic program unit pursuant to which the academic or fiscal year appointments of full-time faculty who have been awarded tenure are continued at a university until the expiration or relinquishment of that status, subject to termination for adequate cause, for financial exigency, or for curricular reasons.

The awarding of tenure is recognition of the merit of a faculty member and of the assumption that he/she would meet the long-term staffing needs of the department or other academic program unit and the university. Tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure. The Tennessee Board of Regents does not award tenure in non-faculty positions. Tenure appointments reside in the departments and other academic program units, and are assurances of continued employment during the appointment year subject to expiration, relinquishment, or terminations of tenure as set out in the ETSU Faculty Handbook. Recommendations for or against tenure should originate from the department or academic program unit in which the faculty member is assigned and should include appropriate participation in the recommendation by tenured faculty in the department or academic program unit as specified in TBR Policy 5:02:03:60 [<https://policies.tbr.edu/policies/academic-tenure-universities>].

Tenure is awarded only by positive action of the Board, pursuant to the requirements and procedures of this policy, at a specific university. No faculty member shall acquire or be entitled to any interest in a tenure appointment at a university without a recommendation for tenure by the president of the university and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member, and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at the university, provided that no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

Faculty Member

A faculty member is a full-time employee who holds academic rank as instructor, assistant professor, assistant clinical or research professor, associate professor, associate clinical or research professor, professor, or clinical or research professor.

Probationary Employment

Probationary employment is a period of full-time professional service by a faculty member for whom an appointment letter denotes a tenure-track appointment in which he/she does not have tenure and in which he/she is evaluated by the university for the purpose of determining his/her satisfaction of the criteria for a recommendation for tenure.

Adequate Cause

Adequate cause is a basis upon which a faculty member, either with academic tenure or a tenure-track or temporary appointment prior to the end of the specified term of the appointment may be dismissed or terminated. The specific grounds which constitute adequate cause are set forth in the ETSU Faculty Handbook.

Financial Exigency

Financial exigency is the formal declaration by the Tennessee Board of Regents that one of its universities faces an imminent financial crisis, that there is a current or projected absence of sufficient funds (appropriated or non-appropriated) for the campus as a whole to maintain current programs and activities at a level sufficient to fulfill its educational goals and priorities, and that the budget can only be balanced by extraordinary means which include the termination of existing and continuing academic and non-academic appointments.

Vice President

The term vice president shall be construed to mean either the Vice President for Academic Affairs or the Vice President for Health Affairs, depending on the action(s) or individual(s) involved.

Minimum Eligibility Requirements for Consideration for Academic Tenure

Academic tenure may be awarded only to full-time faculty members who: (a) hold academic rank as instructor, assistant professor, associate professor, or professor and meet the minimum rank criteria for that rank as specified in university policy and TBR Policy 5:02:03:60 <https://policies.tbr.edu/policies/academic-tenure-universities> ; (b) have been employed pursuant to tenure-track appointments and have completed the probationary period of service as stated in the ETSU Faculty Handbook or as agreed upon in writing and signed by the appropriate academic officer; and (c) have been determined by the university to meet the criteria for recommendation for tenure and have been so recommended pursuant to this policy.

Faculty holding temporary appointments are not eligible for tenure.

Faculty holding clinical or research appointments are not eligible for tenure, provided, however, that under certain circumstances, such appointments may be converted to tenure track appointments as discussed in TBR policy 5:02:07:10 <https://policies.tbr.edu/policies/faculty-appointments-universities> on faculty appointments.

Faculty members supported in whole or in part by funds available to the university on a short-term basis, such as grants, contracts, or foundation sponsored projects, shall not be eligible for tenure unless continuing support for such members can be clearly identified in the regular budget of the university upon the recommendation of tenure to the Board.

No faculty member shall be eligible for tenure unless the employee's contract specifies his/her tenure-track status; provided that where a faculty member with tenure is appointed to an administrative position, he/she will retain tenure in a former faculty position only; and provided further that a faculty member otherwise eligible for tenure who also holds a non-faculty position may be awarded tenure in the faculty position only, subject to the requirements of this policy.

Length of Probationary Period and Timing of Application for Tenure

Probationary faculty may be employed on annual tenure-track appointments for a probationary period which may not exceed six (6) years,

this being the normal length of time required to develop a substantial record in teaching, research and service.

Faculty may apply for tenure following completion of five years of the probationary period (so that the recommendation for tenure, if granted, would occur upon completion of six years).

Exceptions to the minimum probationary period may be made under special circumstances upon recommendation by the president and approval by the Chancellor. Upon approval of such an exception by the Chancellor, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period.

When a faculty member on a tenure-track appointment completes the probationary period and is not recommended for tenure by the president, he or she will be given notice of non-renewal of the appointment and will receive a terminal contract for the seventh year of employment.

If a faculty member wishes to apply for tenure earlier than the completion of the minimum probationary period, he or she must so notify the department chair, in writing, no later than May 15 prior to the fall term in which the application will be made. The faculty member should include in this statement of intent a brief summary of the special circumstances that the faculty member thinks warrant awarding tenure earlier than the completion of the minimum probationary period.

A faculty member may apply for tenure earlier than the completion of the minimum probationary period only once. An application occurs when the faculty member uploads the Supporting Document to ETSU's online tenure and promotion system. The candidate may withdraw the tenure materials from further consideration at any point in the tenure review process, but even if it is withdrawn, this constitutes an application.

If a faculty member applies for tenure earlier than the completion of the minimum probationary period and is not awarded tenure, this does not preclude the faculty member's right to apply for tenure upon completion of the minimum probationary period. If tenure is not awarded in an early application, this does not extend the probationary period beyond six years.

Calculating the Probationary Period

Employment during summer terms, in part-time positions, or during periods of leaves of absence (except in the circumstance described in this section), shall not be credited toward satisfying the probationary period.

Only full-time continuous service at a university will be included in determining completion of the probationary period, except where a break in service was pursuant to an approved leave of absence. A period of approved leave of absence shall be excluded from the requisite period for completion of the probationary period unless the president of the university specified in writing prior to the leave of absence that it shall be included in the probationary period. Leaves of absence may not be granted retroactively. A faculty member may apply for a maximum of two (2) leaves of absence in one-year increments so long as the total probationary period (not including the leaves of absence) does not exceed six years. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension. See ETSU's Personnel Policy Manual PPP-21 [<http://www.etsu.edu/humanres/relations/PPP21.aspx>] for more information.

A faculty member who is appointed to an administrative position prior to a tenure award remains eligible for tenure under two conditions: 1) the faculty member must qualify for tenure under departmental or other academic program unit, college and university guidelines; and 2) the faculty member must maintain a significant involvement in academic pursuits including teaching, scholarship and service. The time (or prorated portion of time) spent in the administrative position may be credited toward completion of the probationary period. The department or division in which the faculty member would otherwise be employed must still initiate the tenure action.

Where a faculty member is serving a probationary period in a department or other academic program unit and is subsequently transferred to another department or academic program unit, the faculty member may-with the written approval of the president-elect to begin a new probationary period on the date that the transfer occurs. If he/she does not so elect (and confirm in writing to the president), time spent in the first appointment shall count toward establishing the minimum and maximum probationary period.

Credit for Prior Service

The minimum probationary period may include credit for prior service when agreed to by the president and subject to the maximum permissible credit for prior service.

Prior Service at Other Universities

Credit toward completion of the probationary period may at the discretion of the president be given for a maximum of three of years of previous full-time service at other colleges, universities, or institutes provided that the prior service is relevant to the institution's own needs and criteria. Any credit for prior service that is recognized and agreed to must be confirmed in writing at the time of the initial appointment.

Prior Service at ETSU

Credit toward completion of the probation period may, at the discretion of the president, be given for a maximum of three years or previous full-time service in a temporary faculty appointment or term appointment at the same institution or in an earlier tenure-track appointment at the same institution that has been followed by a break in service. Any credit for prior service in a temporary full-time faculty appointment at the same institution or in an earlier tenure-track appointment at the same institution that has been followed by a break in service must be recognized and confirmed in writing in the appointment letter to a tenure-track position.

Requests to Decrease Credit for Prior Service

If a faculty member who received credit for prior service upon his or her appointment to a tenure-track position at the university wishes to decrease credit given for prior service and increase the number of appointment years at ETSU required for the probationary period, he or she must submit this request in writing to the chair of the academic department no later than May 15 of the final year of the minimum probationary period (calculated including the credit for prior service). Such requests can only occur upon the approval of the president of the university. Any approved reduction in credit for prior service must be in writing.

Stopping the Tenure Clock

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

A faculty member seeking a modification of his/her probationary period must submit his/her request, in writing, addressing the considerations described above. The request is to be submitted in writing to the department chair for consideration and recommendation. The request must be submitted no later than three (3) months after the conclusion of the period in which the clock is to be stopped. The chair's recommendation is forwarded to the dean of the faculty member's college for consideration and recommendation; thence to the provost for consideration and recommendation; and finally to the president for approval or denial. The president will notify the faculty member, in writing, of the decision to approve or deny such exceptions within one month of submission. Requests for modification of the probationary period that are based on a faculty member's health or care for an immediate family member should also be submitted to the university's legal counsel or to TBR's Office of the General Counsel for review.

Pre-Tenure Mentoring of Faculty

Each department and college should establish procedures that enhance communication with probationary faculty members concerning factors that may impact their candidacy (e.g., bona fide weighting of criteria, appropriate standards, approved staffing plans, curricular changes, accreditation issues, enrollment patterns, etc.). These procedures may include pre-tenure reviews conducted by academic departments or other academic units during the third year of the probationary period. It is the explicit responsibility of chairs and deans to establish formal protocols or by other means to keep tenure-track faculty apprised of their progress toward tenure by thorough evaluations and appropriate mentoring.

Non-Renewal of Tenure-Track Faculty

General Timeline

When tenure-track appointments of faculty are not to be renewed for further service, the faculty member shall receive notice of this as follows:

- a. Not later than April 1 of the full first appointment year, if the appointment expires at the end of that year; or, if the appointment terminate during an appointment year, at least three months in advance of its termination;
- b. Not later than January 1 of the second full appointment year, if the appointment expires at the end of that year; or, if the appointment terminates during an appointment year, at least six months in advance of its termination;
- c. Not later than the close of the appointment year preceding the third or subsequent full year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an appointment year, at least twelve months in advance of its termination.

Notice of non-renewal shall be effective upon personal delivery of the notice to the faculty member, or upon the date the notice is mailed, postage prepaid, to the faculty member at his/her current home address of record at the university.

Applicable dates for notice of non-renewal are based upon actual years of service at a particular university and in no way affected by any credit for prior service.

When a faculty member on a tenure-track appointment completes his/her probationary period, the faculty member will be recommended for tenure by the president or will be given a terminal contract for the seventh year. Notice of the terminal contract should be given not later than the final day of the appointment year. The faculty member's right in an instance where timely notice is not given is described in ETSU's Faculty Handbook.

If a faculty member applies for tenure earlier than the completion of the minimum probationary period and is not awarded tenure, this does not preclude the faculty member's right to apply for tenure upon completion of the minimum probationary period. If tenure is not awarded in an early application, this does not extend the probationary period beyond six years.

Faculty members on tenure-track appointments shall not be terminated during the term of the annual appointment as stated in the employment contract except for reasons which would be sufficient for the termination of tenured faculty.

The non-renewal or non-reappointment of any faculty member on a tenure-track appointment does not necessarily carry an implication that his/her work or conduct has been unsatisfactory.

Unless there is a violation of state or federal law under the limitations described in the TBR Policy on Appeals (1:02:11:00 <https://policies.tbr.edu/policies/appeals-and-appearances-board>), decisions that are not subject to appeal to the Chancellor include (a) non-renewal of a tenure-track faculty appointment during the first five years of the probationary period and (b) denial of tenure unaccompanied by notice of termination in the fifth year of the probationary period.

Initiation and Processing of Tenure Recommendations

The formulation of recommendations concerning the tenure of a faculty member is a cumulative process occurring at three levels—department/division, college, and executive or presidential. The faculty member eligible for consideration also has a significant role by assuming responsibility for timely submission of pertinent materials to the department chair for review at each level.

The director of personnel, by May 1st of each year, shall provide department chairs, deans, the appropriate vice president, and the president with lists of faculty members eligible for tenure through length of service. The action by the director of personnel does not relieve the department chairs of the responsibility of determining eligibility for tenure.

Department chairs, during the succeeding 15 days, will verify the lists through departmental and other administrative office.

By May 15 each faculty member eligible for tenure shall be so notified in writing by the department chair. A department chair may initiate a tenure recommendation at some time other than the annual review; but unless there is special need for earlier processing, subsequent steps will be taken according to the established schedule during the annual review.

Tenure applications will be completed by each faculty member applying for tenure. These applications will be submitted no later than September 15. All tenure applications must be complete at that time. No additional documentation may be added after September 15 except at the request of the reviewers and with the permission of the candidate, or vice versa. Candidates applying for promotion and tenure simultaneously submit one set of supporting materials.

Tenure applications will be reviewed at each level of the process. It is expected that each level of review is independent of prior judgment and documentation. At each level in the process, the cumulative recommendations and statements of rationale recorded by committees and administrators will be forwarded as integral parts of each candidate's application. Each reviewing official or committee has the responsibility to remand an application to any preceding level if that level's review is found to be incomplete or otherwise unacceptable. All peer committees have qualified privilege of academic confidentiality against disclosure of individual tenure votes unless there is evidence that casts doubt upon the integrity of the peer committee.

In some cases, such as small departments or unique fields of study, outside expertise may also be necessary in the evaluation process. The chair and the candidate must agree on the individual(s) selected from departments or institutions other than the candidate's own. All tenured faculty in the candidate's department, not including the department chair, and such outside experts as are needed will meet to review the tenure application. The tenure applicant must be given at least one week's notice of such meetings and, consistent with procedures described in the ETSU Faculty Handbook, shall have the opportunity to bring to the participants' notice any material that may be helpful in determining the applicant's fitness for tenured status.

In addition to any other evidence that the candidate might choose to provide, the candidate must furnish student assessments of instruction for at least eight courses, wherever possible, or for every course evaluated during the probationary period, if this number is greater. These student assessments should be representative of a variety of classes that the candidate has taught. A university-approved assessment instrument will be used for this purpose. Student assessments must be included with all applications for tenure and will be considered as one important source of information concerning effective teaching, although not the only one.

A separate peer evaluation of teaching effectiveness must also take place. This evaluation must include a review of student evaluations with consideration given to the type of courses involved. In addition, peer reviewers should assess items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular teaching responsibilities. Peer reviewers should also observe the candidate's classroom teaching.

Departments and colleges may establish their own criteria and processes for peer evaluation of teaching and may include these in their official statements of expectations for tenure, subject to the provisions of the ETSU Faculty Handbook.

It is the obligation of candidates for tenure, with assistance from their department chairs, to ensure that their teaching is evaluated by peers as described in the ETSU Faculty Handbook and to present in the tenure application documentation of the findings of peer evaluations. Proposed changes in the process for student evaluation of instruction will be submitted to the ETSU Student Government Association for consideration and reaction. The SGA will review the uses of student evaluation of instruction on a regular basis and will bring its questions, concerns and suggestions to the Faculty Senate and to the Academic Council.

Complete and accurate documentation of all research, scholarly, and creative activities, including complete bibliographic listings of publications, status of journals (refereed and non-refereed), role in jointly authored articles and papers, and complete descriptions of professional service activities should be included in each application to provide evidence of and support for these activities. Copies of published items and other reported research and creative activities must be available for examination by reviewers.

The departmental review will be completed by a committee of tenured faculty, excluding the department chair. The review should reflect serious consideration of general university criteria, the specific criteria and types of evidence specified, any weighted criteria reflecting appropriate standards for the discipline, and any currently documented analysis of long-term staffing needs.

After formal discussion, the committee of tenured faculty within the department will vote to recommend or not to recommend each candidate within the department. A written, composite statement explaining the recommendation shall be signed (by means that may include electronic signatures) by each reviewing faculty member and forwarded to the chair with a copy to the candidate. Included in that statement will be an explicit evaluation in each of the areas of teaching, research and creative/scholarly activity, and service. Dissenters may include their views in the committee report.

The department chair, by October 15, will forward to the school or college dean, and to the candidate his/her own decision to recommend or not recommend the candidate for tenure. Included in that recommendation will be a written rationale explaining the recommendation, with an explicit evaluation in each of the areas of teaching, research and creative/scholarly activity, and service. While the department chair's review is independent of that by the departmental committee, the chair's recommendation should be guided by consideration of the same criteria, standards, and types of evidence.

The chair will inform the dean of the tenured faculty members' vote. Should the chair elect to act contrary to the vote of the senior faculty, the dean or other appropriate administrative official should meet with the senior faculty of the department in question to discuss the matter. The dean or other appropriate official should also meet with the chair of the department.

All recommendations reached at the departmental level will be forwarded to the school or college on forms provided by the appropriate vice president's office.

Prior to or during the fall semester of each year, the dean of each college or school will implement procedures to establish a promotion and tenure committee. This committee shall take its membership from faculty at professorial ranks. The dean should ensure adequate representation from the tenured faculty. All members should have at least 3 years of service at ETSU. Collectively the membership should represent the various disciplines of the college or school with equal numbers appointed by the dean and elected by the faculty. At least two-thirds of the members of the committee should hold the rank of associate professor or professor. When there are not sufficient numbers of faculty within a college holding the rank of associate professor or professor to serve on the committee, the dean will request participation

of faculty in other colleges. Department chairs may not serve on such committees. No person who is an applicant for promotion in a given year may be an elected or appointed member of a College/School Promotion/Tenure Committee during that year. A person who may have been elected to serve a two or three-year term, should s/he apply for promotion during that term, shall excuse her/himself from the College/School Committee in that year. In the event a replacement is needed, the College/School will obtain a replacement on the same basis as the individual was appointed. The size of the committee should be from 6 to 14 members who shall serve staggered 2- or 3-year terms. The school or college faculty shall decide whether the committee chair shall be elected from among the members of the committee or appointed by the dean. The committee shall function in the role of advisor to the dean from October 15 until December 15 of each year. More specifically, this committee will perform the functions of review as follows:

- a. Receive and review promotion and tenure recommendations of the chairs and departmental committees for transmittal to the dean. In formulating its recommendations for or against the granting of tenure, the college committee should concentrate on the broad perspective of the college's approved mission, any bona fide weighting of criteria and standards reflecting the expectations of the applicant's academic department and/or college, approved departmental and/or college staffing plans and the department's enrollment trends.
- b. Review all applications to assure that criteria for promotion and tenure are being correctly and uniformly applied to all members of the school or college.
- c. Review the completeness of the information presented and question any omission in criteria or variations in procedure. Where discrepancies or misapplication of criteria are noted, the committee will attempt to correct the errors through direct consultation with those involved.
- d. Members of the college/school committee from a candidate's home department shall not participate in the college/school committee's discussion of the candidate or in its votes on that candidate's tenure and/or promotion.
- e. Only tenured members of the college/school committee may vote on applications for tenure.

The school/college review committee will, by December 15, forward to the dean its recommendations and a written, composite statement for each faculty member being reviewed. The use of secret or open balloting shall be decided by the college, school or division committee. These written statements will include an explicit evaluation in each of the areas of teaching, research and scholarly/creative activity, and service, and will be signed (by means that may include electronic signatures) by each committee member. Dissenters may include their views in the committee report. A copy of the committee recommendation will be forwarded to the candidate and the department chair.

The dean's recommendations, together with all written documentation, will be forwarded to the appropriate vice president by February 1. This report must also include an explicit evaluation of each candidate's record in the areas of teaching, research and scholarly/creative activity, and service. While the dean's review is independent of that by the college committee, the dean's recommendation should be guided by consideration of the same criteria, standards, and types of evidence.

The dean, at the time the candidate's application is forwarded to the vice president, will also notify the candidate and the department chair of his/her decision to recommend or not to recommend. The decision will be supported in writing. A copy of this written support will be provided to the candidate and the department chair. In the event of a negative recommendation, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

If the vice president, in the face of prior approvals, favors disapproval of an application s/he will hold a meeting with the department chair and dean concerned prior to a final decision. The candidate, chair, and dean will be advised regarding the vice president's subsequent decision, which will be supported in writing. In the event of a negative recommendation and the candidate has not initiated an earlier appeal, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

Upon reaching a decision regarding each application for tenure, the vice president will notify the dean, chair, and candidate in writing and will forward the application, together with all recommendations relevant to it, to the president by March 1.

All tenure applications initiated will be forwarded to the president regardless of the recommendation made by any intervening administrator or faculty committee; unless the candidate chooses to withdraw his/her application. Only the candidate has the right to withdraw an application that has been filed.

Final action on each tenure application will be taken by the president. When an application is approved by the president and subsequently by the chancellor and the Board of Regents, the president will notify the faculty member by letter of the award of tenure. When an application is disapproved by the president, s/he will inform the department chair, the faculty member, and other appropriate administrators in writing, stating reasons for disapproval. At this time, the candidate may appeal the president's decision. Appropriate administrative officers will be advised by the president of the action taken on all tenure recommendations; whether approved or disapproved.

A list of faculty members who are recommended for tenure status in any one year will be forwarded to the chancellor and to the Board of Regents. No faculty member shall be entitled to, or acquire any interest in, a tenure appointment in the university without a recommendation for tenure by the president and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at East Tennessee State University.

Upon final action taken by the Board of Regents, recommendation forms will be filed in the Personnel Office.

Appeals Process

Opportunities for appeal of negative recommendations on applications for tenure exist at the dean's or vice president's level and again at the president's level prior to a review of the latter's decision by the Board of Regents.

Two appeal opportunities follow the dean's action and precede that of the president. The candidate may opt to utilize either one, but not both, of these opportunities. Should the dean opt not to recommend in favor of tenure, the candidate may request a pre-appeal conference with the vice president. Should the vice president choose not to recommend for tenure and the candidate has not appealed following the dean's decision, the candidate may request a pre-appeal conference with the president. In either event the pre-appeal conference must be requested within seven days of receiving written notice of the negative recommendation.

After the pre-appeals conference, if the candidate has decided to proceed with the appeal, s/he must file an appeal in writing with the university Promotion and Tenure Appeals Committee within one week or forfeit the right to appeal at that level. When the appeal goes forward, the vice president will submit the candidate's complete application to the chair of the university Promotion and Tenure Appeals

Committee. The committee shall review information relevant to each appeal in accordance with procedures developed by the committee for all such appeals and incorporate its recommendations as a part of each candidate's application to be returned to the vice president or the president for consideration.

Within seven days of receiving, in writing, the vice president's recommendation, the candidate may request a pre-appeal conference with the president. If, during the course of that conference, the candidate feels justified in requesting a formal hearing of the appeal, he/she may request that the university Promotion and Tenure Appeals Committee hear that appeal. Within one week of the pre-appeal conference the candidate must file a written request with the committee's chair. Upon request by the committee's chair, the president will submit the candidate's complete tenure application dossier to the committee.

The committee will review information relevant to the appeal according to procedures developed by the committee for all such appeals and will incorporate its recommendations as a part of the candidate's application, which is then returned to the president for his/her consideration. The committee will also send a copy of its recommendation(s) to the candidate, the department chair, the dean and the appropriate vice president.

In the event the university Promotion and Tenure Appeals Committee makes a recommendation regarding tenure and/or promotion, the president or vice president will inform the chair of the committee in writing of the final decision and its rationale.

The University Promotion and Tenure Appeals Committee (PTAC) will be composed of one faculty senator elected by the Senate who will chair the committee, and one member from each college or school who was not a member of that body's promotion and tenure committee when the candidate's application was evaluated, as selected by the faculty senators from that college or school. The college/school senators will also designate two alternates from their college/school who would be available to serve if the primary designee is ineligible or unavailable to serve. If the college/school senators fail to designate a committee member and alternates, or if those designated are ineligible or unavailable to serve, then the Faculty Senate President and the PTAC Chair will jointly select a faculty member from that college/school to serve. Terms of appointment shall be for two-year staggered terms with the exception of the committee chair who will serve only a one year term. All members of the PTAC will be tenured and will hold professorial rank. Deans, department chairs, and other administrative personnel directly involved in college or school-level promotion decisions (such as associate or assistant deans) are excluded from membership on this committee. No member of the PTAC shall have participated in the review of the candidate's application at any previous level.

If the candidate previously appealed a negative recommendation to the university Promotion and Tenure Appeals Committee at either the dean's or vice president's level and wishes to appeal a negative recommendation by the president, an ad hoc Promotion and Tenure Appeals Committee will be formed comprised of three persons appointed by the Faculty Senate and three by the president. These persons must be tenured and hold professorial rank. They will follow the same procedure outlined in the ETSU Faculty Handbook for the university Promotion and Tenure Appeals Committee.

Criteria to be Considered in Tenure Recommendations

The following are general criteria to be employed in considering the recommendation of a faculty member for tenure. This list is not exhaustive and the selection and relative importance of these criteria will vary with the nature and mission of the department or division in which the faculty member is employed. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports and evaluations.

- a. Teaching effectiveness.
- b. Effectiveness in other academic assignments.
- c. Research, scholarly and creative activity.
- d. Professional degrees, awards, and achievements.
- e. Staffing needs of the department or division and the institution.
- f. Service of a professional nature to the institution, the community and the State.
- g. Activities, membership, and leadership in professional organizations.
- h. Demonstrated potential for continuing professional growth; and for contribution to the objectives of the department or division and the institution.
- i. Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit.

A department or college may weigh criteria to be considered in tenure recommendations and should establish appropriate standards within criteria for the distinctive discipline(s) and the level(s) of program(s) it embodies. If such weighted criteria and standards for tenure are to be applied to candidates, they should be carefully documented in approved unit mission statements and policies. Those documents become bona fide only when (1) they have been considered by faculty in those units, (2) they have gained approval by the university as official college or departmental mission statements and related policies that are consistent with university mission and policy, and (3) they have been communicated in publications or in other written form (including the Web) to faculty affected by them. Bona fide documents are maintained as public information in the offices of appropriate department chairs and deans, the Vice President for Academic Affairs or the Vice President for Health Affairs, and the Faculty Senate.

Criteria for Assessing Merit of the Candidate

Overview

All candidates for tenure should demonstrate teaching effectiveness and be fully engaged in other academic assignments commensurate with their respective faculty roles. In addition, they should demonstrate achievements in service and in research, scholarly and creative activity that are consistent with approved departmental and college/school criteria. The relative importance given to these criteria may differ according to the discipline, department, and assigned duties of individual candidates, as delineated in annual faculty activity plans, reports and evaluations.

Teaching

Effective teaching is an essential qualification for tenure, and tenure should not be granted in the absence of clear evidence of a candidate's teaching ability and potential for continued development. Excellence in teaching is a strong recommendation for both tenure and promotion, though it cannot be considered in isolation from scholarship and service. Each department must develop a procedure to ensure that factual

information relative to a candidate's teaching is available at the time he/she is considered for tenure. At the discretion of the college or faculty department faculty, student advisement may be a component of teaching or of service to the university, depending on the nature and scope of the duties performed.

The teaching portfolio should include, but is not limited to, evidence of teaching excellence as follows: command of the subject matter; ability to organize and present subject matter in a logical and meaningful way; ability to motivate and stimulate creativity, intellectual curiosity, and interest in writing and inquiry in undergraduates and/or graduate students; and evidence of peer evaluation. Documentation of teaching should routinely include: a statement of teaching philosophy; course materials; student evaluations for at least eight courses, wherever possible, or for every course evaluated during the probationary period, if this number is greater, as described in the ETSU Faculty Handbook; results of peer evaluations of teaching, as described in the ETSU Faculty Handbook; and evidence of supervision of student projects and other forms of student mentorships. A candidate for tenure may choose to include other types of evidence that support his/her application for tenure such as additional student input; student products; teaching recognition; teaching scholarship; evidence of professional development in teaching; evidence of disciplinary or interdisciplinary program or curricular development; alumni surveys and student exit interviews; and other evidence of excellence in teaching or mentoring, or both.

Evidence of effectiveness in academic assignments other than classroom teaching shall include materials and information that are pertinent to the assignment in question.

Professional Service

Evidence of contributions in the area of professional service should be offered by the candidate. Documentation of all service activities is required.

Professional service encompasses a faculty member's activities in one of three areas: outreach or public service, university service, and professional service.

- a. The outreach or public service function is the university's outreach to the community and society at large, with major emphasis on the application of knowledge for the solution of problems with which society is confronted. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the university. A vital component of the university's mission, public service must be performed at the same high levels of quality that characterize the teaching and research programs.
- b. University service refers to work other than teaching and scholarship done at the department, college, or university level. A certain amount of such service is expected of every faculty member; indeed, universities could hardly function without conscientious faculty who perform committee work and other administrative responsibilities. University service includes, but is not limited to, serving on departmental committees and participating in college and university committees. Some faculty members may accept more extensive citizenship functions, such as a leadership role in the Faculty Senate, membership on a specially appointed task force, service as advisor to a university-wide student organization, and membership on a university search committee. At the discretion of the college or faculty department faculty, student advisement may be a component of teaching or of service to the university, depending on the nature and scope of the duties performed.
- c. Professional service refers to the work done for organizations related to one's discipline or to the teaching profession generally. Service to the profession includes association leadership, journal editorships, articles and grant proposal review, guest lecturing on other campuses, and other appropriate activities. Significant professional service requires more than organizational membership and attendance. Examples of significant service include that done by an officer of a professional organization or a member of the editorial staff of a journal.

Research, Scholarship, and Creative Activities

A candidate for tenure must present evidence of his/her research, scholarship and/or creative activities when he/she applies for tenure. Such evidence should cite books, journal articles, monographs, creative activities, performances, or exhibitions that have undergone appropriate peer review. Research publications in refereed journals or media of similar quality are considered reliable indicators of research/scholarly ability. Written reviews and evaluations by qualified peers, either in person or aided by other forms of reports, or both, are appropriate for performances, compositions, and other artistic creations. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are more significant than those that are not subjected to such rigorous examination. It should be emphasized that quality is more important than quantity.

The tenure application must include evidence of peer review of the candidate's record of research/scholarly activity by qualified peers. The scholarship of teaching is a valid measure of research capability. It goes beyond doing a good job in the classroom; creative teachers should organize, record, and document their efforts in such a way that their colleagues may share their contributions to the art of teaching. Appropriate textbooks or educational articles in one's own discipline and innovative contributions to teaching, if published or presented in a peer-reviewed forum, constitute scholarship of teaching.

Clear evidence of the quality of work should accompany each application. Evidence supplied by the candidate might include records of the following:

- a. Publications: These include textbooks, books or chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews, and other related items.
- b. Papers presented: These include those papers presented at local, state, regional, national, and international professional meetings. The significance of content and selection process should be considered in the process of reviewing such presentations.
- c. Performance or exhibitions: These include performances or exhibitions that are invited or juried by nationally or regionally recognized members or groups within the discipline.
- d. Research in progress: Verification of stages of development is mandatory.
- e. Other items such as funded or unfunded research proposals, computer software development, or audio-visual media may also be considered.

Other Factors for Consideration

- a. Candidates should present evidence of continuing professional development. Much of that evidence will be submitted in the sections on teaching, service, research, and scholarly and creative activity as indicated above. Additional evidence related to professional growth may include courses taken for credit, courses audited, seminars attended, and independent study activities.
- b. The candidate should present evidence, in the annual faculty review process, of contributions to institutional as well as to

individually established goals in teaching, research, creative and scholarly activities, and service. The quality of the candidate's contributions, however, will be of greater importance than the adherence of those contributions to objectives.

Revised 12/01

Criteria for Assessing the Long-Term Staffing Needs of the Department or Division and the University

The long-term staffing needs of the department/division and the university are taken into account at each level in the review process when candidates are evaluated for tenure. Criteria to be considered may include:

- a. Enrollment patterns.
- b. Program changes.
- c. Potential for staff additions.
- d. Prospective retirements and resignations.

Long term departmental or college staffing needs should be documented in approved staffing plans that are reviewed and, if necessary, updated annually. The use of a plan as a factor in tenure consideration is only appropriate after the university approves it. Approved plans should reflect thorough review at the departmental and college levels and, after approval, should be maintained as public information in offices of appropriate department chairs and deans and the Vice President for Academic Affairs or the Vice President for Health Affairs. Approved staffing plans will be made available on request to the Faculty Senate.

Expiration of Tenure

Tenure status shall expire upon retirement of the faculty member. Tenure shall also expire upon the event of permanent physical or mental inability of a faculty member, as established by an appropriate medical authority, to continue to perform his/her assigned duties.

Relinquishment of Tenure

A faculty member shall relinquish or waive his/her right to tenure upon resignation from the university or upon failure to report for service at the designated date of the beginning of any academic term, which shall be deemed to be a resignation unless, in the opinion of the president, the faculty member has shown good cause for such failure to report. Where a tenured faculty member is transferred or reclassified to another department or academic program unit by the university, the transfer or reassignment shall be with tenure. Tenure is not relinquished during administrative assignments at the university.

Termination of Tenure for Reasons of Financial Exigency

A tenured faculty member may be terminated as a result of financial exigency at East Tennessee State University subject to Board declaration that such financial conditions exist. Personnel decisions (including those pertaining to tenured faculty) that result from a declaration of financial exigency at a Board of Regents university will comply with the Board Policy on Financial Exigency (5:02:06:00 <https://policies.tbr.edu/policies/financial-exigency>).

Termination of Tenure for Curricular Reasons

The employment of a tenured faculty member may be terminated because 1) an academic program is deleted from the curriculum or 2) because of substantial and continued reduction of student enrollment in a field or discipline. Before declaring that curricular reasons exist, the president will ensure meaningful participation by the Faculty Senate in identifying the specific curricular reasons, evaluating the long-term effect on the university's curriculum and its strategic planning goals, and the advisability of initiating further action. Prior to initiating the process described below, the president will present-either orally or in writing-a description of curricular reasons that may warrant the termination of tenured faculty member(s). Each of these reasons for termination of tenure for curricular reasons must denote shifts in staffing needs that warrant greater reductions than those which are accommodated annually in light of shifting positions from one department to another or among colleges to handle changing enrollment patterns.

The president, upon determining that curricular reasons may warrant the termination of tenured positions, shall so inform the executive committee of the Faculty Senate. At the earliest possible date after said notification, as agreed to by the president and the Executive Committee, the president or his/her designee shall appear before the Senate for the purpose of presenting all relevant information. Senators and affected unit members shall have an opportunity to pose questions and seek further information. The Faculty Senate shall respond, in writing, within thirty (30) days of this meeting.

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

If the faculty member(s) to be terminated indicates objections to the president's written statement(s) and request(s) a review, the president will appoint a faculty committee consisting of a minimum of five tenured faculty members from a slate of ten tenured faculty members proposed by the Faculty Senate. That committee shall conduct a hearing on the proposed termination(s). The committee shall then report its findings and recommendations to the president, who shall in a reasonable time inform in writing the faculty member(s) proposed for termination either that the decision for termination stands or that it has been altered.

The president's decision to terminate a tenured faculty member for curricular reasons is subject to appeal to the chancellor and the Board as provided in the policy on appeals to the Board (TBR Policy 1:02:11:00 <https://policies.tbr.edu/policies/appeals-and-appearances-board>).

When a tenured faculty member is terminated for curricular reasons, the position will not be filled by a new appointee with the same areas of specialization as the terminated faculty member within a period of three years unless the terminated faculty member has been offered, in writing, reappointment to the position at his/her previous rank and salary (with the addition of an appropriate increase which, in the opinion of the president, would constitute the raise that would have been awarded during the period that s/he was not employed).

Upon determining that termination of one or more tenured faculty members is warranted for curricular reasons, the president shall base a decision about which faculty member(s) should be terminated upon an assessment as to what action would least seriously compromise the educational programs in a department or division. Termination for curricular reasons presumes a staffing pattern in a department or division that cannot be warranted either by comparison with general load practices within the institution or by comparison with faculty loads in comparable departments or divisions at similar institutions. In that light, the president shall also, in his/her discretion, base a decision on a careful assessment of the impact of the curricular reason on staffing requirements in the division or department as compared to overall patterns in the institution and to comparable departments or divisions in institutions similar to ETSU.

Unless the president demonstrates (preferably by means of past performance evaluations) that an exception should be made to protect the quality of an educational program, the following considerations should guide-but not be construed as mandatory-in determining the order of faculty reductions in a department or division where termination of tenured faculty is proposed for curricular reasons:

- a. Part-time faculty within a department or division should not be hired or renewed before tenured faculty are terminated.
- b. Temporary faculty or tenure-track faculty in the probationary period should not be renewed before tenured faculty are terminated.
- c. Among tenured faculty those with higher rank should have priority over those with lower rank.
- d. Among tenured faculty with comparable rank, those with appropriate higher academic degree(s) should have priority over those with lower degrees.
- e. Among tenured faculty with comparable rank and degrees, those with greater seniority in rank should normally have priority over those with less seniority.

Definitions

- a. "Program is deleted from the curriculum" means that the Board takes formal action to terminate a degree major, concentration, or other curricular component and that such termination eliminates or reduces need for faculty qualified in that discipline or area of specialization."
- b. "Substantive and continued reduction of student enrollment in a field" means that over a period of at least three (3) years student enrollment in a field has decreased at a rate in considerable excess of that of the institution as a whole and that such reduction has resulted in faculty-student ratios that, in the opinion of the president, cannot be warranted either by comparison with equivalent faculty load practices within the university or by comparisons with faculty loads in comparable departments or divisions at similar institutions which the president would deem to be appropriate for comparison."

When a tenured faculty member is to be terminated for curricular reasons, the president will make every possible effort to relocate that faculty member in another existing vacant position for which s/he is qualified. In instances where, in the opinion of the president, relocation within the institution is a viable alternative, the institution has an obligation to make significant effort to relocate the faculty member, including the bearing of reasonable retraining costs. The final decision on relocation is within the discretion of the president.

When relocation within the institution is not possible, or the faculty member involved desires to go elsewhere, every reasonable effort will be made to assist in said relocation.

Transfer of Tenure

Where a faculty member is tenured in an academic program unit (e.g., a department or division) he/she may be transferred to another academic program unit. In such cases, the transfer will be made with tenure; moreover, the tenure appointment will be transferred to the new academic program unit. In no instance may the faculty member be compelled to relinquish tenure as a condition for effecting the transfer.

Termination for Adequate Cause

A faculty member with tenure or a faculty member on a tenure-track appointment prior to the end of the term of appointment may be terminated for adequate cause, which includes the following:

- a. Incompetence or dishonesty in teaching or research.
- b. Willful failure to perform the duties and responsibilities for which the faculty member was employed or refusal or continued failure to comply with the policies of the Board, the university or the department, or to carry out specific assignments, when such policies or assignments are reasonable and non-discriminatory.
- c. Conviction of a felony or a crime involving moral turpitude.
- d. Improper use of narcotics or intoxicants, which substantially impairs the faculty member's fulfillment of his/her departmental and university duties and responsibilities.
- e. Capricious disregard of accepted standards of professional conduct.
- f. Falsification of information on an employment application or other information concerning qualifications for a position.
- g. Failure to maintain the level of professional excellence and ability demonstrated by other members of the faculty in the department or academic program unit of the university.

Procedures for Termination for Adequate Cause

Termination of a faculty member with a tenure appointment or a tenure-track appointment prior to the end of the annual specified term of the appointment, shall follow the procedure outlined in TBR Policy 5:02:03:60 (Academic Tenure for Universities) section IV, subsection I. The University hearing committee shall consist of seven members that may include tenured faculty only, or tenured faculty and administrators, and at least two alternate members appointed jointly by the president of the university and the Faculty Senate (the committee's appointing body). Members with conflict of interest or bias shall either recuse themselves from the committee or be removed by the appointing body. Appeals against committee membership shall be made to the appointing body who shall determine the validity of the appeal and the need to replace committee members. In either case an alternate member shall replace the ineligible member. The hearing committee shall elect a chairperson

Refer to the TBR procedure found at

<https://policies.tbr.edu/policies/academic-tenure-universities#Termination-for-Adequate-Cause>

7/2/2015

Workload, Reporting, and Evaluation for Full-Time Faculty

Faculty Workload

Faculty appointments are governed by Tennessee Board of Regents Policy No. 5:01:00:00, and TBR Guideline A-052, which address, among other subjects, the length of the work week, holding office hours, and non-instructional assigned time. Although the traditional classification of faculty workload is in terms of teaching, research and service, this simple breakdown does not capture well the complexity of faculty activities in a modern university. Instruction takes many forms; research, scholarship and creative activity are highly dependent on the nature of the discipline; and university, professional and community service and outreach defy uniform classification across disciplines. In many instances, activities can be considered as falling within two or even three of these categories. Determining an appropriate workload for an individual faculty member that will prepare him/her for tenure and/or promotion, and lead him/her to make meaningful contributions to the university requires consideration of each of the above, as well as the particular strengths and interests of that individual within the context of departmental, college and university needs. It is evident that a uniform approach to determining faculty workload across the university, within a college, or even within a department or academic program, will rarely be productive.

Departmental Workload Policy

Each department or equivalent administrative unit shall develop a faculty workload policy that addresses the university's mission and goals, as well as those of the college, department and, where applicable, the appropriate accrediting or approval body. The policy shall be decided by all departmental faculty to whom it will apply, and it should involve sufficient flexibility that it would allow the department to draw upon each faculty member's unique ability to contribute. Each departmental faculty workload policy shall be approved by the appropriate dean and vice-president. Departmental workload policies shall be reviewed by the departmental faculty at least once every five years and be re-affirmed or revised as appropriate to the department. The departmental workload policy shall be made available to all faculty members within the department to whom it pertains.

The policy shall include a clearly delineated appeals process. Each college shall establish a workload review committee, to which appeals may be addressed; this committee shall make recommendations for resolution to the dean. It is recommended that each department also establish such a committee in order to seek to resolve disputes at the department level.

Individual faculty workloads should be developed by the faculty member and his/her chair working within the guidelines set by the department. The proposed workload should be stated in writing and signed by the faculty member, the chair and the dean. Individual workloads should be set annually for nontenured faculty, who receive annual contracts. For tenured faculty, individual workloads should be established for a typical period of three to five years. However, since each faculty member is evaluated annually and new opportunities may become available in the areas of teaching, research/scholarship and/or service, faculty workloads may be subject to review and adjustment as reasonable and necessary. The appropriate time of year to establish individual faculty workloads should be determined at the department level, bearing in mind such matters as deadlines for submission of teaching schedules, periods of service on boards or committees, or grant submission deadlines.

Workload Review

If a faculty member and his/her chair cannot agree upon an appropriate workload, the faculty member may submit a request for resolution, as outlined in the departmental workload policy appeals process. He/She should submit the request to the departmental review committee, if such a committee has been established. If a departmental committee has not been established, or the faculty member is not satisfied with the response of the departmental committee, he/she should forward the request to the college workload review committee. This committee will make a recommendation to the dean, who will inform the faculty member and the chair of his/her decision. If the faculty member is not satisfied with the dean's decision, he/she may seek guidance from a Faculty Senate Procedural Consultant and, if appropriate, file a complaint or grievance through appropriate channels.

Workload Limits and Overloads

The agreed upon faculty workload will normally set limits on the expected activities of a faculty member. In rare instances, a faculty member may be asked to assume an additional responsibility, for example, to teach an additional course. In such circumstances the faculty member may qualify for overload pay. All overloads must be documented and agreed to by the faculty member, his/her chair and the dean, and recommended in advance by the Provost and approved by the President. Overload pay should be based on the rate set by the Tennessee Board of Regents.

09/25/79; 03/15/91; 12/11/08

Faculty Reporting and Evaluation Process

East Tennessee State University implements an annual reporting and evaluation process for all tenure-track, tenured, and non-tenurable clinical and research faculty, including department chairs. After each academic year, the faculty member submits a report that includes the following items:

A description and documentation of the teaching, research/creative activities, service activities, and administrative activities in which s/he has engaged for that year, a report of professional development activities for that year and how they have contributed to enhanced effectiveness in the areas of teaching, scholarship, service, or administration, a self-evaluation and a proposed professional development activities for the coming year.

Faculty members throughout the university are expected to submit the required information at the designated time and in the university's standard, designated format. Some departments or colleges may require additional information.

For each faculty member, students will complete Student Assessment of Instruction (SAI) in at two classes during fall and spring semesters, if the faculty member teaches courses for which such assessment is appropriate. Following the completion of the semester, SAI results are

reported to the faculty member, as well as to deans and department chairs. Information about teaching effectiveness, including but not limited to the results of Student Assessment of Instruction, is used in annual evaluation of faculty members and in evaluation of applications for tenure and promotion. 1989; 02/18/07

Department chairs and deans use the report of the faculty member's activities, the faculty member's self-evaluation, the results of Student Assessment of Instruction, and other appropriate sources of information to assess each faculty member's professional performance. An important part of the evaluation process, according to Tennessee Board of Regents and ETSU policy, is appraisal of progress toward tenure for individuals on tenure track appointments. Compliance with these policies is accomplished in part by department chair and dean's responses regarding progress toward tenure in the annual evaluation of faculty. Additionally, department chairs and deans should also comment on progress toward promotion when appropriate.

The faculty evaluation process culminates with an individual conference between the department chair and each faculty member or between the department chair and dean. The professional development plan for the coming year will be approved in consultation with the department chair or dean. During the evaluation process, the department chair or dean may add professional development or improvement objective(s). These objectives are to be considered important directions for the faculty member, especially for tenure, promotion, and merit pay considerations. These recommended professional development objectives will be included as part of the faculty member's professional development plan and report for the next academic year.

The department chair forwards the results of her/his evaluation of the faculty member's performance for the year and the results of the department chair/faculty evaluation conference to the college dean. After reviewing the documents and the results of the department chair/faculty conference, the college dean adds her or his assessment of the faculty member's performance with comments or suggestions.

Evaluation Guidelines

In evaluating the activities of a tenure-track faculty member or one eligible for promotion, the department chair and dean should refer to the discussions of teaching, research/creative activity, and service that appear in the tenure and promotion sections of the ETSU Faculty Handbook and in the department's supplementary criteria for tenure and promotion. In evaluating the activities of a faculty member who has been awarded tenure and promoted to professor or who is otherwise not eligible for tenure or promotion, the department chair and dean should assess the faculty member's continued productivity in teaching, research/creative activity, and service as appropriate to his/her workload assignments and professional development plan.

Upon completion of the post-evaluation conference between a faculty member and department chair, the faculty member may request a meeting with the dean to review the department chair's evaluation and/or may submit additional information for the dean's consideration. Such a request must be made in writing within one week of the completion of the post-evaluation conference. Having reviewed the faculty member's activities report and met with the faculty member and the department chair, the dean will write her or his evaluation of the faculty member's performance.

Action if a Faculty Member Refuses or Fails to Make Adequate Progress

If a tenured, tenure-track, or non-tenurable clinical or research faculty member, judged to be performing below her or his department or college's professional standards, refuses to engage in self-generated or recommended self-improvement efforts or fails to demonstrate adequate progress on an approved plan, appropriate action will be taken. Actions may include, but are not limited to, implementation of the procedures for termination of tenured faculty as stipulated in the ETSU Faculty Handbook or contract non-renewal.

10/24/96; 02/18/07

Faculty Progressive Discipline Guidelines

The purpose of these guidelines is to facilitate a productive and harmonious working environment, protect faculty from arbitrary application of disciplinary sanctions, and assure the ultimate and enduring success of East Tennessee State University through adherence to the University core values. These guidelines are predicated on the faculty members' responsibility to maintain and exhibit competence and professionalism in their capacity as faculty; exercise professional and personal integrity and behavior; follow the ethical principles of the academic profession as expressed in the AAUP Statement of Professional Ethics; and adhere to federal and state laws and the rules and policies adopted by Tennessee Board of Regents and the University. The University will respond progressively to faculty members whose behavior fails to meet these expectations through neglect of or failure to perform their responsibilities by imposing sanctions in a manner that assists the faculty member to understand the impact of his or her behavior, and when appropriate, protects the University's ability to carry out its mission by terminating employment.

In applying these guidelines, Chairs are encouraged to contact the Director of Human Resources to discuss the faculty member's situation and to explore whether there are opportunities for professional development workshops, continuing educational opportunities, sensitivity training, or matters that should be referred to the Employee Assistance Program, Office of Disability Services, or other entities.

Application of Policy

This policy applies to all faculty except adjunct and volunteer faculty.

Definitions

Progressive Discipline. "Progressive Discipline" means the process of imposing sanctions in a gradual manner that corresponds to the nature, seriousness and impact of the behavior on the University.

Sanctions. "Sanctions" means corrective measures imposed on a faculty member for disciplinary purposes. Sanctions may range from mild to severe and from informal to formal. However, the imposition of any sanction must be regarded as a serious disciplinary step and even a first offense may warrant the most extreme penalty, including termination.

Chair. "Chair" includes the appropriate supervisor in academic units that do not follow the traditional administrative structure.

Misconduct. "Misconduct" is violation of standards of conduct, behavior, attendance, and job performance consistent with the requirements of the position.

Faculty Member Rights or Recourse

The faculty member may, at any stage of the process, contact a faculty procedural consultant.

The faculty member may submit a written rebuttal to any written reprimand.

The faculty member may, at any time during this process, retain legal counsel at his or her expense.

Procedures and Responsibilities

The following procedures must be followed when a faculty member fails to achieve and maintain standards of conduct, behavior, attendance, and job performance consistent with the requirements of the position. Allegations of discrimination, felonious or illegal conduct, or harassment will be resolved in accordance with appropriate university policies.

Procedures

The Chair shall be responsible for investigating any allegation of misconduct, including employment offenses other than discrimination and harassment, made against faculty members in his or her department and for determining whether an investigation should be conducted. The Chair may determine that the nature of the misconduct may first only require informal discussion. This approach is meant to problem-solve and improve performance, and is not meant to punish the faculty member.

Informal Discussion

Chairs are encouraged to resolve misconduct matters informally. In cases of minor misconduct or performance issues, the Chair should discuss the misconduct and/or performance problems with the faculty member and develop solutions. Written documentation of these discussions should be maintained by Chairs at the department level. Any documentation that results from informal discussions should not enter into the faculty member's personnel record and may be discarded if the problem is resolved. If the problem persists, or the nature of the problem warrants more stringent action, the Chair shall proceed to another form of counseling or discipline.

Departmental Counseling Memo

If informal discussions have not solved the problem, or if the nature and severity of the problem warrants more stringent action, the Chair shall give the faculty member a Counseling Memo that his/her conduct does not meet acceptable standards. It is recommended that the Chair consult with the Dean prior to developing the memo. The Counseling Memo should be specific as to the reason for the action and should include a description of corrective action that the faculty member should take. The Chair should clearly state that this is a Counseling Memo and that future incidents or failure to improve job performance, conduct or attendance may result in more progressive discipline. The Chair shall meet with the faculty member to discuss the memo. The faculty member's signature is requested to acknowledge receipt, not necessarily agreement.

The faculty member may provide a written response to the allegations. A response should include any evidence or information the faculty member wants the Chair to add to the record. Any response and/or request for a meeting with the Chair shall be made within 10 working days from the receipt of the Counseling Memo.

A copy of the Counseling Memo and any documentation shall be kept in the Chair's files.

Suggestions for developing a Counseling Memo may be found in [Appendix A](#).

Departmental Written Warning

If a Counseling Memo does not resolve the problem, or if the nature and severity of the problem warrants more stringent action, the Chair shall discuss the matter with the Dean. If the Chair and Dean concur, the Chair shall give the faculty member a departmental Written Warning that his/her conduct does not meet acceptable standards. While there is an expectation that the normal chain of command would be followed, if the Chair and the Dean do not agree, the Chair may appeal directly to the appropriate Vice President. The Written Warning should be specific as to the reason for the action and should include a description of corrective action that the faculty member should take. This Written Warning must identify any rules, policies or laws that may have been violated, provide any evidence obtained by the Chair, and inform the faculty member of the possible sanctions and of his or her right to respond to allegations. The Chair should clearly state that this is a Written Warning and that future incidents or failure to improve job performance, conduct or attendance may result in more progressive discipline. The Written Warning shall be delivered in a meeting between the Chair and the faculty member (an appropriate third party witness is strongly encouraged). The faculty member's signature is requested to acknowledge receipt, not necessarily agreement.

The faculty member may provide a written response to the allegations. A response should include any evidence or information the faculty member wants the Chair to add to the record. Any response and/or request for a meeting with the Chair shall be made within 10 working days from the receipt of the Written Warning. The Written Warning and any written response shall be placed in the faculty member's official personnel file maintained in the University's Office of Human Resources.

Suggestions for developing a Written Warning may be found in [Appendix B](#).

Further Steps

If the Chair determines that the faculty member's performance has not improved within the time frame detailed in the Written Warning, the Chair shall discuss with the Dean and if they concur the Chair will notify the faculty member in writing. The faculty member must be given 10 calendar days to respond in writing. The Chair should then provide the Dean with any additional/supporting documentation, including any response provided by the faculty member. If the Dean determines further action is necessary, the Dean shall inform the appropriate Vice President of the allegations before any further action is taken. While there is an expectation that the normal chain of command would be followed, if the Chair and the Dean do not agree, the Chair may appeal directly to the appropriate Vice President.

The Chair, Dean, and appropriate Vice President shall discuss all facts related to the allegation and the rules, policies, and laws that may have been violated. If the Vice President determines further action is necessary, the Vice President shall inform Human Resources and the General Counsel before any further action is taken. The president's office shall be notified that the issue has been referred to the office of General Counsel. Depending upon the severity of the alleged misconduct, the President or the President's designee may place a faculty

member on leave with pay or reassign him or her to other duties pending completion of an investigation. This shall be effective immediately upon written approval from the President or the President's designee and notice to the faculty member. The Chair, Dean, Human Resources representative, General Counsel, and appropriate Vice President will consider the nature of the behavior and its impact on the University, and the faculty member's employment history, including any past disciplinary actions, to determine the appropriate sanction(s).

Types of Sanctions

One or more types of sanction may be imposed as necessary to address the nature and seriousness of the misconduct. Sanctions include, but are not limited to those listed below. These sanctions do not appear in hierarchical order.

1. Reduction in additional duties (program director, administrative duties or appointments, etc.) with associated reduction in compensation.
2. Loss of summer teaching employment for those on less than twelve month contracts.
3. Loss of financial support for travel and professional development.
4. Loss of raises for a period not to exceed one year.
5. Reduction in salary for a period of one year. The reduction will take place with the next academic year.
6. Reduction in rank with loss of salary not to exceed the prevailing promotional increment. This sanction does not abrogate tenure.
7. Suspension with or without pay.
8. Reduction in contract period.
9. Loss of years of service credit towards tenure.
10. Loss of access to campus facilities.
11. Notification of sanctions to the departmental tenure or promotion committee.
12. Termination. (Termination of a tenured faculty member will follow the University's revocation of tenure procedure).

The Chair and Dean (and applicable Vice President and University Counsel depending on the severity of the sanction) shall meet with the faculty member and notify him/her in writing of sanctions. Sanctions begin immediately. The faculty member shall be given 15 working days from receipt of notification of the sanction to appeal the sanction(s) in accordance with University policy.

Record Retention

Unless otherwise required by law, records shall be retained according to the ETSU records retention policy.

05/2016

Workplace Violence Prevention Guideline

Refer to ETSU Personnel Policies and Procedures Manual at:

<http://www.etsu.edu/humanres/relations/PPP58.aspx>

01/26/90; November 3, 1999 - TBR President's Meeting; 12/01; Effective 03/06, policy changes will appear on the webpage cited

Section 3: Professional Development

[Advanced Degree Study for Full-Time Faculty Members](#)

[Educational Expenses Support for Faculty and Staff](#)

[Faculty Awards: Nomination, Selection, Presentation, and Criteria](#)

[Faculty Development](#)

[Fees and Tuition -- Classification of Employees, Their Spouses and Their Children, and Graduate Assistants](#)

[Instructional Development Grants](#)

[Non-Instructional Assignments](#)

[Presidential Grant-in-Aid](#)

[Research Development Committee Grants](#)

Advanced Degree Study for Full-Time Faculty Members

Faculty members may be admitted to the School of Graduate Studies through established procedures, or may enroll for graduate coursework on a non-degree seeking basis. Though faculty members are generally ineligible to receive graduate degrees from East Tennessee State University, exceptions to this policy may be granted by the Dean of the Graduate School if graduate study at ETSU will be a special advantage to the University and when graduate study elsewhere is not feasible.

The faculty member will be subject to all policies governing graduate study as specified in the graduate catalog at the time of first enrollment. A faculty member will not retain graduate faculty status while matriculating in a graduate program.

01/91; 11/08; 10/11;

Educational Expenses Support for Faculty and Staff

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP13.aspx>

TBR G P-130; 08/94; Effective 03/06, policy changes will appear on the webpage cited

Faculty Awards: Nominations, Selection, Presentation, and Criteria

Each year, ETSU will recognize outstanding faculty achievement with three awards, one each for teaching, research/scholarship/creative activity, and service. Each college Dean can nominate one candidate for each award from his or her college's faculty. Criteria for each award as well as materials required for the nomination packets are outlined below. These awards are meant to recognize excellence in teaching, service, and research/scholarship/ creative activity while employed at ETSU. While each award is intended to highlight excellence in a single area, the nominees are expected to demonstrate contributions in the areas that are not directly related to their award nomination.

Nominations

During the first week of January, nomination forms for the three awards will be distributed by the Academic Affairs Office to faculty members. Forms will be available to students through the Office of Student Affairs and to Alumni through the Alumni Office. Individual students, individual faculty members, or groups of students and/or faculty members can complete these nominations. Individuals may also nominate themselves if they meet the award criteria. An outstanding nominee is to be chosen for superior achievement in teaching, research/scholarship/creative activity, or service cited in the nomination statements submitted in the nominee's behalf. The nomination statement should clearly indicate how the nominee has demonstrated outstanding achievement in the area of the award--teaching, research, or service. The statement should also indicate the faculty member's accomplishments in other areas of responsibility. While each award focuses on only one area of faculty achievement, nominees should be faculty who are generally productive, constructive members of the academic community.

A copy of the nomination form will be made available through the Office of Academic Affairs.

The completed nomination forms for all three awards are to be returned to the appropriate Dean no later than Friday of the first week of March. Deans should also notify the appropriate chairs of nominations within each department no later than Friday of the second week of March.

Selection

Each college dean will select three to five faculty members from his/her college, or use an appropriate existing committee, to serve on a Screening Committee for that individual college. Each College Screening Committee shall seek to identify the outstanding nominees in its college, based on the nomination statements submitted for each award. A college is not required to submit nominations for university awards. In the event that a single outstanding nominee cannot readily be identified for a particular award, the Screening Committee may select more than one nominee, subject to the restriction that the total number of nominees selected shall not be more than one (1) per fifty

(50) full-time faculty members in the college. The definition of a full-time faculty member according to current TBR policy will apply here.

Each College Screening Committee may submit its outstanding nominees for each category with a composite supporting statement and nomination materials to a campus-wide ad hoc Final Selection Committee through the Provost's office by May 15. This Final Selection Committee is to be chosen by the Provost in consultation with the deans to ensure appropriate representation. Members of College Screening Committees are not eligible to serve on the Final Selection Committee for that year.

The task of the Final Selection Committee is to choose from the outstanding nominees the faculty member to receive each faculty award--teaching, research/scholarship/creative activity, or service. This committee will also submit a composite supporting statement for the nominees, along with the nomination materials.

A list of the nominees will not be released; nomination statements will be kept strictly confidential, and the name of the person chosen to receive each award will be maintained in strict confidence until the awards are presented.

All completed nomination forms will be maintained until the awards have been presented, after which time they will be destroyed. Any materials provided by the faculty nominee(s) will be returned to him/her.

Presentation

All these awards shall be presented by the Provost at the Annual Faculty Convocation. Each award shall consist of an appropriately inscribed plaque and a monetary award of no less than five thousand dollars (\$5,000).

A faculty member may receive a particular award (teaching, research/scholarship/creative activity, or service) only once, but may receive each of the three awards.

Faculty Teaching Award Criteria

The award will be given for consistently superior teaching accomplishments.

The nominee must be a full-time, faculty member as defined by current TBR policy in service for at least three (3) full years at ETSU, and only teaching that applies to ETSU students, regardless of the teaching venue, will be considered in making this award. Faculty who have achieved emeritus status no more than one year prior to the nomination are also eligible. The nominee must have a completed nomination form, at least one letter of support from another faculty member at ETSU, and a letter of support from his/her Dean.

The teaching considered may be either undergraduate or graduate or both.

Documentation should focus on the effectiveness of instruction and multiple sources of evidence.

Areas of documentation may include such things as:

- quality of presentation in classroom or field;
- command of subject matter;
- development and use of innovative methods;
- student's achievement;
- ability to motivate students;
- peer evaluation;
- student evaluation;
- current and professional development;
- advising, tutoring, direction of theses and dissertations, and other forms of assisting students;
- textbooks or other published instructional materials indicative of teaching effectiveness;
- design or revision of courses, curricula, and materials;
- management of instructional programs or components;

Unless they are related to teaching effectiveness or pedagogy, copies of the nominee's publications should not be included.

Faculty Research/Scholarship/Creative Activity Award Criteria

The nominee must be a full-time faculty member as defined by current TBR policy in service for at least three (3) full years at ETSU. Faculty who have achieved emeritus status no more than one year prior to the nomination are also eligible. The work for which the award is given must result in publication(s) or in comparable accomplishment(s) in the arts and will only be considered if it was accomplished while serving as a faculty member at ETSU.

The nominee must have a completed nomination form, at least one letter of support from another faculty member at ETSU, and a letter of support from his/her Dean.

Documentation for this award should include:

- A brief description (approximately 1 page) of the research/scholarship/creative activity in non-technical language;
- Full bibliographic information for publications, presentations, exhibitions, or creative activity that resulted from the work;
- If applicable, copies of all publications stemming from ETSU that apply to the work;
- Information for all grants and contracts that apply to the work;
- If available, communications from experts in the field who have reviewed the work.

Faculty Service Award Criteria

The award will be given for distinguished service accomplishments achieved during a substantial period prior to the award.

The nominee must be a full-time, faculty member as defined by current TBR policy in service for at least three (3) full years at ETSU, and only service while employed at ETSU will be considered in making this award. Faculty who have achieved emeritus status no more than one year prior to the nomination are also eligible. The nominee must have a completed nomination form, at least one letter of support from another faculty member at ETSU, and a letter of support from his/her Dean.

The service considered may have been provided to department, college, institution, professional organizations, community organizations, or the general public or a combination of these.

Service for which the faculty member received compensation will not be considered in making this award. (Expenses and modest honoraria are not considered compensation.)

Documentation should focus on the nature of the faculty member's contribution, its quality, its impact, its relation to the general welfare of the university, and its effect on the university community. The types of documentation for this award are expected to vary greatly, but they must adhere to the criteria below in regards to the amount of documentation allowed.

Guidelines for Faculty Award Nominations

Materials for award nominations should be limited to a 1.5 inch 3-ring binder. Publications applicable to the Research/Scholarship/Creative Activity Award nominees can be in addition to the binder. Materials within the binder should be well tabulated and logically organized to facilitate the work of the college-level and the Final Selection Committee. The binder should include the original nomination form, the nominee's vita, at least one letter of support from a fellow faculty member at ETSU, a support letter from the nominee's Dean, and any additional supporting material specific to the award.

Nominees and college-level Selection Committees are expected to use discretion with regards to the content of the nomination packets. Packets should include only material relevant to the award criteria. Examples of materials that are typically non-essential and should be excluded from the packet are as follows:

- a. Conference program booklets;
- b. Student evaluation forms;
- c. Committee meeting announcements, agendas, minutes, etc.,
- d. Thank you letters from the nominee;
- e. Copies of anything that can be equally accounted for in vita;
- f. Extra title pages.

Colleges should consider re-nominating worthy candidates, even though they have not been chosen before.

Colleges should adopt specific policies and procedures for submitting nominations for University Faculty Awards.

01/94; 08/96; 2/05: 11/09

Faculty Development

The Tennessee Board of Regents recognizes the need for the continued professional growth and development of all faculty at East Tennessee State University.

Link to TBR policy on faculty development (5:02:01:05):

<https://policies.tbr.edu/policies/faculty-development>

The continued professional growth and development of faculty is necessary for institutions of higher education to continue to provide educational programs that: (a) include all new developments and knowledge in academic disciplines; (b) reflect new instructional, research, and public service techniques and strategies; and (c) meet the changing needs and expectations of students. While all faculty are responsible for their own continued professional development, it is essential that the Board of Regents and the University provide planned, organized faculty development programs to encourage professional growth in accordance with their missions and goals. Pursuant to the foregoing considerations, the University hereby sets forth the following minimum guidelines concerning faculty development:

The University implements on an annual basis a structured, coordinated program for faculty development. The program is designed to achieve predetermined institutional objectives and utilizes an appropriate variety of activities including, but not limited to, the following:

Systematic evaluation of instruction by students, faculty, and appropriate administrators to provide bases for planning means of increasing the effectiveness of the instructional program.

Encouragement of innovation and improvement of instruction by a recognition system, i.e., outstanding faculty awards.

Effective use of grants-in-aid and scholarships pursuant to Board of Regents Policy No. 5:01:04:00.

Provision of financial support through grant awards and other means for research, scholarly and creative activity, and professional service, and for faculty participation in major activities of their respective professional associations.

Sponsorships of local forums, lectures, and workshops on scholarly developments and activities.

04/19/89; 10/11;

Fees and Tuition -- Classification of Employees, Their Spouses and Children, and Graduate Assistants

Classification of Employees, spouses and children, and graduate assistants for purposes of fees and tuition may be found in TBR Policy 5:01:04:10 at:

<https://policies.tbr.edu/policies/classification-benefits-fees-tuition>

Effective 10/11, policy changes will appear on the webpage cited

Instructional Development Grants

Instructional Development Grants for faculty instructional improvement and innovation are funded annually in the East Tennessee State University budget. The Instructional Development Grants are administered by an ad hoc Committee composed of representatives from each college/school and the Faculty Senate. The representatives are nominated by the college/school dean and Faculty Senate president. The committee chair will be elected annually from its membership; the chair may be re-elected. The committee is responsible for reviewing applications and for making recommendations to the Provost.

Policy

The purpose of the instructional development program is to provide funding for special activities and projects directly related to improving instruction and curriculum. Funds may be allocated for released time, educational resources, and travel that may be necessary in support of activities undertaken to improve individual instructional activities, departmental instruction, or curriculum development. Grants are intended to support the development of new and innovative approaches that will not only stimulate faculty to develop new teaching methods and curricula, but will also enhance student learning. Upon completion of an activity or project, the faculty member will provide a written summary of what has been achieved and, where appropriate, results will be shared with departmental or college/school faculty.

Application forms for instructional development grants are available online at:

<http://www.etsu.edu/senate/facultyhandbook/forms.aspx>

Requests for funding should be directed to the Chair of the Instructional Development Committee, following the instructions communicated electronically in the fall semester to all faculty. All requests for funding must be supported by appropriate department chair and dean. The Chair of the Instructional Development Committee will forward to the Office of the Provost the instructional development proposals that they have recommended for funding. A description of all instructional improvement grants awarded will be distributed each year so that other faculty members at the University may also be aware of creative steps to improve instruction.

Eligibility

Full-time, tenured, tenure-track, clinical and research faculty, and lecturers at East Tennessee State University are eligible to apply for Instructional Development Grants. Temporary or part-time faculty are not eligible, nor are graduate assistants. Should an individual recipient of an Instructional Development Grant leave the university or no longer be employed by ETSU during the term of the grant, the grant funding will be forfeited.

Number of Grants

While the number and size of the instructional development grants will depend on the overall funding available each year, no upper limit has been established. It is expected, however, that individual grants will not normally exceed \$5,000. It is also recognized that instructional development grants may be supplemented by resources within schools and colleges, and such supplemental support is strongly encouraged.

Selection Criteria

The committee weighs teaching innovations more highly than requests for equipment. In judging the merits of a proposal, the following criteria will be used:

1. Clear rationale for project, including a well-defined set of objectives
2. Originality and creativity of the proposal
3. Number of students who would benefit from the project
4. Applicability of project to courses or departments beyond those in which the project will occur
5. Clearly defined protocol for assessing outcomes of the project
6. Feasible calendar for implementing and assessing the project, including specific target date for completion.

Grant Periods/Deadlines/Other Information

Proposals should be submitted to the Chair of the Instructional Development Committee according to disseminated instructions no later than March 15 (if the 15th is on a Saturday/Sunday, the deadline will be the Monday immediately following). Grants will be made by May 15th of each year and will ordinarily run from July 1 through June 30 of the next fiscal year. Award recipients must submit final reports to the Office of the Provost by September 30 of the year following grant award. Failure to submit the report will result in ineligibility to receive subsequent Instructional Development Grants.

Projects may be completed in a shorter time period or, under special circumstances, be granted an extension without any additional cost. While faculty members may receive more than one instructional development grant, they will not be eligible for two consecutive years. It is expected that a faculty member receiving an instructional development grant will communicate regularly with the department chair/dean concerning the progress of the project. Instructional development funds should not be used to purchase materials or services that are already available at ETSU or normally provided by departments. Any materials and items of equipment that can be used by the grantee's department will become the property of the department when the project terminates. Computers (monitors, CPUs, or printers) are not funded

and faculty stipends receive a low priority. Other electronic equipment necessary to complete the project is acceptable although innovative methods and activities define preferable consideration.

10/28/92; 05/24/01; 10/11; 2/20/14; 11/20/2014

Non-Instructional Assignments

Purposes

The purposes of Faculty Non-Instructional Assignment include: enhance scholarship and the academic excellence of the University; contribute to the professional growth and renewal of the faculty; and strengthen the University's total curriculum and to improve teaching across the University in ways that cannot be accomplished under the constraints of regular workload assignments.

Eligibility

To be eligible for a faculty non-instructional assignment, an applicant must:

- a. Be a tenured member of the full-time teaching faculty, including department chairs;
- b. Have completed five (5) years in a professorial appointment at East Tennessee State University;
- c. Demonstrate significant scholarly or creative performance in the faculty member's discipline.

Application Procedures

Application forms for non-instructional assignments are available online at:

<http://www.etsu.edu/senate/facultyhandbook/forms.aspx>

Applications must be submitted by the first Tuesday in December for the following fall semester, the first Tuesday in June for the following spring semester, and shall include the following:

- a. A statement of goals and objectives compatible with the statement of purposes for the program;
- b. Anticipated schedule of progress during the assignment;
- c. A resume of the applicant's professional career, and
- d. If applicable, proof of acceptance by cooperating universities, approval by granting agencies, etc.

Proposal Design

Each applicant is free to design and describe the proposal to best suit the field of study. An application cover page (for signatures of the chair and dean) is required. The department of the applicant will provide a plan for instructional replacement with commitment by the Vice President for Academic Affairs for such funds as necessary.

Proposal Evaluation and Recommendation

College/school faculty committees will evaluate non-instructional assignment proposals and advise the dean as to which should be recommended for approval. The dean will then recommend to the Vice President for Academic Affairs or Vice President for Health Affairs.

Completion of Assignment/Final Report

Upon completion of the assignment, each participant will submit a written report of the assignment activity to the President and forward copies to the Vice President for Academic Affairs or Vice President for Health Affairs, the appropriate dean, and to the chair. The report should include:

- a. A statement indicating the degree to which the objectives of the proposal were accomplished; and
- b. Evidence of work in progress or completed.

Sharing Benefits of Assignment

The faculty member will share the benefits of the non-instructional assignment with the University community through his/her participation in an appropriate forum on campus.

Regulations Regarding Pay and Benefits

The faculty member must comply with University regulations requiring a minimum of one semester of service for each semester of full-time non-instructional assignment. Non-instructional assignments shall be for one semester at full pay or an academic year at one-half pay. Full benefits will be continued for a faculty member who is pursuing a non-instructional assignment for the duration of the assignment.

Published Materials

Published materials or performances resulting from the assignment shall include acknowledgment of East Tennessee State University in the article, book, or public announcement of performance.

Reapplication

Eligible faculty members who are interested in applying should note the guidelines stated above for preparing the applications and the application dates. A recipient may apply again seven (7) years after completion of the previous non-instructional assignment.

College of Medicine Faculty Participation

Faculty in the College of Medicine may participate in the University's "Non-Instructional Assignment" opportunity. However, due to the

nature of the workload assignments in the College of Medicine, including twelve-month assignments, each request will be considered on its individual merits in a review that includes the Dean of the College of Medicine, the faculty member making application, and the faculty member's departmental chair. Applications should be submitted to the Departmental Chair in the College of Medicine by the first Tuesday in December for the following fall semester or the first Tuesday in June for the following spring semester. Requests for non-instructional assigned time during summer months will be considered with those for the subsequent fall semester and should be submitted by the first Tuesday in December.

This policy is in accord with TBR Guideline A-052 found at:

<https://policies.tbr.edu/guidelines/assignment-non-instructional-faculty-time>

12/11/89; 07/90; 9/92; 01/93

Presidential Grant-in-Aid

The Presidential Grants-in-Aid for faculty development are funded annually in the East Tennessee State University budget. These funds are in lieu of external funding and in addition to resources in departments or other sources in the University. The Presidential Grants-in-Aid are administered by an ad hoc Committee composed of representatives from each college/school. The representatives are nominated by the college/school dean. The committee chair is appointed by the Vice President for Academic Affairs. The committee is responsible for reviewing applications and for making recommendations for awards to the Vice President for Academic Affairs.

Policy

The Presidential Grants-in-Aid may be awarded for planned programs of faculty development that enhance teaching, research development, or service. The awards may include funding for either credit or non-credit activities for continuing development in the applicant's current discipline, preparation in a new area or discipline, or study leading to a degree. Individual faculty applications for a Presidential Grant -in-Aid will be given the highest priority. Full-time, tenured, tenure-track, clinical and research faculty, and lecturers are eligible to apply for an individual grant-in-aid. The maximum funding for an individual award is \$5,000. A department, school/college, or an interdisciplinary group may apply for an award to provide development activities of value to a number of faculty. However, group awards will be considered as an exception and must be carefully designed in detail. The application will require special scrutiny and special approval. Recipients of individual awards and the applicant for a group award must agree to submit a brief written report to the Presidential Grant -in-Aid Committee following completion of the activity.

General Information

The criteria used by the committee will include the merit of the activity for enhancement of teaching, research development, or service activities. The committee will rate submitted proposals and funding will be based upon the scores received. There are no restrictions on the number of awards an individual or faculty group (school/college, department, etc.) may receive over the years. However, if funds are not available to meet all requests, and all other factors are equal, preference will be given to those who have not received awards previously. Some types of activities will not be funded or will receive low priority. Applications to attend courses, training programs, seminars, etc. of short duration (e.g. 1-2 days) that require high costs of travel, per diem and registration fees, will receive low priority for funding. Research proposals will not be funded; however, preparation to conduct research may receive positive consideration. Funding to attend professional meetings or to present papers should be requested from department resources. On occasions where development activities occur in conjunction with professional meetings, partial funding may be approved.

Procedure for Submitting Applications

Complete the Presidential Grant-in-Aid form, available online in Microsoft Word format from the link below, and email as noted:

<http://www.etsu.edu/senate/facultyhandbook/forms.aspx>

Supporting material should be provided as a link in the document, an inserted image, or a separate scanned file. Applicant, chair, and Dean signatures are not required at the time of submission but will be needed before funds are released. However, the applicant may solicit positive comments from the Chair or Dean prior to review by the Committee.

Grant Administration Procedures

Following are the deadline months and the activity period for the deadlines. A specific deadline date within these months will be determined by the Committee Chair and distributed as a reminder to all faculty through the e-mail system.

May, for activity period July – September
 September, for activity period October – December
 November, for activity period January – March
 February, for activity period April – June

Funding Procedures

All awards will be made through existing ETSU processes (e.g., travel, supplies, honorarium, etc.) Awards normally must be expended or, where permitted, encumbered by the end of the fiscal year (June 30). If an activity extends into a new fiscal year, the applicant(s) must divide the proposed budget to show which expenditures will fall into each fiscal year.

03/23/88; 11/19/01; 01/25/0; 11/05

Research Development Committee Grants

The Research Development Committee of East Tennessee State University serves as an advisory body to the Vice Provost for Research and Sponsored Programs. The Research Development Committee is also responsible for distribution of Research Development Committee Funds following the guidelines provided below. The budget of the Research Development Committee provides funds for assistance to faculty members in support of individual research projects. These funds are in addition to departmental and college/school resources, including the award of released time.

Policy

Research Development Committee research funds are administered by the Office of Research and Sponsored Programs on behalf of the Research Development Committee. The Office of Research and Sponsored Programs also provides administrative support services to the Committee. The Committee approves budgetary allocation of the funds available for the year, evaluates applications for grants, and approves those to be supported. Three types of financial assistance are available from the Research Development Committee: Major, Small and Interdisciplinary Grants.

Major Research Grant (up to \$10,000)

Major Grants support research and scholarship costs as student assistants, supplies and equipment, travel necessary to engage in research, development of collaborations and released time. Specific guidelines for the use of the funds are updated and posted each year. Applications are submitted once per year and reviewed by the Research Development Committee members and ad hoc reviewers. Grants are approved on the bases of merit and of priority of the individual proposal and appropriate justification of specific needs to carry out the research. Grants are made for the university fiscal year.

- a. Summer Research Stipends. A request for a summer stipend may be included in an application for a research grant. The amount of the stipend for the summer research grant will be equivalent to the teaching of one three-hour course during the summer, up to a maximum of \$2500. During the entire summer term, the recipient of a summer research stipend will not be permitted to teach more than one course or a maximum of four semester hours. The total amount of other summer salary support (e.g., from an extramural grant) must follow the Tennessee Board of Regents policy (TBR Policy 5:02:04:10) concerning total compensation permitted for academic year appointees during the summer.
- b. Research Graduate Assistants. The funding of a graduate assistant may be included in an application for a research grant. The graduate assistant will receive the approved stipend rate for the academic year during which the appointment is held. Such support is to be included in the total budget of a research grant and money to pay the in-state maintenance fee (i.e., tuition) must be included.

Small Grants (\$1,500 maximum)

Small Grants may be requested up to a maximum of \$1,500 to support modest costs of research, such as supplies, chemicals, travel to libraries and travel for the purpose of data collection. Small Grant funds may also be used to defray journal article publication costs and purchase of reprints for pre-tenured faculty. Applications for small grants may be made at any time during the year until funds are exhausted; however, awards must be spent by the end of the current fiscal year (see below). The Research Development Committee uses a rapid review process to make timely decisions on these applications.

Interdisciplinary Grants (\$50,000 maximum)

Interdisciplinary Grants may be requested up to a maximum of \$50,000 to support the costs of developing interdisciplinary research interactions among ETSU faculty. The funds may be used in the same manner as those for Major Grants (see above), and may include equipment purchases as well. Applications are submitted once per year and reviewed by the Research Development Committee members and ad hoc reviewers. Grants are approved on the bases of merit of the individual proposal and appropriate justification of specific needs to carry out the research. Grants are made for the university fiscal year.

Cut-off Dates

All funds must be expended by the end of the university fiscal year, currently June 30, of the year for which the award is made. The chairperson of the Research Development Committee will establish appropriate cut - off dates prior to June 30th for the initiation of grant expenditures.

Eligibility

Any tenured, tenure-track, or full-time employee of the University who holds faculty rank is eligible apply for funding from the Research Development Committee. However, in the case of individuals on renewable yearly contracts the department employing the individual must guarantee that if the award is made, the recipient will be in the employ of the University during the time period in which the grant is in effect. Students of the University are ineligible.

The Committee will not award a Major Research Grant to the same individual two years in a row, and no more than two Major Research Grants to the same individual in any five-year period. In a single funding cycle, an individual may submit no more than one Major Research Grant application as Principal Investigator and no more than one as Co-Investigator.

An individual may only be funded on one Small Grant during any fiscal year.

There are no limitations on participation in Interdisciplinary Grants.

Priority Funding

The Research Development Committee will consider applications from all eligible faculty members; however, priority will be given to those applicants who meet the following criteria:

- a. new researchers;
- b. researchers at all levels for whom an RDC grant will enable completion of preliminary work that will help the researcher become competitive for external funding;
- c. experienced researchers in need of additional funding to sustain a research project pending receipt of external funds or whose

- track record is such to suggest a high likelihood of successful results;
- d. experienced researchers entering new research fields; and
 - e. researchers for whom external funding realistically is not available.

Faculty members who have some external funding are not automatically precluded from receiving a Major Research award from the Research Development Committee if the project is not the same project as that receiving external support and the researcher is a new faculty member or an experienced investigator in process of changing direction in their research or scholarly activity. However, Major Research Grants may not be used to duplicate existing extramural support. Additionally, the applicant must inform the Research Development Committee if he/she is submitting a proposal to an external funding source requesting support for the same project described in the application to the Research Development Committee. In the event that the award is made by the external agency before the Research Development Committee grant begins the money will be returned to the Committee for assignment to another applicant. If the external award is made after Research Development Committee funding has begun the disposition of the remaining funds will be determined by the Chair of the Committee and the Vice-Provost for Research and Sponsored Programs after discussion with the Researcher.

Review Criteria and Rating

Major Grant Review Criteria

Major Grant Reviewers will rank applications based on both Priority and Merit criteria.

Major Grant Review Priority Criteria

- New researchers
- Researchers at all levels for whom an RDC grant will enable completion of preliminary work that will help the researcher become competitive for external funding
- Experienced researchers in need of additional funding to sustain a research project pending receipt of external funds or whose track record is as such to suggest a high likelihood of successful results
- Experienced researchers entering new research fields
- Researchers for whom external funding realistically is not available

Major Grant Review Merit Criteria

- The description of the research is detailed enough to permit adequate evaluation.
- The research problem is of sufficient importance, significance, and originality.
- The problem is not more complex than stated.
- The specific aims are measurable.
- The project is likely to produce new and useful information.
- The methodology is adequate and appropriate to the research.
- The overall design of the research or scholarly activity has been carefully thought out.
- The investigator appears to be familiar with pertinent literature and methodology.
- If a scientific investigation, the proposed research is based on a sound hypothesis that rests on sufficient evidence.
- The proposed budget is reasonable and sufficiently justified.
- There is a good possibility of external sponsored support.

Major Grant Review Summary Ratings

Each application is given a score for Priority and for Merit according to the descriptions above. The following table shows how scores should be assigned, with final decisions to be made by the individual reviewers prior to the formal meeting of the review group.

Score	Priority Descriptors	Merit Descriptors
1	New Researchers	Exceptional
2		Outstanding
3	Research enabling preliminary work increasing competitions for external funds	Excellent
4		Very Good
5	Experienced researchers needing bridge funds or previous successful track record	Good
6		Satisfactory
7	Experienced researchers entering new research fields	Fair
8		Marginal
9	All other researchers	Poor

The final score for the proposal is determined by the reviewer based on these two scores. The final score is typically, but does not have to be, the average of the two scores. Each reviewer's final score will be discussed at a reviewer group meeting. Changes in scores will be made as desired after discussion, and then all members of the review group will record their scores to be used in calculating a Summary Score.

After all review groups have completed scoring, all the Major Grant scores are combined and normalized for determining the pay line. Final

authorization of the pay line is made by vote at the annual Spring meeting of the RDC membership, including ad hoc reviewers, using blinded grant information.

Small Grant Review Criteria

Small Grants are reviewed and awarded based on merits and justification of specific needs to carry out the specific research that advances the stature of the university. Additionally, review includes consideration as to whether the proposal will increase the likelihood of extramural funding flowing into the university; "leveraging" of funds is a critical aspect of the review. Reviewers are given wide latitude in the personal determination of these criteria for each small grant. Scoring is made as either Acceptable or Not Acceptable by each reviewer. Final determination is based on the majority of reviewer scores.

Interdisciplinary Grant Review Criteria

Interdisciplinary Grants are awarded on the basis of the individual proposal and appropriate justification of specific needs to carry out the seed grant research or the interdisciplinary symposium, according to the following criteria:

- The research is interdisciplinary.
- The project establishes cooperative and interdisciplinary research programs at ETSU.
- The description of the research is detailed enough to permit adequate evaluation.
- The research problem is of sufficient importance, significance and originality.
- The problem is not more complex than stated.
- The specific aims are measurable.
- The project is likely to produce new and useful information.
- The methodology is adequate and appropriate to the research.
- The overall design of the research or scholarly activity has been carefully thought out.
- The investigator appears to be familiar with the pertinent literature and methodologies proposed.
- If a scientific investigation, the proposed research is based on a sound hypothesis that rests on sufficient evidence.
- There is a good possibility of external sponsored support.

Interdisciplinary Grant Review Ratings

Each application is scored for Merit according to the descriptions above. The following table shows how scores should be assigned, with final decisions to be made by the individual reviewers prior to the formal meeting of the review group.

Score	Rating Descriptor
1	Exceptional
2	Outstanding
3	Excellent
4	Very Good
5	Good
6	Satisfactory
7	Fair
8	Marginal
9	Poor

The final score for the proposal is determined by the reviewer based on these descriptors. Each reviewer's final score will be discussed at a reviewer group meeting. Changes in scores will be made as desired after discussion, and then all members of the review group will record their scores to be used in calculating a Summary Score.

After all review groups have completed scoring, all the Interdisciplinary Grant scores are combined and normalized for determining the pay line. Final authorization of the pay line is made by vote at the annual Spring meeting of the RDC membership, including ad hoc reviewers, using blinded grant information.

Exclusions

Grants from the Research Development Committee may not be used for support in obtaining advanced degrees, the research for or preparation of theses or dissertations, the publication of thesis or dissertations, or any other use specifically mentioned in the current pertinent Guidelines.

Submission Procedures

Application forms for Research Development Grants may be obtained in electronic format from the Office of Research and Sponsored Programs or online via the Research Development committee website. The Research Development Committee will establish and publish deadlines for a single funding competition for Major and Interdisciplinary Grants, typically at the end of February. For all grants, the completed application must be routed through the appropriate chair and dean, or supervisor and director, then submitted to the Office of Research and Sponsored Programs. The application must be signed by all these individuals before it will be considered for review.

Although a proposal may be submitted to the RDC before approval is received, research projects involving special approvals for human subjects, animals, hazardous materials or other items listed in the Guidelines must be approved by the appropriate University committee before the funds are released and the project can begin.

Major Grants

For Major Grants, one (1) paper copy of the signed application and the electronic version of the Grant must be submitted to the Office of

Research and Sponsored Programs by the published deadlines (date and time) for distribution to the Research Development Committee. Applications submitted after the published deadline will be returned to the applicant.

Small Grants

Applications for Small Grants are accepted at anytime during the year until funds dedicated for support of this program are exhausted. One (1) paper copy of the signed application and the electronic version of the Grant must be forwarded to the Office of Research and Sponsored Programs for distribution to the Small Grant Review Subcommittee of the Research Development Committee.

Interdisciplinary Grants

For Interdisciplinary Grants, one (1) paper copy of the signed application and the electronic version of the Grant must be submitted to the Office of Research and Sponsored Programs by the published deadlines (date and time) for distribution to the Research Development Committee. Applications submitted after the published deadline will be returned to the applicant.

University Expectations

The Research Development Committee makes awards to support research with the following understandings:

Research grants are awarded for the purpose of conducting professional academic research. Acceptance of the award signifies the intent of the employee to continue at the University for the following academic year. Recipients of awards must sign the acceptance form before an account is established and expenditures can be made.

The University exercises no direction or supervision over the details of the research to be performed, but it does require adherence to the original objectives and purposes of the research and adherence to the established policies of the University.

Each recipient of an award must report to the Committee upon completion of the project or the grant period as to the final expenditure of funds, the results of the research, and proposed or resulting publications. The report must be submitted to the Office of Research and Sponsored Programs using the electronic forms available on the Research Development Committee website no later than 180 days after the termination date of the grant. No person shall be eligible for consideration for a Research Development Committee award unless final reports from previously funded projects have been filed and approved by the Committee.

Each publication resulting from a research grant must carry an acknowledgment that the research was supported by the East Tennessee State University Research Development Committee. Each recipient of a Grant is required to provide one copy of any resulting papers or publications to the Office of Research and Sponsored Programs and one copy to the University Library.

Recipients of a summer stipend will devote a large part of the summer period to the research proposed in the grant. No other substantial effort, such as teaching more than one course or the equivalent in sponsored program activity, will be permitted. Persons employed under a twelve-month contract will not receive a stipend in addition to their regular salary.

If a patentable invention or copyrightable material results from grant support, the Principal Investigator must follow procedures described in the East Tennessee State University Policy on Patents and Copyrights.

Grant Administration Procedures

Following notification of award, the Principal Investigator will be contacted by the Office of Research and Sponsored Programs to discuss and finalize the project budget. The Office of Research and Sponsored Programs will request an account number on behalf of the Principal Investigator, and provide the Principal Investigator with this number, a copy of the final budget, and the Research Development Committee expenditure guidelines. The Principal Investigator is expected to carry out the research project as specified in the proposal, and to administer the account in accordance with established University fiscal procedures and regulations. Payment of any overdrafts on Research Development Committee accounts will become the responsibility of the Principal Investigator's department.

Any changes in the budget for the project must be approved by the chair of the Research Development Committee and the Vice Provost for Research. Requests for such adjustments must be made in writing.

Grant funds must be expended or, where permitted, encumbered by the end of the university fiscal year. The Principal Investigator is responsible for meeting this deadline and for not exceeding the budget allocated in the grant. If expenditures exceed the amount granted the Principal Investigator's department will be responsible for provision of funds to cover the overdraft.

01/05/89; 10/17/96; 08/04/11; 10/11;

Section 4: Compensation

[Extra Compensation](#)
[Outside Employment](#)
[Part-Time Instruction](#)
[Travel](#)
[Uncompensated Adjunct Faculty](#)
[Winter/Summer/Intersession Faculty](#)

Extra Compensation

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP07.aspx>

In all cases of outside employment not covered by this document, the President of the University shall be notified of employment in accordance with Board of Regents Policy No. 5:01:05:00, "Outside Employment and Extra Compensation" at <https://policies.tbr.edu/policies/outside-employment-and-extra-compensation>

09/08/80; Effective 03/06, policy changes will appear on the webpage cited

Outside Employment

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP07.aspx>

In all cases of outside employment not covered by this document, the President of the University shall be notified of employment in accordance with Board of Regents Policy No. 5:01:05:00, "Outside Employment and Extra Compensation" at <https://policies.tbr.edu/policies/outside-employment-and-extra-compensation>.

09/08/80; Effective 03/06, policy changes will appear on the webpage cited

Part-Time Instruction

Refer to TBR Personnel Guideline P-050 at:

<https://policies.tbr.edu/guidelines/part-time-faculty-compensation>

Effective 10/11, policy changes will appear on the webpage cited

Travel

Refer to ETSU Financial Procedures Manual at

http://www.etsu.edu/fa/fs/finpro/FP-7_Travel.aspx

04/01/87; 05/10/01; Effective 03/06, policy changes will appear on the webpage cited

Uncompensated Adjunct Faculty

The purpose of this policy is to define uncompensated adjunct faculty and provide a process for the appointment of individuals to this position at East Tennessee State University.

Definition

According to Tennessee Board of Regents Policy No. 5:02:01:00, adjunct faculty are defined as "professional staff members of businesses, industries and other agencies and organizations who are appointed by institutions and schools on a part-time basis to carry out instructional, research or public service functions." In addition, the title "adjunct faculty" may be given to administrators and others within the University who provide part-time instructional, research, or public service functions to an academic department in which they do not hold faculty rank.

Title

Academic rank is an element of faculty status, and shall be limited to the regular, full-time personnel of the institution (TBR Policy No. 5:02:01:00); therefore, the title "Adjunct Faculty" without rank designation will be used for all individuals in this affiliated status.

Privileges

While uncompensated adjunct faculty provide service to the University without monetary remuneration, they are eligible for certain faculty privileges during the term of appointment. These may include the option to purchase an ETSU Recreational Pass (<http://www.etsu.edu/students/campusrec/membership.aspx>), the option to buy a faculty/staff parking decal (<http://www.etsu.edu/fa/fs/parking/>), and faculty discounts to athletic events (<http://www.etsubucs.com/tickets/TixMain/>). Adjunct faculty also qualify for a library courtesy card.

Term of Appointment

Adjunct appointments are normally made for two academic years and are renewable upon review at the end of the appointed term.

Appointment Procedures

Adjunct faculty appointments are made by the president of the University upon the recommendation of the department chair and academic dean, and the endorsement of the appropriate vice president.

- a. The academic chair initiates the appointment by completion of the Uncompensated Adjunct Faculty Appointment Form which provides data on the candidate's credentials and a statement of the reason for the appointment, i.e. what will be the function of the adjunct faculty member-clinical instruction, periodic or part-time instruction, and public service. A copy of the form is available online at: <http://www.etsu.edu/humanres/forms.aspx#2>.
- b. The term of appointment will be noted on the form.
- c. A complete curriculum vitae for all adjunct faculty nominees will be kept on file in the dean's office.
- d. The completed appointment form is forwarded to the appropriate academic dean and to the appropriate vice president for review and approval.
- e. Appointments will be made once each year; therefore, completed forms should be forwarded to the president for approval no later than July 1 preceding the academic year of appointment.

Letter of Appointment

Upon the recommendation of the appropriate vice president the Office of Human Resources will prepare, for the President's signature, a letter of appointment indicating the department to which the appointment is made, the term of appointment, the title, and a request for a letter of acceptance of the appointment.

Notification of Appointment

A copy of the President's letter of appointment will be forwarded to the appropriate vice president and to the academic dean. Copies of the candidate's letter of acceptance will also be forwarded to the appropriate vice president and dean upon receipt in the president's office.

Exceptions

Exceptions to the policy can be made upon the recommendation of the appropriate vice president and upon approval by the President.

08/18/86

Winter/Summer/Intersession Faculty

Refer to TBR Policy 5:02:04:10 at:

<https://policies.tbr.edu/policies/faculty-compensation-during-summer-session-and-inter-sessions>

ETSU's Winter Session is under pilot in the 2011-12 academic year and inclusion in policy will be addressed.

04/18/90; TBR Meetings: March 4, 1977; March 17, 1989; March 16, 1990; October 2, 1998; Effective 03/06, policy changes will appear on the webpage cited

East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800

Section 5: Academic and Other Policies Pertaining to Student Matters

Academic and Other Policies Pertaining to Student Matters

For academic and other policies pertaining to students, refer to the appropriate link below:

Gatton College of Pharmacy Student Handbook at:

http://www.etsu.edu/pharmacy/current_students/handbook.php

Quillen College of Medicine Student Policies and Procedures at:

<http://www.etsu.edu/com/sa/admissions/collegeinfo/files/Catalog1516.pdf#page=81>

Graduate Catalog at:

<http://catalog.etsu.edu/content.php?catoid=14&navoid=659>

Undergraduate Catalog at:

<http://catalog.etsu.edu/content.php?catoid=13&navoid=613>

Section 6: Curriculum

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[Curriculum Proposals](#)

[Electronic Course](#)

[Experimental Courses](#)

[SACS COC Substantive Changes](#)

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Course Credit

Purpose

East Tennessee State University determines credit awards for its courses and programs based on the professional judgment of its faculty in applying accepted practices in higher education and in alignment with its mission. Faculty, department chairs, deans, the Undergraduate Curriculum Committee, the Graduate Council, and the Academic Council are responsible for the implementation of the policy. The Vice Provost for Academic Affairs oversees the implementation and determines the effectiveness of the policy and procedures as part of the university's planning and institutional effectiveness (PIE) process. If needed, revisions of the policy or procedures would be developed by an Academic Council ad hoc committee and approved or amended by the Council.

The purpose of this document is to define credit, the criteria for determining credit, process for determining credit, and external confirmation. The U.S. Department of Education Regulatory Language is included. Note that ETSU prefers not to use "hour" in its policy as it places emphasis on learning outcomes not time.

This policy and procedures are approved by the East Tennessee State University Academic Council and published in the Faculty Handbook, Chairs Handbook, and Curriculum Process System. Compliance with the policy is assured. All course and program credit awards are documented electronically on the Curriculum Process System by the various proposal approvers.

Definition

A semester credit is a unit of educational accomplishment represented by learning outcomes.

Criteria for Determining Credit for Courses

Faculty and review committees determine the quantity of credits for a course in accordance with commonly accepted practice in higher education. Institutionally established criteria reflect professional standards and include some or all of the following:

- discipline-specific best practices;
- purpose and goals of the course;
- intellectual/learning outcomes;
- content and topics;
- major assignments;
- assessment methods;
- class level: lower or upper division undergraduate, undergraduate/graduate combined, graduate (master and/or doctoral).
- course type: lecture, lab, clinical, studio, study abroad, internship, field placement, independent study, thesis, or dissertation;
- course delivery method: synchronous, asynchronous, or combined
- articulation and transferability of credit to other institutions; and
- other factors as appropriate.

In accordance with federal regulation (34 CFR 600.2 and subsequent guidance), one semester credit reasonably approximates the learning outcomes expected from one hour of direct faculty instruction and a minimum of two hours of out-of-class student academic engagement each week for 15 weeks. Courses offered in alternative calendars and course types require an equivalent amount of faculty and student engagement and learning outcomes.

Criteria for Determining Credit for Programs

Faculty and review committees determine the quantity of credits for a program in accordance with commonly accepted discipline-specific best practices for undergraduate, graduate, or professional degrees and policies of the Tennessee Board of Regents and the Tennessee Higher Education Commission.

Process for Determining Credit

- Faculty develop courses and programs and provide justification for proposed credit amounts.
- College and university faculty committees conduct rigorous reviews of course and program proposals, including justifications for credit to be awarded, and are responsible for final approval of proposals. Final acceptance of a proposal by each appropriate review committee denotes the review and acceptance of the proposed number of credits.

External Confirmation

- Accreditation and program reviewers assess ETSU programs of study in accordance with discipline-specific best practices, including credits awarded for courses.
- ETSU provides its policy and procedure for awarding of credit for compliance with Comprehensive Standard 3.4.6 and Federal Requirement 4.8 of the Principles of Accreditation, Southern Association of Colleges and Schools, Commission on Colleges and others.

U.S.D.O.E. Regulatory Language

In 34 CFR 600.2 of the final regulations (March 2011), ETSU defined a credit hour for Federal programs, including the Federal student financial assistance programs, as—

An amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonable approximates not less than:

1. One hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or

At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution, including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

USDOE, Office of Postsecondary education, <http://www2.ed.gov/about/offices/list/ope/index.html>

6/9/11; 08/11

Curriculum Proposals

East Tennessee State University's curriculum proposal, review, and internal approval process is in accord with the Principles of Accreditation of the Commission on Colleges of the Southern Association of Colleges and Schools (SACS). The process is also consistent with policy and guidelines regarding program review and approval of the Tennessee Board of Regents (TBR), the governing board for the universities and colleges within the System. Finally, the ETSU process complies with Tennessee Higher Education Commission (THEC) requirements regarding the authorization of new programs. Specifically, ETSU's curriculum review and approval process complies with TBR Policy 2:01:01:00 (Program Review and Approval), TBR Guideline A-010 (Academic Program Proposals), and THEC Policy A:1 (New Program Review Criteria).

Other sites of interest regarding curricular matters at ETSU include the following:

ETSU Graduate Catalog <http://catalog.etsu.edu/index.php?catoid=14>

ETSU Undergraduate Catalog <http://catalog.etsu.edu/index.php>

ETSU Proficiency-Intensive Course Listing Update in process

TBR Academic Policies:

<https://policies.tbr.edu/policies/academic-policies>

TBR Form A-010:

<https://policies.tbr.edu/guidelines/program-modifications-and-new-academic-programs>

THEC New Program Review Criteria:

http://www.tn.gov/assets/entities/thec/attachments/Policy_Manual_as_revised_01-29-15.pdf#page=4

06/01; 07/11

Electronic Courses

Definition of Terms

- a. Distance education courses – any course in which a minimum of 50% of the content is delivered electronically and the student and instructor are not in the same physical location. Courses may be synchronous or asynchronous and delivered via online technologies, videoconferencing technologies, or virtual classroom technologies. The term distance education, for the purpose of this handbook section, is intended to include all types of courses delivered electronically.
- b. Instructional Television (ITV) – any course delivered through videoconferencing technologies utilizing the ETSU multipoint control unit bridge. Courses may be delivered to another videoconference enabled room at a remote location and/or delivered to individual desktop computers.
- c. Web-based courses – any course delivered using an asynchronous pedagogy utilizing online course technologies. ETSU defines

any Web-based course in which more than 50% of the content is delivered via online technologies as an asynchronous online course.

- d. Web-enhanced courses – any course in which less than 50% of the course content is delivered via online technologies in an asynchronous or synchronous format.
- e. Telecourse – a commercially prepared course purchased by the Office of eLearning for delivery for credit as an ETSU course.
- f. Virtual classroom – any course in which a virtual classroom tool is used to deliver the course in a synchronous format. This may include a portion or all of the course content.

TBR Guidelines

ETSU follows TBR Guideline A-070 in the administration of distance education courses.

Program Planning And Implementation

The mission statement for the Office of eLearning is to provide academic support services to ETSU students, faculty, and staff, to provide support for the synchronous and asynchronous delivery of course content, and to provide a robust reliable Web presence for the university.

The goals of the Office of eLearning are to:

- a. provide high-quality academic support services for faculty who teach Web-based and Web-enhanced courses;
- b. increase student access to learning resources by providing faculty with the necessary tools and resources to create pedagogically sound Web-based and Web-enhanced courses;
- c. support faculty use of software applications and multimedia classroom equipment available at ETSU;
- d. provide quality multimedia assistance for faculty and staff through workshops, individual assistance, and phone and email support while always searching for new and creative uses for technology in the academic environment;
- e. support the integration of technology into education; and
- f. provide a reliable, robust Web presence for ETSU.

The Office of eLearning complies with the TBR definition for distance education. The Office of eLearning complies with TBR policies, when applicable, related to Program Review, Admissions, Undergraduate Academic Retention Standards, Classification of Students, Faculty Promotion, Payment of Student Fees and Enrollment of Students. The Office of eLearning also complies with TBR's Guideline A-020 Inter-institutional Relationships and Off-Campus Affairs.

Academic Standards

Each distance education course is consistent with ETSU's mission, level, and nature. Academic standards for distance education courses are determined by the academic unit offering the course. All distance education courses (synchronous and asynchronous) carry the same code, title, and credit as other sections of that course. Academic departments determine faculty load and compensation for all distance education courses. The Office of eLearning makes administrative and academic information available online at <http://www.etsu.edu/online/> to distance education students, faculty, and administrators.

All students in distance education courses have access to academic support, library services, and other instructional support that other students have. Links for these services are provided online at <http://online.etsu.edu> for all distance education students and faculty.

Identification Of Distance Education Courses

Responsibility

The Office of eLearning is responsible for courses identified as distance education courses in compliance with TBR, SACS, and institutional policy. Courses are identified as distance education courses through appropriate section numbers and methods of instruction.

Telecourses

The Office of eLearning is responsible for providing academic chairpersons materials to review in the consideration of telecourses for broadcast, video checkout, and video streaming for college credit. Potential courses may be identified by faculty or academic chairs and recommended for offering as a telecourse.

Internet (Web-based) Courses

In consultation with the Director of Academic Technology Support, academic departments identify synchronous and asynchronous Web-based courses. Academic Technology Support provides training and support for Internet courses.

Instructional Television (ITV) Courses

Academic departments/colleges, in consultation with the Director of Instructional Television Services (ITV), identify instructional television courses. All new distance education faculty receive training. The Director of ITV Services is responsible for interactive television and telecourse training. A copy of the ITV Handbook is updated annually and available online at: http://www.etsu.edu/academicaffairs/elearning/itv/documents/teacher_handbook_5.2010..pdf

Distance Education Faculty Responsibilities

Responsibilities

Faculty teaching synchronous and asynchronous courses, depending upon the course delivery medium, are responsible for the best practice guidelines set forth in the Office of eLearning Memorandum of Understanding related to electronic delivery of courses.

http://www.etsu.edu/onlinehelp/course_development/mou.php

Intellectual Property

Tennessee Board of Regents Guideline A-075 on Intellectual Property Rights (<https://policies.tbr.edu/guidelines/distance-education->

and-intellectual-property) addresses faculty development of instructional materials for Web-based courses. ETSU complies with the TBR policy regarding intellectual property rights.

ETSU Memorandum of Understanding

A web-based course is defined as a course in which more than 50% of the course content or traditional contact hours are delivered via some form of Internet activity. All Web-based courses at ETSU must be coordinated through the Office of eLearning, and faculty are advised to contact this office for information and assistance early in the process of developing an Internet-based course.

Faculty who plan to develop an Internet-based course to be offered at ETSU should complete a memorandum to formally clarify the nature of the course and establish a record of understandings regarding rights to the Internet-based course and course materials. The form to be used for the memorandum of understanding is available online at

If a faculty member is being employed or assigned specifically to create the Internet-based course or materials for the university/department, faculty and administrators should also consult TBR Guideline A-075, Distance Education and Intellectual Property (<https://policies.tbr.edu/guidelines/distance-education-and-intellectual-property>) and, when appropriate, complete a Work Made for Hire Agreement.

Roles, Responsibilities, and Duties of ITV Administrators and Staff

All Instructional Television (ITV) administrators and staff have written job descriptions that are updated periodically. Current job descriptions (<http://www.etsu.edu/humanres/pds/admin/161470.aspx>) are on file in the Office of eLearning and Office of Human Resources.

An overview of professional staff responsibilities is covered in the ITV Faculty Handbook. Job descriptions for part-time support staff (e.g., production assistants, faculty assistants, classroom assistants) are included in the appendix.

Distance Education Evaluation and Assessment

The sponsoring school/college is responsible for evaluating distance instructors as it does in all other instructional situations (see TBR Guidelines A-070, 1[4] <https://policies.tbr.edu/guidelines/distance-education>).

The Office of eLearning administers distance education student surveys for faculty in selected distance education courses every fall and spring semester. The student surveys also evaluate the effective use of the medium of instruction.

The Office of eLearning administers faculty questionnaires for all distance education courses every semester.

Results of distance education faculty questionnaires and student surveys provide data on assessing and/or improving distance education services.

Distance Education Funding

No distinction shall be made between student credit hours generated through distance education and credit hours generated through on-campus instruction.

The Office of eLearning shares revenue, after expenses, for all distance education courses funded from the regular academic year and summer budgets. The Office of eLearning maintains a budget to acquire and maintain distance education hardware and courseware.

The Office of eLearning maintains records of revenue and operating costs.

Distance Education Enrollment Data

The Office of eLearning is responsible for generating and providing student enrollment data on distance education and for reporting to the University and TBR.

Data is maintained in files in the Office of eLearning.

Scheduling Distance Education Courses

Academic units schedule distance education courses in the same manner that other courses are submitted. Distance education course scheduling follows the same semester timetable and procedures determined by the Registrar's Office.

Faculty and chairs will be involved in the determination of maximum enrollments for distance education courses in consultation with eLearning staff.

Specific section numbers and instructional delivery methods must be identified for all distance education courses. Academic units can contact the Office of eLearning for scheduling information.

Course scheduling information for ITV is available at: <http://www.etsu.edu/itv>

Telecourse Management

Telecourses are available via streaming services

Final approval for offering a video check-out telecourse is dependent upon:

- a. the past record of the telecourse (if any exists),
- b. marketability of the course,
- c. availability of course materials, and
- d. cost of course.

Telecourse Program Sources

- a. Course software is obtained by satellite broadcast or by purchasing master copies of the telecourse series.
- b. The Office of eLearning will supply catalogs and review materials for those who wish to review sources for telecourses.
- c. Faculty will be provided sample videos of telecourse programs for preview and planning purposes only.

Instructional Support

- a. The Office of eLearning will pay reasonable costs for mailing student course materials, duplication, advertising, telecourse license fees, student royalty fees, and faculty assistants.
- b. The Office of eLearning makes arrangements for students to take exams at off- locations (in cooperation with the faculty member.)

Web-Based Course and Web-Enhanced Course Management

Per ETSU policy, a Web-based course is defined to be a course in which more than 50% of the course material is delivered via the Internet.

The Office of eLearning provides a course management system site for all ETSU course sections. In compliance with the Higher Education Opportunity Act (HEOA), access to all courses defined as distance education courses must be via the ETSU course management system. Faculty must comply with ETSU's Web-based course standards and policies, as described in the Memorandum of Understanding for Web-based course development available at: <http://www.etsu.edu/online/>.

Instructional Television Course Management

The Director of ITV Services works with academic units and off-campus center staff to schedule courses. The Director of ITV Services hires, trains, and supervises production assistants and classroom facilitators for courses at off-campus sites. The Operations Coordinator maintains the on- and off-campus courier service. The Office of eLearning maintains equipment at off-campus sites. The Office of eLearning staff works with off-campus center staff to deal with problems and improve services for distance education courses.

Distance Education Faculty Assistance and Instructional Support

The Office of eLearning offers faculty assistance and instructional support, depending upon course medium, for:

- a. logistics between faculty on-campus and off-campus sites via courier services
- b. faculty assistants
- c. faculty handbook and policies available at <http://www.etsu.edu/online/>.
- d. copyright compliance
- e. training, including teaching guidelines, instructional design, course management
- f. course scheduling information
- g. library services at on-campus and off-campus sites
- h. off-campus testing services
- i. classroom facilitators and production assistants for on-campus overflow classrooms and off-campus sites
- j. student assessment of instruction
- k. procedures for inclement weather or missing class.

Marketing, Publicity, and Promotion of Distance Education

The Office of eLearning is responsible for marketing, publicity, and promotion of distance education courses. Faculty may be asked to participate in marketing.

08/11

Experimental Courses

Experimental courses may be offered twice with approval by the dean of the respective college or school and the Vice President for Academic Affairs or the designee. The proposal for an experimental course should include clear purpose for offering it, an outline of course content, and criteria for evaluating the course. Only under unusual circumstances will an experimental course be approved to be offered more than two times. If a course is to be offered after the second time, it should be made permanent on the course title file with the curriculum review process being initiated by the department chair.

In addition, courses for ETSU Study Abroad submitted for initial approval as "experimental" courses must include logistical descriptions and a complete budget. Forms are provided on the ETSU Curriculum Process System and also are available from the Office of International Programs & Services. Logistics and budget must be reviewed and approved by the International Advisory Council (or its designated committee) prior to final approval of an experimental Study Abroad course.

09/15/79; 03/91; 07/11

SACS COC Substantive Changes

East Tennessee State University maintains compliance with substantive change policy and procedures of the Southern Association of Colleges and Schools (SACS) as delineated in Substantive Change for Accredited Institutions of the Commission of Colleges. East Tennessee State University notifies the Commission on Colleges (COC) of significant modification or expansion of the nature and scope of the university and, when required, seeks approval prior to the initiation of changes. If unclear as to whether a change is substantive in nature, East Tennessee State University contacts Commission staff for consultation.

East Tennessee State University recognizes the responsibility of the COC to review substantive changes that occur between decennial reviews and to determine if the University continues to meet defined standards and federal regulations.

East Tennessee State University faculty and administrative officials that approve substantive changes at appropriate levels of the institution are identified in the Substantive Change Procedures for Academic Programs, Distance Education, Off-campus Sites, and those unlikely to

be proposed by ETSU. The campus community accesses the policy and procedures from the ETSU Faculty Handbook, ETSU SACS Web site, ETSU Curriculum Process System, and ETSU Chairs Handbook [these resources should eventually be linked].

05/03/10

Study Abroad Courses

Study Abroad Policies and Guidelines

ETSU follows TBR Guidelines A-051 Faculty Exchange (<https://policies.tbr.edu/guidelines/faculty-exchange>), A-076 Development & Operation of Off-Campus International Educational Programs (<https://policies.tbr.edu/guidelines/development-operation-campus-international-educational-programs>), and Policies 2:08:10:00 (<https://policies.tbr.edu/policies/development-operation-campus-international-educational-programs>) and 2:08:20:00 (<https://policies.tbr.edu/policies/tbr-system-faculty-academic-staff-abroad>) in the administration of study abroad courses.

ETSU guidelines for procedures and all necessary student and faculty forms are available from the Office of International Programs & Services by request or from their website: <http://www.etsu.edu/honorsinternational/faculty/proposeteach.aspx>.

Program Planning and Implementation

ETSU Study Abroad courses are offered off-campus at international locations, led by ETSU faculty (or approved staff), and listed in the appropriate department or discipline at ETSU. Off-campus locations must be approved in advance.

In addition to content review for academic standards, Study Abroad courses are also subject to review of logistics and budget. The ETSU Office of International Programs & Services advises faculty and staff on necessary logistical arrangements and budgets. The International Advisory Council serves an additional advisory role and provides final approval of logistics and budget for all study abroad course offerings. Third-party provider/service organizations may be used, but contractual agreements are subject to all current ETSU financial policies and procedures and may require review by the ETSU University Counsel and Chief Financial Officer.

Academic Standards

Each Study Abroad course is consistent with ETSU's mission and appropriate to level and nature of the degree program.

Academic standards for study abroad courses are determined by the academic unit offering the course. Academic content of Study Abroad courses are reviewed and approved by appropriate university Curriculum Committees according to current ETSU procedures and policies.

Credit for Study Abroad courses must meet TBR guidelines. Field trips, site excursions, and other cultural activities must be structured as a formal part of the course and integral to course learning objectives. In general, each week abroad in a Study Abroad course will equate to one credit hour, but course content, itinerary, and learning outcomes ultimately determine the appropriate number of credits assigned. Study Abroad courses must include two formal orientation meetings with students--one prior to departure (on campus or online), and a second meeting held upon arrival at the international site.

Academic departments and Faculty Leaders are advised to begin development of Study Abroad courses at least 12 months in advance of the first course offering to allow adequate time to develop plans, complete necessary documents, obtain approvals, and recruit students.

Identification of Study Abroad Courses

Study Abroad courses are individual courses, either experimental or formal, and cannot be offered as *Special Topics* or *Independent Studies*.

Study Abroad courses offered and led by ETSU faculty (or approved staff) are identified in course schedules with a special section code (-SA1,- SA2, etc.).

Off-campus locations must be approved and assigned a Site Location number by the Tennessee Higher Education Commission. ETSU International Programs & Services Office provides information on existing sites and assists faculty with appropriate forms.

Logistic and Budget Development and Review of Study Abroad Courses

The Office of International Programs and Services assists faculty in planning for logistical arrangements for Study Abroad courses and developing a budget appropriate to the course.

Logistical and budgetary plans for Study Abroad courses are reviewed and approved by the International Advisory Council (or its designated committee) before any particular offering of a course is scheduled or advertised to students. Expedited review and approval is provided by Director of International Programs & Services for courses previously offered at the same destination site and relatively unchanged in logistics or budget. Review and approval of logistical and budgetary aspects will be deferred for initial approval of a formal course proposed as a general category of study abroad offerings within a discipline (i.e., destination site to be determined in the future). Logistical and budget approvals then follow standard procedures described above.

Faculty Participation and Responsibilities for Study Abroad Courses

Faculty Leaders

Faculty Leaders must be full-time faculty or staff members with the academic credentials appropriate to the Study Abroad course, discipline, and accreditation standards and are identified as Instructor of Record for the course. Exceptions with regard to full-time status of the Faculty Leader may be recommended by the chair and dean of the appropriate department and college to the International Advisory Council for review and final approval.

Workshops in developing and conducting Study Abroad courses are offered by the Office of International Programs & Services.

Faculty Leader Responsibilities

A faculty or staff member serving as a Faculty Leader is responsible for all aspects of developing and offering a Study Abroad course, including itinerary and logistics in the host country and all financial responsibilities as proposed, disclosed to students, and/or arranged with the University. Funds provided by students for travel costs and for maintenance fees, and processing of costs associated with an ETSU Study Abroad course must follow current ETSU financial policies and procedures.

Faculty Leaders are responsible for ensuring that course activities comply with and students are informed about pertinent laws and customs of the destination country. If assignments or projects that involve human subjects are proposed as a course activity, approval must be obtained from the ETSU Institutional Review Board and documentation provided as part of the review of logistics provided by the International Advisory Council.

Faculty Leaders should monitor advisories issued by the U.S. State Department and Center for Disease Control (<http://travel.state.gov/content/passports/en/country.html>) and are responsible for keeping enrolled students informed of any advisories issued for the destination country. In addition, Faculty Leaders must register their group with the U.S. Department of State, which in turn will ensure that the U.S. Embassy in the destination country is informed.

Faculty Leaders are responsible for submitting all appropriate ETSU Study Abroad forms (e.g., medical information, assumption of risk, etc.) for each student to the Office of International Programs & Services prior to any departure.

Faculty Leaders are required to complete an Emergency Preparedness Workshop offered by the Office of International Programs & Services before departure and at least once every three years.

Faculty Leaders of ETSU Study Abroad courses must include two formal orientation meetings with students in their course plans---one orientation prior to departure (on campus or online), and a second meeting held upon arrival at the destination site (first or only).

Inclusion of Family Members of Faculty Leaders

Spouses and minor children of Study Abroad Faculty Leaders may be allowed to participate in study abroad programs if arrangements are made to ensure that their presence will not impair the operation of the program or infringe on participants. In addition, arrangements must be made to ensure that family expenses are not incorporated into the program budget.

Faculty Leaders who wish to include spouses and/or minor children must request approval of accompanying family included in the description of course logistics. The following information must be included: ages of minor children, begin/end dates of their intended stay, and descriptions of arrangements that will ensure their independence from budget and academic activities. Requests may be denied or other restrictions may be applied. All appropriate ETSU Study Abroad forms (e.g., medical information, assumption of risk, etc.) must be submitted for accompanying family members to the Office of International Programs & Services prior to departure. Spouses and/or minor children are required to purchase any travel/medical insurance required of all program participants.

Responsibilities for Administration of Study Abroad Courses

The ETSU International Advisory Council (IAC) has ultimate responsibility for oversight of policies, procedures, and assessments of international education and activities, including Study Abroad courses and programs. This Council is responsible for approval of logistics and budget arrangements, exceptions to full-time status of Faculty Leaders, and requests for accompanying family members. The IAC may request modifications of these arrangements prior to final approval. The IAC also is responsible for review of course assessments and may initiate actions necessary to cancel courses or modify future assignments of Faculty Leaders.

The ETSU Office of International Programs & Services and the Honors College provide staff and procedural support to the International Advisory Council.

The IAC is responsible for oversight of funds distributed for student scholarships (as recommended by the Study Abroad Scholarship Awards Committee: <http://www.etsu.edu/honorsinternational/abroad/ischolarships/>) and for faculty development support related to international education ([/honors](#)). Requests for review of evaluations of Scholarship or Faculty Development awards should be directed to the IAC, with copies submitted to the Office of the Provost.

Visiting out-of-state students are eligible to enroll in ETSU Study Abroad courses at in-state rates. The Office of International Programs & Services is available to assist these students in obtaining the appropriate tuition charges.

The Office of International Programs also is responsible for advising Faculty Leaders about course development, required campus procedures, registration of travel groups with the U.S. Department of State, and travel and health advisories issued by U.S. government agencies.

A travel warning or alert issued by the U.S. State Department for a destination country that is scheduled for ETSU Study Abroad requires an assessment of safety considerations. ETSU University Counsel and Senior Administration will conduct the assessment and must provide approval before the Study Abroad course may be conducted. Additional safeguards, trip procedures, and/or student notification may be required.

In emergency situations, the ETSU Office of International Programs & Services is designated as the first contact for communication with Faculty Leaders. This Office is then responsible for initiating appropriate campus-based communications and procedures to arrange for the appropriate emergency responses. The ETSU Honors College and the appropriate department serve as secondary contacts.

Evaluation and Assessment of Study Abroad

Student evaluation of Study Abroad courses is administered by the ETSU Honors College, with results provided to the Faculty Leader, Department Chair, and the International Advisory Council. Additional course assessment instruments (e.g., *the Intercultural Development Inventory*) are offered on a voluntary basis.

Assessment of Study Abroad courses by Faculty or Staff Leaders is held annually and includes both an individual evaluation survey and outcomes reported in a meeting of all Faculty or Staff Leaders for discussion and evaluation of problems or needs.

The ETSU International Advisory Council is responsible for review and integration of all assessments and for initiating actions deemed necessary to ensure the future safety of students and the financial and academic integrity of ETSU Study Abroad courses.

Funds and Funding for Study Abroad

The Honors College provides funds to assist Faculty Leaders with travel costs for course development (logistics in destination country) or initial offerings of an ETSU faculty-led Study Abroad course. A Faculty Request for Study Abroad Development form is available from the Honors College ([/honors](#)); requests should be submitted at least three months in advance of proposed activities, or earlier as needed for course budgets. Requests for review of the outcomes of these requests should be submitted to the IAC, with copies to the Office of the Provost.

Funds provided by students for travel costs associated with an ETSU Study Abroad course may be collected by the ETSU Faculty Leader or paid directly to a third-party provider, if used. Funds collected from students must be deposited in an ETSU Agency account. Disbursements of funds from this account must follow all ETSU financial policies and procedures.

Study Abroad courses are eligible for Study Abroad Cohort status, which provides access to all maintenance fees generated and provides Faculty/Staff Leaders with flexibility of salary and use of maintenance fees for travel costs. Participation as a Study Abroad Cohort course must be arranged in advance by contacting the ETSU Honors College at least four months prior to the course offering. Participation in the Study Abroad Cohort requires that Faculty Leaders agree in advance to salary adjustments in lieu of course cancellation due to low enrollment.

Scheduling Study Abroad Courses

Study Abroad courses must be scheduled in advance in coordination with other course offerings in the appropriate academic department. Course sections are identified via a special code (-SA1, -SA2, etc. rather than -001, -002, etc.) used to report on international education activities and to provide specialized course listings for student reference.

Initial offerings of Study Abroad courses usually require a minimum of 12 months advance preplanning to ensure adequate logistical arrangements in the destination country, as well as sufficient time for campus approval procedures and for advance recruitment of students. Faculty Leaders and academic departments are advised to begin development of their Study Abroad courses at least one year in advance and to begin student recruitment at least 6 months in advance of the planned departure dates.

Marketing, Publicity, and Promotion of Study Abroad

Academic departments are responsible for the content of all materials generated and distributed regarding Study Abroad courses offered. The Honors College and Office of International Programs & Services host materials about ETSU Study Abroad on their websites. Printed materials designed to be distributed outside the ETSU campus must follow ETSU policies and procedures (<http://www.etsu.edu/univrela/printing.aspx>).

02/11

Summer and Winter Sessions

Summer and Winter Sessions are considered non-standard and accelerated terms. Winter Session offers four-week online courses and is considered part of the spring term. Summer session are broken into three segments which may be combined in several ways and, thus, affect the amount of time available for instruction. These segments include Pre-summer, Summer I and Summer II. Segments are combined in sequence to determine course length. For example, a course may be offered Pre-summer and Summer I, Summer I and Summer II or Pre-Summer, Summer I and Summer II. The most common configuration is Summer I and Summer II. Teaching during summer sessions is also funded separately and funding may affect course availability and teaching loads.

7/13

Textbook Policies

Tennessee Code Annotated, Title 49, Chapter 7, Part 1 specifies that the Tennessee Board of Regents develop policies for minimizing the cost of textbooks and ancillary course materials at its higher education institutions, while maintaining quality of education and academic freedom. TBR Policy 2:07:00:00 (<https://policies.tbr.edu/policies/cost-textbooks>) requires each institution to develop policies for minimizing the cost of textbooks and ancillary course materials. In compliance with the TBR policy, ETSU has established the following processes:

The ETSU Bookstore supplies faculty with pre-populated Textbook Requisition Forms (TRF) for courses in October for the Spring term and in March for Summer and Fall terms to allow sufficient time for ordering and receiving textbooks/materials prior to the beginning of a term. If a faculty member wants to change a previous selection, he or she should so indicate on the TRF, provide pertinent information about the new selection, and return for a cost statement.

Information regarding instructor-specified required and supplementary textbooks/and materials is available to students by term on the ETSU Bookstore Web site (<http://www.bkstr.com/shopetsustore/shop/textbooks-and-course-materials>). This information includes cost, title, author, publisher, edition, International Standard Book Number (ISBN), and whether the textbook or materials are required, recommended, or optional. New or used textbook/materials and costs are also available. It is recommended that any college/department printed or online information regarding textbooks/materials include costs.

Each ETSU Bookstore TRF includes costs of new and used textbooks/materials, and each instructor must affirmatively knowledge the price of the textbooks and materials giving approval to order. The bookstore will only order after instructor authorization. Faculty members should consider ways to reduce the cost of course materials prior to ordering. Cost-minimization strategies, information about course textbook/materials costs, and buy back considerations are posted on the Faculty Senate Web site (<http://www.etsu.edu/senate>)

[/default.aspx](#)). As standard practice, bundled materials are discouraged. When bundled materials are requested on the TRF, the department chair also must sign the form verifying review of costs.

The ETSU Bookstore allows students to purchase a textbook separately from a bundled package of course materials that include a textbook(s). When possible, the bookstore sells study products separately from each other.

The ETSU Bookstore promotes convenient book buy-backs through several advertised means in order to increase the availability of used textbooks.

Copies of textbooks provided by publishers at no cost will be available to students through departmental libraries or Sherrod Library where they will be placed on reserve, thus allowing maximum hours of access to students.

The ETSU Bookstore staff will comply with this policy, including the textbook inventory and monitoring charge.

09/15/79; 3/17/95; 02/07/08;

East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800

Section 7: Facilities

Facilities Use Policy

Quillen College of Medicine Medical Library
University Libraries

Facilities Use Policy

Refer to ETSU D. P. Culp University Center at:

<http://www.etsu.edu/students/univcent/policies/default.aspx>

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Quillen College of Medicine Medical Library

The ETSU Quillen College of Medicine (QCOM) Medical Library acquires, organizes, manages, and facilitates access to medical and bio-medical sciences' learning resources and information to support the education, research, patient care, and collaborative programs of the College of Medicine.

The Mission Statement of the Medical Library

Refer to the ETSU QCOM Medical Library at:

<http://www.etsu.edu/medlib/>

Free Inquiry and the Medical Library

Refer to statement as defined in the initial sections of this policy.

Collection Development Policies

Book Order Policy

All faculty, administrators, staff and students at ETSU QCOM are encouraged to participate in building the library's book collection. Requests for books should be channeled through the appropriate academic department's library representatives/liaisons, who can evaluate and route requests in a manner consistent with the library and departmental policy. All requests are subject to available funds.

Consideration is also given to the priority level assigned by the requestor:

1. Essential for instruction or research
2. Supplementary for reading or research
3. Developmental: useful in the growth of the existing collection

To assist in book selection and recommendations, publisher's catalogs and Internet databases may be used. Submit titles directly to the QCOM Library administration.

It is the policy of the QCOM Medical Library to purchase only one copy of a book or monograph for addition to any collection, unless there is a demonstrated need for additional copies for reserve or curriculum support.

Gift Book Policy: Information for Prospective Donors

Donors contribute significantly to strengthening the collection and fulfilling the mission of QCOM Medical Library through their gifts of books. Gifts of library materials are subject to acceptance by the library faculty. Items will be evaluated in terms of institutional value, considering whether materials duplicate library holdings and support the curriculum.

When the library accepts a gift, it becomes the property of the QCOM Medical Library, which reserves the right to determine whether the gift will be retained, where it will be located and how it will be cataloged and circulated. Materials not retained may be disposed of by the library administration as they see fit.

The library will provide appropriate acknowledgment of gifts. However, university policy does not permit including the dollar value of the gift in the acknowledgment. This is the donor's responsibility.

The Acquisitions Department will receive gifts. For questions regarding gifts or the gift policy, contact the Department Coordinator.

Periodicals Acquisition Policy

The QCOM Medical Library Periodicals Department manages the library periodical collection. The selection and recommendation of periodicals and journals are made by individual departments and are subject to final approval of the Medical Library Director with the advice

of the Learning Resources Advisory Committee.

The library honors requests from programs reviewed for re-accreditation purposes.

The collection is maintained at current cost levels. This means that for each new title added to the collection, one or more titles must be cancelled.

Library Circulation/Reserve Policy

Circulation Policy

- a. Patron Eligibility - Refer to Library Circulation/Reserve/E-Reserve, section a., under main *University Libraries* above.
- b. Library Patron Loan Categories:
 - 1. Faculty/staff loan period: 90 days for books and 3 days for periodicals, subject to recall; renewals possible if there are no holds.

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section b. (1), under main *University Libraries* above.

- 2. Student loan period: 4 weeks for books and 3 days for periodicals; renewals possible if there are no holds.

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section b. (2), under main *University Libraries* above.

- 3. Reserve loan period

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section b. (3), under main *University Libraries* above.

- c. Fines

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section c., under main *University Libraries* above.

- d. Encumbrances

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section d., under main *University Libraries* above.

- e. Disposition of Charges

All money paid for fines go into the QCOM Medical Libraries "Revenue" account.

Course Reserve Policy

Materials placed on reserve include materials from the QCOM Medical Library collections, materials owned by a faculty member, and photocopies of materials. Photocopying of all materials is the responsibility of the faculty member for purposes of copyright compliance. Copyright law guidelines require the library to hold no more than one photocopy of a work on reserve. Students may make their own study copy from the reserve item. Faculty members are asked to sign acknowledgment of copyright responsibility in the space provided on the Course Reserve Materials List.

- a. Personal Copy

Refer to Course Reserve/E-Reserve Policy, Forms, (2), b., (2), (b), under main *University Libraries* above.

- b. Photocopies

Refer to Course Reserve/E-Reserve Policy, Forms, (2), b., (2), (c), under main *University Libraries* above.

- c. Loan Periods

Refer to Course Reserve/E-Reserve Policy, Loan Periods, under main *University Libraries* above.

- d. Faculty Loan Privileges

Refer to Course Reserve/E-Reserve Policy, Faculty Loan Privileges, under main *University Libraries* above.

- e. Periodicals

Refer to Course Reserve/E-Reserve Policy, Periodicals, under main *University Libraries* above.

- f. Reserve Fines

Refer to Course Reserve/E-Reserve Policy, Reserve Fines, under main *University Libraries* above.

- g. Removal from Reserve

Refer to Course Reserve/E-Reserve Policy, Removal from Reserve, under main *University Libraries* above.

Copyright Guidelines with Respect to Books and Periodicals

Refer to Copyright Guidelines with Respect to Books and Periodicals under main *University Libraries* above.

Faculty Borrowing Policy

Refer to Faculty Borrowing Policy under main *University Libraries* above.

Tennessee Academic Library Collaborative (TALC)

Refer to Faculty Borrowing Policy under main *University Libraries* above.

Confidentiality of Records Policy

Refer to Faculty Borrowing Policy under main *University Libraries* above.

Photocopy Services

A copy card may be used in the self-service copiers in the library at \$0.05 per copy. A copy card vending machine, which dispenses cards at a cost of \$0.40 per card, is available. ETSU personnel may use their University I.D. card as a copy card. Ask for assistance at the Circulation Desk.

ETSU Faculty may request photocopies of articles from journals held by the Medical Library. The cost is \$0.10 per page. If the request is for "Rush" and/or to be faxed, an extra \$2.00 per article will be added to the charges.

Interlibrary Loan Policy

The Interlibrary Loan (ILL) department obtains materials from other libraries to support the teaching and research of all ETSU faculty. First-time users and all faculty with special or rush requests should contact the ILL Department to discuss policies. ILL costs are as below:

ETSU Students: \$1.00 non-refundable processing fee per article plus lending library/faxing fee, if applicable;

University Departments/Faculty and Staff/Affiliated Hospital Libraries: \$2.00 non-refundable fee per article plus lending library/faxing fee, if applicable;

Community Health Professionals: \$15.00 per article plus lending library/faxing fee, if applicable;

LoansomeDoc Requests for affiliated members: \$2.00 per article plus lending library/faxing fee, if applicable;

LoansomeDoc Requests for non-affiliated members: \$10.00 per article plus lending library/faxing fee, if applicable.

Request forms are available at the Reference Desk or via the QCOM Medical Library WebPages.

ILL users are responsible for careful handling and prompt return of all borrowed materials.

Any charges from a lending library are passed on to the faculty member. Faculty authorized to charge their departments or university accounts should so indicate on request forms.

Library Instruction

The library instruction and orientation services program is geared toward the curricular needs of the university faculty. Instruction requests should be scheduled in advance through the QCOM Medical Library Reference Department. Faculty members should discuss with a librarian any class assignments related to library use, in order to increase the value of the learning experience related to library instruction. Faculty members who plan to have their classes do independent work in the library should schedule such visits with the Reference Services staff. Faculty or graduate teaching assistants should remain with their classes while in the library.

Database Access

Refer to Database Access Policy under main *University Libraries* above.

Library Internet Access and Use Policy

Mission Statement for Internet Use

Internet access at the James H. Quillen College of Medicine Library is an extension of our library's commitment to meeting the medical community's information needs. In addition to using the Internet as an information resource, the library also provides Internet access to information for the public.

Acceptable Use

The James H. Quillen College of Medicine library does NOT monitor and has no control over the information accessed through the Internet and cannot be held responsible for its content
Internet resources provided by the library are primarily provided for students, faculty and staff of ETSU and its colleges. We also provide access for community users as a courtesy.

The computer and Internet settings may not be changed.

The workstations may not be used for any fraudulent or unlawful purpose, including activities prohibited under any applicable federal, Tennessee, or local laws.

It is the responsibility of the user to be aware of the display of all notices concerning copyright and to respect the copyright laws of the United States.

Guidelines for Public Internet Use

- a. Computer use by patrons may be limited to 30 minutes per session.
- b. Extension of the time limit may be granted at the library staff's discretion and only if the computer does not need to be accessed by another patron.
- c. Internet use on the public terminals does not include the use of Email or online chat rooms.
- d. James H. Quillen College of Medicine Library is not responsible for the quality or accuracy of information found through Internet resources.

Internet access privileges will not be given to anyone who breaches this usage policy.

2/2001; 07/11

University Libraries

(Sherrod and Extended Campuses)

The following library policies are reviewed periodically and are revised as necessary. Current library policies may be found on the University libraries website at: <http://www.sherrod.etsu.edu/>

Free Inquiry and the East Tennessee State University Libraries

The ETSU libraries provide a wide range and representation of published and electronic information to serve the objectives of the institution. The concept of free inquiry and its relation to the resources of the University libraries is self-evident; however, it is important to recognize and reaffirm the freedoms that are essential to the selection, organization, and use of the resources of the University.

The first essential freedom is to allow the selection of library books and other materials according to the instructional and research needs of the University faculty, recognizing the importance of representing all major views including those that may be currently unorthodox or controversial. The classification and arrangement of these library resources must also be based upon principles of free access, balanced with the need for preservation of resources.

The second essential freedom is to allow free inquiry by the individual. Under no circumstances should a faculty member, employee or student of East Tennessee State University be denied access to the library's collections or its facilities, or have any limitations imposed on use because of age, sex, color, race, religion, national origin, disability, veteran status, or sexual orientation.

Collection Development Policy

All faculty, administrators and students at ETSU are encouraged to participate in building the library's collections. Requests for materials should be channeled through the appropriate academic department, which can evaluate and route requests in a manner consistent with the library and departmental policy.

Book Requests

All books requested for the library are subject to available funds. Consideration is also given to the priority level assigned by the requestor:

1. Essential for instruction or research
2. Supplementary for reading or research

Book requests can be made through the Acquisitions Department, departmental library coordinator, or via the Electronic Request Form (<http://libraries.etsu.edu>) on the Sherrod Library website. To assist in book selection and recommendations, several online review and selection resources are available from the acquisitions department.

It is the policy of the University Libraries to purchase only one copy of a book or monograph for addition to any collection, unless there is a demonstrated need for additional copies for reserve or curriculum support. It is also policy to purchase only books that are not held by the NEW Libraries (Northeast State Community College, East Tennessee State University, and Watauga Regional Library), as reflected in the University Libraries catalog (<http://sherrod.etsu.edu>) as all books in the federation are available via regular courier service. Purchase of duplicate material will be considered if there is demonstrated need.

Gift Book Policy – Information for Prospective Donors

Refer to Sherrod Library at:

<http://sherrod.etsu.edu/about/giving>

Periodicals & Database Acquisition

Each title in the University Libraries periodical collection is assigned to departments within the various colleges campus-wide on basis of relevancy to discipline. Selection and recommendation of periodicals and journals are made by individual departments and are subject to final approval of the periodicals and acquisitions librarians.

The library honors journal requests from programs preparing for accreditation reviews as the budget allows. The collection is maintained at current cost levels, and for each additional title requested the department must suggest cancellation of one or more journals in their discipline of equal value.

The library prefers to subscribe to electronic journals to provide the broadest access to university students and personnel regardless of their location. Online periodicals (<http://sherrod.etsu.edu/tools/articles.html>) that are accessible by IP address are made available through a proxy server and are preferred over those requiring a password for access. Most of the library's electronic journals are obtained through subscriptions to vendor aggregated databases. New databases are selected based on recommendations from teaching faculty and library faculty. Some databases are provided through the Tennessee Electronic Library or the Regents Online Degree Program. Individual journals are also purchased when they are not available in one of the library's subscribed databases.

Library Circulation/Reserve/E-Reserve Policy

Circulation Policy

All persons checking out library materials must use their ETSU identification or library borrowers card.

- a. Patron Eligibility

1. Faculty / staff / students: current ETSU ID required.
 2. Community members may purchase a Library Associates Card, renewable on an annual basis, which allows check out of materials, as well as providing username/password for library computers, printing and copy machine use. If community member does not need material check out, s/he can purchase a Sherrod Online User card, renewable on an annual basis, which provides username/password for library computers, printing and copy machine use, but does not allow material check out.
 3. Community users can view Sherrod owned items via the online catalog, and make requests for items to be delivered by courier to their local public library through the NEW consortium lending program.
- b. Library Patron Loan Categories
1. Faculty/staff loan period: 90 days, subject to recall; renewals possible if there are no holds.
 2. Student loan period: 4 weeks; renewals possible if there are no holds.
 3. Reserve loan period: varies according to requirements of faculty (mostly library use only); renewals possible if there are no holds. Loan periods include: 2-hour (not to leave library); 1-day; and 3-day.
 4. Juvenile book loan period: 2-weeks for all patron categories; renewals possible if there are no holds.
- c. Fines
1. Books/juvenile: \$.25 per day; Government Documents: no fine (replacement fee if lost). Fines accumulate up to a maximum of \$10 per item returned late.
 2. Audiovisual: Video - \$5 per day (maximum file accumulates to \$250); other media (all non-video, including computer software/audio-books) - \$1 per day (maximum of \$10 per item). Current replacement fee for all lost or damages audiovisual materials is \$200.
- d. Encumbrances

Students are encumbered for overdue outstanding library materials and/or fines totaling \$10 or more. Failure to pay fines and charges for lost materials may result in students being encumbered and not being permitted to register for subsequent terms or receive transcripts from the Registrar's Office. However, grades are not withheld.

e. Disposition of Charges

All money paid for fines goes into the University's general fund, not to the Library.

Course Reserve/E-Reserve Policy

Materials placed on reserve include materials from the Sherrod Library collections, materials owned by a faculty member, photocopies of materials, and materials that are scanned and posted to a server in PDF format (E-Reserve). Photocopying of all materials is the responsibility of the faculty member for purposes of copyright compliance. Copyright law guidelines require the library to hold no more than one photocopy of a work on reserve. Students may make their own study copy from the reserve item. Faculty members are asked to sign acknowledgment of copyright responsibility in the space provided on the Course Reserve Materials List.

a. New Lists

Reserve Lists should be submitted at least 5 working days prior to the time the assignment is announced to students. The period of time required for processing a reserve list varies according to the volume of reserve requests, availability of materials and delays in retrieving books on loan. Please keep in mind that processing delays increase during the beginning of each semester.

NOTE: Lists will be processed in the order in which they are received.

1. Limitations

- a. Faculty should not request more than 20 items for a course without consulting the reserve staff prior to submission of the list. Lists should be limited to required readings. Suggested or recommended reading lists and/or resource materials are used infrequently, and students benefit more from direct loan of suggested readings from the general collection for the regular 4-week loan period.
- b. The faculty member should retrieve library materials from the stacks to be submitted along with the Reserve Materials List form. Forms are also available at the Reserve Desk. Note: For best results, change the print page margins (all) to 0.25" and make sure the header and footer information is not being printed. In Netscape or Internet Explorer, these settings are under the File menu then the Page Setting Menu.
- c. Materials are processed during weekdays only. Staff are not available for processing nights or weekends.

b. Forms

1. The Reserve Materials List form must include the following information:

- a. Faculty name
- b. Department
- c. Faculty extension number
- d. Semester and year
- e. Course number
- f. Date materials are to be removed from reserve
- g. Type of loan period desired
- h. Complete call numbers
- i. Building name/room number for return of materials
- j. Acknowledgment of copyright responsibility (faculty signature).

NOTE: If the assignment is to be a chapter in a book, please list the source by the book author and title, and then the chapter number.

2. Identification of reserve material for retrieval and records purposes uses one of the following designations.

- a. Call Numbers. Materials from the Sherrod Library collections are identified by Dewey Decimal or Library of Congress call numbers.

- b. Personal Copy. Materials owned by a faculty member and loaned to the Reserve Desk will be shelved on Personal Copy shelves, alphabetically by faculty surname. When personal copies of titles on reserve are lost by users, the library is not liable for the loss; however, the library reserve staff will contact the faculty member concerning fines and/or replacement charges which would be consistent with library fine policies.
- c. Photocopies. Photocopies of materials are placed in folders, labeled by author and title, and are filed under faculty surname and then by author's surname (or title if there is no author). Photocopying of all material is the responsibility of the faculty member. For purposes of copyright compliance, a full bibliographic citation (author, title, publisher, date, etc.) documenting the source must accompany each photocopied article.

Copyright: Recent Copyright Law interpretations require the library to hold no more than one photocopy of a work for more than one term. From this copy, students may make their own study copy (Public Law 94-533, Sections 107 & 108; House Report 94-1476 and House Report 94-1733). Attached are "Copyright Guidelines with Respect to Books and Periodicals." Further information on the Copyright Law is available from the Library Circulation Department Supervisor. Faculty members must sign the space provided on the Reserve Materials List form acknowledging copyright responsibility.

c. Loan Periods

Faculty members select the most appropriate loan period for their reserve materials from the following categories.

- 1. Two-hour, NOT TO LEAVE LIBRARY. Material may be used in the library for only two hours at a time and must be returned at the end of the two (2) hour limit.
- 2. One-day, material may be checked out for one day.
- 3. Three-day, material may be checked out for three days. Holds and renewals are not permitted on reserve materials. When multiple requests are received for a title, the reserve staff will select the more restrictive loan period.

d. Faculty Loan Privileges

Faculty members, including those who placed the material on reserve, are subject to the same reserve loan periods as students.

e. Periodicals

Periodical issues (bound or unbound) will not be placed on reserve in the Circulation/Reserve Department since these non-circulating materials are available in the Periodicals Department. Only personal photocopies of periodical articles will be placed on reserve. If a faculty member places an article from a periodical on reserve, the article must be copied by the faculty member before submitting it to the Reserve Department staff. A full citation (author, title, publisher, date, etc.) documenting the source must accompany the photocopied article.

f. Reserve Fines

- 1. 2-hour reserve material - \$0.50 per hour overdue
- 2. 1-day and 3-day reserve material - \$1.00 per day overdue

The reserve fine schedule is designed to assure return of materials on time because high demand and accessibility to the material is the library's priority. Fines accrue to a maximum of \$50.00.

g. Removal from Reserve

Materials will be removed from the reserve collection as soon as possible after the date designated by the faculty member on the Reserve Materials List form as the termination date. Personal materials will be returned to the faculty member.

Materials are not automatically kept on active reserve status. All reserve materials will be reviewed periodically by the reserve staff and those materials not used frequently or recently will be removed.

Copyright Guidelines with Respect to Books and Periodicals

Public Law 94-553 is a major revision of federal copyright law and has been in effect since January 1, 1978. Almost all aspects of the use of copyrighted materials in any form or medium are governed by this law. A part of the law which is especially important for educators at ETSU to be aware of is the concept of "fair use" as it applies to the reproduction of copyrighted works.

Faculty and Fair Use

The definition of fair use related to books and periodicals is provided in guidelines that were prepared as part of the Congressional Report accompanying the copyright law. Selections from the "Agreement of Guidelines for Classroom Copying in Not-For-Profit Educational Institutions" (H.R. Report 94-1476, p. 68-70) are summarized below using examples. The guidelines state the minimum and not the maximum standards of fair use under section 107 of the law.

Faculty MAY:

- 1. Make or request a single copy for use in scholarly research, or in teaching, or in preparation for teaching a class, of the following:
 - 1. A chapter from a book;
 - 2. An article from a periodical or newspaper;
 - 3. A short story, short essay, or short poem, whether or not from a collective work; or
 - 4. A chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper.
- 2. Make or request multiple copies for classroom use only, and not to exceed one per student in a class, of the following:
 - 1. A complete poem, if it is less than 250 words and printed on not more than two pages;
 - 2. An excerpt from a longer poem, if it is less than 250 words;
 - 3. A complete article, story, or essay, if it is less than 2,500 words, or an excerpt from any prose work if it is less than 1,000 words or 10 percent of the work, whichever is less but in any event a minimum of 500 words; or
 - 4. One chart, graph, diagram, drawing, cartoon, or picture per book or periodical.

Each copy must include a notice of copyright.

If there is sufficient time, permission must be obtained to reuse any copy from the copyright holder. NOTE: Copying shall not be repeated with respect to the same item by the same teacher from term to term.

Faculty MAY NOT:

1. Make multiple copies of a work for classroom use if it has already been copied for another course in the same institution.
2. Make multiple copies of a short poem, article, story, or essay from the same author more than once in a class term, or make multiple copies from the same collective work or periodical issue more than three times a term.
3. Make multiple copies of works more than nine times in the same class term.
4. Make a copy of works to take the place of an anthology.
5. Make a copy of consumable materials, such as workbooks.

In general, short portions of works may be copied to be used for criticism, commentary, news reporting, teaching, scholarship, or research by library patrons.

Copying by Faculty or Students with University Equipment: In unsupervised copying of copyrighted material by faculty or students using University duplication equipment (e.g., coin operated or unsupervised photocopying machines or audiovisual equipment), compliance with the copyright law is the responsibility of the individual.

Questions relating to copying for educational purposes can be directed to the Dean, University Libraries; or, consult an attorney.

Faculty Borrowing Policy

Faculty can borrow 100 library books for 90 days. Materials may be renewed in person, by phone, or via the patron account option on the online catalog.

Books borrowed by faculty will be recalled if another patron requests use of the item, and the faculty member has had the book at least 28 days. If a recalled book is not returned within 7 days from date of notification, it will be considered lost and the faculty member will be billed by the library for its replacement and processing costs.

A courtesy notice is sent to faculty members two weeks prior to the actual due date of an item. At the end of the 90-day loan period overdue notices will be sent via email or snail mail to faculty members. Fines on library materials will accumulate after the 90-day loan period. Faculty will be responsible for these fines and any costs regarding lost or damaged items.

Non-print materials, including videos, motion pictures, filmstrips, and audio recordings are checked out from the Library Media Center (LMC), located in 311 Sherrod Library, with no limitations except that material which is on reserve for another user must be returned in time for that user. No overdue fines are charged against a faculty member using LMC materials. Faculty will be responsible for any costs regarding lost or damaged materials. NOTE: Library faculty using videos for class presentations must reserve in advance since students are permitted to check out videos.

Visiting Faculty Library Privileges

The Sherrod Library recognizes the scholarly research and curriculum needs of the University's designated full-time visiting faculty through interlibrary loan privileges that are subject to the conditions and procedures described below:

a. Temporary Faculty Borrowing Policy

Upon written notification by an ETSU vice-president, dean, or departmental chair, the Circulation Services Supervisor will authorize borrowing privileges to full-time visiting faculty. This notification will include the full name of the visiting faculty member, starting and ending dates of visit, and the sponsoring department's name and mailing address. The borrowing privileges will be accessed by presentation of an ETSU identification card issued at the time of registration with the sponsoring department. Sherrod Library faculty loan policy allows faculty to borrow books from the main circulating collection for 90-days. Materials may be renewed by telephone. A temporary faculty card expires on the ending date of the semester in which the card is issued but is renewable should the faculty member's work at ETSU continue past that date.

b. Procedure for Recall and Retrieval

Books borrowed by faculty will be recalled if another ETSU patron requests use of the item. Faculty members are not charged standard overdue fines for materials returned late, but must pay replacement charges for lost books and recall and reserve desk late charges. Replacement costs are based on the average cost of a book, currently \$45 for books from the main circulating collections.

Should materials charged out to visiting faculty remain outstanding after the visiting faculty member has left ETSU, the sponsoring University officials and offices will be asked to aid the library in retrieving the materials. All correspondence concerning recall or retrieval of library materials will be conducted through the appropriate departmental University offices.

Tennessee Academic Library Collaborative (TALC)

The Tennessee Academic Library Collaborative was created to foster collaboration activities among the libraries of Tennessee's public institutions of higher education. TALC is comprised of the libraries of the State University and Community College System of Tennessee (TBR) and the University of Tennessee System. The driving force behind TALC is a commitment to meeting the information needs of its collective clientele while striving to reduce the rate of increase of costs.

TALC has implemented a Universal Borrower's Card for approved members that can be used by faculty and students in obtaining library materials from sister institutions.

Confidentiality of Records Policy

The ETSU Libraries protect patrons' privacy regarding use of the library and library material. The patron records maintained in the library are

considered private and confidential.

Library record is defined as a "document, record or other method of storing information retained by a library that identifies a person as having requested or obtained specific information or materials from such library. Library record does not include non-identifying material that may be retained for the purpose of studying or evaluating the circulation of library materials in general." Tennessee Code Annotated 10-8-101 (b).

TCA 10-8-101 through 10-8-103 provides that, "No employee of a library shall disclose any library record that identifies a person as having requested or obtained specific materials, information or services or as having otherwise used such library. Such Library records shall be considered an exception to the provisions of Section 10-7-503 (which provides that all public records shall be open for public inspection)."

Requests for confidential library information that cannot be honored:

- a. A request for the circulation records of a patron.
- b. A request by a faculty member for the identities of students who borrowed reserve items.
- c. A request to review the circulation records of a student suspected of plagiarism.
- d. A request to see interlibrary loan borrowing records.
- e. A request for addresses, phone numbers, ID numbers, or other personal information contained in the patron database.
- f. A request to see a list of individuals who are not members of the University community but who have been granted library borrowing privileges.
- g. A request to reveal the nature of a patron's reference request or database search.
- h. A request for a list of suggested acquisitions submitted by a particular person.
- i. A request from law enforcement authorities for the identity of anyone conducting research on a particular subject.
- j. A request for the names of persons who have used audio-visual materials.
- k. A request for a list of items photocopied for or faxed to a particular person.
- l. A request by a parent for information such as fines or other fees by the library without the student's permission.
- m. A request to review past use of study room, listening room, study carrel, or CD-ROM workstation.

Library records may be disclosed only under the following circumstances:

- a. Upon the written consent of the library patron.
- b. Pursuant to the order of a court of competent jurisdiction. Upon receipt of such process, order, or subpoena, the library's officers will consult with their legal counsel to determine if such process, order, or subpoena is in proper form and if there is a showing of good cause for its issuance; if the process, order, or subpoena is not in proper form or if good cause has not been shown, they will insist that such defects be cured.
- c. When used to seek reimbursement for the return of lost, stolen, misplaced or otherwise overdue library materials.

Interlibrary Loan Policy

The Interlibrary Loan (ILL) department obtains materials from other libraries to support the teaching and research of all ETSU faculty and staff and the scholarly activity of enrolled students. Online access to an account for requesting and tracking books and other material is available to all current employees and students. ILL users are responsible for careful handling and prompt return of all borrowed materials. The Sherrod Library uses funds from indirect costs of grants to subsidize interlibrary loan fees and copyright fees for faculty, staff, and graduate students. Any fines from overdue or lost material are the responsibility of the patron.

Library Instruction

The library instruction program's purpose is to instill students and faculty with skills necessary to access, retrieve, capture, and evaluate information resources in print and electronic media. The information skills taught in the library instruction program support the University's mission by educating students to locate and use information that supports their scholarship, and whose aims are to help them become responsible, enlightened, and productive citizens; improve the human community; and enhance the cultural environment of the region. Instruction sessions are developed in conjunction with teaching faculty to meet the specific goals of their classes and pedagogical styles are developed to fit the needs of students in various disciplines and level of academic skill. The information seeking skills taught in library instruction classes are designed to assist students in fulfilling their information needs, not only for a particular class, but also for future topical interests. Instruction classes are continually revised and adapted to the changing information requests of teaching faculty and to embrace new information resources acquired by the library.

The library instruction and orientation services program is geared towards the curricular needs of the University faculty and is available for their classes. Faculty should schedule their library instruction needs two weeks in advance through the Faculty Outreach Librarian (1642 Sherrod Library). Faculty should be prepared to discuss with the assigned library faculty member any class assignments related to library use since they increase the learning experience related to library instruction. Faculty who plan to have their classes do independent work in the library should schedule such visits with the Faculty Outreach Librarian. Faculty or graduate teaching assistants should remain with their classes while in the library.

Database Access

The Sherrod Library offers access to commercial databases via end-user searching via the Internet. Access to a variety of bibliographic databases is available utilizing authentication with a current, valid ETSU ID log-on from any computer.

Library Assigned Study Rooms

There are a total of 54 lockable Assigned Study Rooms in the central bookstack areas of the Sherrod Library, distributed 18 per floor. Six Assigned Study Rooms, two per floor, are reserved as open rooms.

The lockable Assigned Study Rooms include a work surface, chair, and electrical and data outlets for the use of personally owned equipment. There is no telephone service available in the study rooms. The proper installation of personal computers in the study rooms is the responsibility of the assignee.

Policies

Based on guidelines approved by the University Libraries Advisory Committee, the library Assigned Study Rooms are reserved only for the use of faculty and graduate students engaged in ETSU related research projects where access to the library collections and services is necessary as a contribution to that research.

NOTE: Long-term assignments of the study rooms are not made due to the demand for this important library resource.

Eligibility for Application

- a. All full-time ETSU tenured and tenure-track faculty working on an research project requiring library materials.
- b. All ETSU emeritus faculty working on a research project requiring library materials.
- c. Visiting resident faculty sponsored by an ETSU department working on a research project requiring library materials.
- d. Graduate students in the thesis or designated paper stage of their studies.

EXCLUSIONS: Graduate students in their first year of study, graduate research assistants who have access to faculty offices and spouses or family members of eligible faculty and graduate students.

Term of Assignment

The term of assignment for study rooms is one semester, renewable, but contingent upon demand by other applicants. The maximum period of assignment is limited to two semesters after which the assignee must vacate and reapply for post-assignment consideration.

Method of Assignment

Applicants will complete a library Assigned Study Room application available in the Sherrod Library Administration Office, Room 417. The application will then be reviewed by library administration and forwarded to the academic department chair or academic thesis committee chair to confirm and approve eligibility. The department or committee chair then forwards it to the Dean of Libraries. Approved applicants will be put on a list for assignment of a study room and will be notified by the office of the Dean of Libraries when one is available. All applicants will need to obtain a key from the Library Administration office for the Assigned Study Room. Lost keys will be charged to the applicant's account with an additional service charge when a lock change is required.

Library Media Center (LMC)

The Library Media Center (LMC) is housed in Sherrod Library, Room 311. It acquires, maintains, and circulates the University's collection of audiovisual media (including DVDs, videotapes, CD recordings, audio books, multimedia material, anatomy models, etc.) in support of all curriculum areas except those in the Quillen College of Medicine.

Acquisition Policy

All items requested for the LMC are subject to available funds. Consideration is also given to the priority level assigned by the requestor:

1. Essential for instruction or research
2. Supplementary for reading or research

Media requests can be made through the LMC, the Acquisitions Department, departmental library coordinator, or via the Electronic Request Form on the Sherrod Library website.

Requestors should check the online catalog for current holdings before submitting requests, and whenever possible, include copy of catalog description, review, or other citation.

Circulation

Circulation is free to students, faculty, and community borrowers. Loan periods, restrictions, and fines vary by type of material and patron category. All patrons must have a current ETSU ID.

a. Advance Bookings

Faculty are encouraged to make advance bookings of all materials to be used in class during the course of a semester. Bookings will be received in person, by phone, and email.

b. Course Reserves

Faculty are encouraged to place on reserve for in-house only materials of materials they assign for supplemental listening/ viewing during the course of a semester.

c. Type of Materials

1. Audiobooks (CD or cassette). 28 day loan, renewable once if no hold, no limit for faculty/staff; limit of 2 for students. Overdue fines: \$.25 per day to a maximum of \$10.00; replacement fee of \$45.00.
2. DVD and Videotapes: one week loan for faculty staff and students, renewable once if no hold; no limit for faculty, 2 limit for students ; overdue fine \$1 per day to maximum of \$50 ; if lost, replacement fee of \$100 plus accumulated fine.
3. Anatomy models: 2 hour checkout (In Library Use Only) for Students, Faculty, Staff. \$.50 per hour late fee up to \$10.00. Replacement cost is \$100.00
4. Microcomputer software (media that accompanies, monographs, etc.): 28 day loan; otherwise 7 day loan ; no limit ; overdue fine \$1 per day to maximum of \$50; if lost, replacement fee of \$100 plus accumulated fine.
5. Media Equipment: LMC will circulate media equipment for short-term use only. This includes video projectors and TurningPoint

Audience Response Systems Patron must fill out an Equipment Loan Contract form.

Viewing Facilities and Room Bookings

The LMC has viewing facilities available with 20 individual carrels, four small group rooms, two large group rooms, and a multimedia room.

Except for the room temporarily assigned to Supplemental Instruction, rooms are not available for long-term booking. Large and small group rooms, located on the third floor of Sherrod Library, are available on a first-come, first-serve basis or may be booked in advance by phoning the Library Media Center. The Multimedia Room (Room 309) should be booked at least 24 hours in advance, and presenters must have training in operating the equipment. This room is well suited for videoconferences and other multimedia presentations.

10/11; 7/13

Forms

Distinguished Faculty Nomination Form - [contact the Office of Academic Affairs]

[Instructional Development Grant Application](#)

[Non-Instructional Assignment Application](#)

[Online Tenure and Promotion System Information and Forms](#)

[Presidential Grant-in-Aid Application](#)

East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800

College and Department Tenure and Promotion Criteria

[Clemmer College of Education](#)

[College of Arts and Sciences](#)

[College of Business and Technology](#)

[College of Clinical and Rehabilitative Health Sciences](#)

[College of Nursing](#)

[College of Public Health](#)

[Gatton College of Pharmacy](#)

[Quillen College of Medicine](#)

[School of Continuing Studies and Academic Outreach](#)

[Sherrod Library](#)

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PO Box 70300
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423-439-4219 | Fax: 423-439-5800

Clemmer College of Education Tenure and Promotion Criteria

Counseling and Human Services

[Tenure](#) || [Promotion](#)

Curriculum and Instruction

[Tenure](#) || [Promotion](#)

Education Leadership and Policy Analysis

[Tenure](#) || [Promotion](#)

Exercise and Sport Science

[Tenure](#) || [Promotion](#)

Kinesiology, Sport, and Recreation Management

[Tenure](#) || [Promotion](#)

Teaching and Learning

[Tenure](#) || [Promotion](#)

University School

[Tenure](#) || [Promotion](#)

Department of Counseling and Human Services East Tennessee State University

Professional Development within Programs Including Criteria for Promotion and Tenure

Preamble

The Department of Counseling and Human Services (CSHS) is comprised of two educational programs: Counseling and Human Services and two service programs: Service Learning and America Reads. Although each program addresses a specific discipline with distinct accreditation bodies, professional associations, and scholarly journal, they are united by a common mission. The mission of the Department of Counseling and Human Services in the Claudius G. Clemmer College of Education is to prepare competent, ethical, self-reflective and caring counseling and human services professionals who are committed to improving the human condition through supportive, therapeutic, educational, and counseling services and who advocate to improve accessibility, accountability, and coordination of services for all.

This document seeks to delineate an on-going professional development process within the two educational programs that comprise CSHS. The process is designed to promote a collaborative atmosphere of academic success. That is, rather than giving new faculty members a set of criteria that must be met for professional advancement, the faculty of CSHS seek to establish a positive, engaged, and involved relationship with each other within programs. This relationship is interactive and seeks to provide each of the faculty members within a program a chance to learn from and develop professional academic skills in the company of colleagues. Indeed, one of the central goals of the department is to “provide opportunities for faculty to expand their knowledge and skills, as well as, contribute to the knowledge base of the social/behavioral sciences and human development disciplines, and counseling and human service professions.”

It is within these programmatic relationships of interest, care, personal contact and knowledge of others that regular, periodic feedback of competence and academic skill are to be sought and provided. Further, in combination, this formal and informal feedback and the required FAP, FAR, FAE processes will serve as the support foundation for those who seek promotion and/or tenure within CSHS.

A Review of the Process for Professional Development within Programs

When new faculty are hired in the department for service within a given program, CSHS faculty believe that it is the responsibility of program faculty members to be engaged in the professional development of new faculty. Further, since faculty development is a career-long process, this same interest and involvement ought to be available to those who are already tenured and who are or are not pursuing promotion. Non-tenured faculty members and those seeking promotion during the upcoming academic year will be given priority with regard to program/departmental faculty involvement and developmental support (over those who are already tenured and not seeking promotion).

Specific Activities and Processes Expected of Program and Departmental Faculty in Relation to the Professional Development Process

Specific processes and activities will be expected of program and department faculty to ensure the kind of relationship anticipated by this document. These processes and activities include, but are not limited to, the following:

- Program/Departmental faculty will seek to become familiar with and interested in the teaching processes and skills of each other—especially those who are new and untenured faculty members or those soon to seek promotion—by entering into collaborative conversations that:
 - Review and consider options for course syllabi, text books, integrative technology, collaborative learning, and field experiences;
 - Review and consider the experience of watching the faculty member teach on multiple occasions throughout the year;
 - Discuss teaching philosophies and pragmatic pedagogical processes for adult learners and the children and families they will ultimately serve;
 - Review and consider processes for team-teaching or an interchange of presentations within multiple courses;
 - Review and consider processes and options for as well as results in grading, course and instructor evaluations, and other methods and systems for feedback and accountability.
- Program/Departmental faculty will seek to become familiar with and interested in the research and scholarly interests and work of each other—especially those who are new and untenured faculty members or those soon to seek promotion—by:
 - Discussions of scholarly interests and an agenda for research and/or professional writing;
 - Reading and commenting on draft articles, grants, published works, competitively selected professional papers, and other forms of developing and accomplished scholarship;
 - Inviting other faculty members to join in collaborative research and scholarship;
 - Seeking to pair faculty members with similar interests for cross-fertilization of ideas and contributions to the knowledge base of their shared discipline.
- Program/Departmental faculty will seek to become familiar with and interested in the service interests and work of each other—especially those who are new and untenured faculty members or those soon to seek promotion—by:
 - Carefully monitoring service activities of new faculty in relation to their other areas of academic development and experience at ETSU, such that less is expected of them in the first years of service and additional opportunities are considered in relation to the needs of the program, department, college, and university when the person is more established;
 - Linking those with skills and connections in the local community to those who have yet to establish similar processes and contacts;
 - Helping colleagues to say “yes” to those university assignments that fit their interests and capabilities and “no” to those that do not or when that faculty member is in danger of overloading themselves and letting their teaching and scholarship suffer;
 - Helping colleagues to enter into state and national professional organizations associated with the program discipline and to find a healthy balance to professional involvement when considered as part of the full range of activities in which the faculty member is engaged;
 - Helping colleagues to access support and approval for professional development, professional travel, and professional practice in their fields.

As shown, there are a variety of ways to seek and offer support and feedback outside of the formal FAP, FAR, FAE process that occurs with the department chair. Additionally, there are three structured methods for assisting in the development and support of new faculty within CSHS: The Mentoring Committee, peer observations, and the 3rd year review.

Mentoring Committee

The purpose of the Mentoring Committee is to provide a “semi-formal” support group for development and navigating the evaluation, third-year review, and promotion and tenure processes. Although it is highly recommended as a support to new faculty, it is not a requirement.

Within the first year of appointment, the new faculty member is encouraged to form a three-person mentoring committee comprised of program and department peers. Because the first step in the promotion and tenure process is a departmental review, at least one tenured department faculty member is required and it is recommended that at least one member be from within the program. The selection of the mentoring committee is often based on personal choice facilitated by interactions with colleagues, similar interests, etc. The committee members may also change due to scheduling conflicts or other needs and is ultimately determined by the new faculty member. The Chair of the committee is selected by the members. It is recommended that the committee meet at least once per year and may meet or communicate more frequently. Often at these meetings, there is a review of experiences and progress in the areas of teaching, scholarship, and service. Committee members are encouraged to share honest feedback, provide thoughts on how to proceed in each area, as well as general ideas for ongoing development. The mentoring committee also assists with peer observations and the 3rd year review process.

Peer Observations

All faculty members are required to *solicit* and *encouraged to conduct* peer observations of teaching. Years of experience do not necessarily equate to exceptional teaching and with new developments related to student learning and achievement of outcomes, as well as innovations in technology that aid in teaching/learning, all may benefit from observing others. According to the Faculty Handbook Promotion Guidelines a “separate peer evaluation of teaching effectiveness must take place.” This evaluation includes “a review of student evaluations with consideration given to the type of courses involved, assignments, information on assessment and grading practices, and expectations relating to the candidate’s particular teaching responsibilities.” The Department Chair is responsible for uploading the Peer Reviews of Teaching summary. In addition to the formal observations that the Chair of CSHS may perform, new faculty members (pre-tenure) are expected to *invite* peer observations and are encouraged to have 2-3 prior to the 3rd year review as well as an additional 1-2 prior to promotion/tenure. See APPENDIX page 17. CSHS has developed an accompanying feedback form for peer observations to assist in the provision of feedback. Note that the Department Chair is required to upload a “**Peer Review/Evaluation of Teaching**” statement as part of the candidates Promotion and/or Tenure documentation. New faculty members are also encouraged to engage in peer observation.

3rd Year Review

CSHS is committed to the 3rd year review process in order to provide important feedback to pre-tenure/promotion faculty members regarding their progress. Prior to the conclusion of the 3rd year, the faculty member and Department Chair will discuss progress and a decision about moving forward with the review. If favorable, the faculty member submits a dossier reflecting the requirements for tenure and the desired rank during the fall of the 4th year. All tenured faculty members are involved in the review beginning with a review of the dossier. Subsequently, a meeting, facilitated by the Mentoring Committee Chair (or if no Mentoring Committee; a tenured colleague from the Department), is held to provide feedback to the faculty member. This meeting may be open to all (non-tenured faculty observe only) or closed to tenured faculty only as determined by the faculty member under review. SEE APPENDIX FOR PROCESS page 18.

Documentation of Involvement in the Professional Development Process

Faculty members are encouraged to maintain yearly documentation of involvement in professional development processes. This information may be included on a vitae and the yearly FAR. The information should also be included in the 3rd year review dossier as well as the portfolio presented for tenure and/or promotion.

Please note that as of 2012, the tenure and promotion forms and process is digital. It is expected that candidates for tenure and/or promotion will follow the guidelines provided for the *Tenure & Promotion Online System* <http://www.etsu.edu/senate/facultyhandbook/tandpforms.aspx>.

While basic criteria for positive departmental evaluations in tenure and promotion decisions are indicated below, each program is expected to clarify and develop standards and criteria that are specific to the professional disciplines they represent. Further, the program faculty has the right to specify emphases, weights, or other expected dimensions based on the needs of the Program and the students they serve. These should be stated prior to faculty members submission of tenure and/or promotion consideration. With the idea that departmental criteria will be adjusted by program and respected by other programs within the department, the following criteria for tenure and promotion are considered basic for all faculty members in CSHS.

Guidelines and Criteria for Promotion and Tenure

The faculty member seeking promotion and/or tenure is to be rated by Program/Departmental faculty in one of three ways: as (a) having ***exceeded*** program and department expectations for promotion and/or tenure; (b) having ***met*** program and department expectations for promotion and/or tenure; or (c) having ***failed to meet*** program and department expectations for promotion and/or tenure. In considering the criteria below, Program and Departmental faculty shall consider course load as a context for their decisions. The Program and Department faculty shall support any person's application that meets or exceeds expectations, listed below, for promotion in rank and/or tenure within the declared timelines of the university.

A note on tenure and promotion timelines: It is expected that the department follow university established tenure and promotion application timelines. In cases where department faculty "start their clock" upon hire in the CSHS Department teaching and services responsibilities will begin on the start date of the applicant. Note that *scholarship and research* that is accepted and/or published within three (3) months of the start date will be considered acceptable for consideration in promotion/tenure upon application. For instance, if an article is published in May 2015 and the hire date is August 2015, that article may be considered in the scholarship expectations. If the article is published in December 2014, that article would not be considered as part of the scholarship expectations. Regardless of acceptance date, any article published during the tenure/promotion period at ETSU will be considered as part of the scholarship expectations. For instance, if an article was accepted in 2013 and published in August 2015, that article would be considered in the promotion/tenure process. For faculty who bring in years toward tenure/promotion, their clock starts with the years they are bringing and all teaching, scholarship, and service during those years will be considered in the tenure/promotion application. For instance, if a faculty member brings in 2 years and starts at ETSU in August 2015, the calendar years of 2013 and 2014 would be included as well as work done in the spring and summer 2015.

Application of Guidelines and Criteria for Promotion and Tenure

All faculty members employed under the auspices of the Department of Counseling and Human Services as of its inception on August 8, 2012 will be held to the expectations outlined in this document as approved on April 24, 2013 by a vote of the department faculty. In the future, should this document be amended (see below), faculty will be held to the departmental *expectations that existed upon hire or at the beginning of their employment/tenure/promotion cycle within the department.*

Adopted 4.24.13 Revised 7.13.15 Revised 10.10.16

Revisions to Guidelines for Promotion and Tenure

Revisions will be made based on identified needs or changes in university, college or department processes. The department and chair will collaborate in the revisions and enacted by a majority vote of department faculty.

Following are the specific guidelines and criteria for promotion from instructor to assistant professor to associate professor to full professor, as well as for tenure. Guidelines are organized by *Teaching* (pp. 6-9), *Research and Scholarship* (pp. 10-14), and *Service* (pp. 15-17).

Teaching

To Gain Promotion from Instructor to Assistant Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of teaching with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. Consistently good/positive written evaluations from students (both formally and informally obtained).
3. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers (Peer Review/Evaluation of Teaching).
4. Documented participation in at least two activities leading to improvement or innovation in pedagogy and/or teaching effectiveness within their subject area. Documentation of the integration of feedback and new learning from any of the following into pedagogy, teaching methods, and skills over the period of review is expected: (a) participation (enrollment/attendance) in courses, conferences, and/or seminars reflecting effective and innovative teaching strategies and/or pedagogy, (b) participation in seminars/courses focused on technology use in the classroom, (c) consultation regarding course development and teaching methods, (d) provision of presentations/workshops on pedagogy delivery, teaching, and learning strategies within the subject area, (e) creation and teaching of new courses, (f) conversion and teaching of face to face courses to online delivery (or vice versa), (g) awards for teaching.

Quantitative Expectations in Teaching

1. An earned terminal degree (doctorate) from a regionally accredited university in a field or discipline directly associated with the program in which the person was hired.
2. Formal Instructor Ratings (e.g., from the SAI's) are primarily in the range strongly agree/agree with few exceptions.

Teaching

To Gain Tenure in the Department of Counseling and Human Services:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of teaching with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. Consistently good/positive written evaluations from students (both formally and informally obtained).
3. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers (Peer Review/Evaluation of Teaching).
4. Documented participation in activities leading to improvement or innovation in pedagogy and/or teaching effectiveness within their subject area. Documentation of the integration of feedback and new learning from any of the following into pedagogy, teaching methods, and skills over the period of review is expected: (a) participation (enrollment/attendance) in courses, conferences, and/or seminars reflecting effective and innovative teaching strategies and/or pedagogy, (b) participation in seminars/courses focused on technology use in the classroom, (c) consultation regarding course development and teaching methods, (d) provision of presentations/workshops on pedagogy delivery, teaching, and learning strategies within the subject area, (e) creation and teaching of new courses, (f) conversion and teaching of face to face courses to online delivery (or vice versa), (g) awards for teaching.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from strongly agree/agree in at least 80% of the tenure-review period.

Teaching

To Gain Promotion from Assistant Professor to Associate Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of teaching with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. Consistently good/positive written evaluations from students (both formally and informally obtained).
3. Consistently meets, and often exceeds, expectations in teaching as evidenced by written evaluations good/positive written evaluations from the Chair of the Department and Program/Department peers (Peer Review/Evaluation of Teaching).
4. Documented participation in activities leading to improvement or innovation in pedagogy and/or teaching effectiveness within their subject area. Documentation of the integration of feedback and new learning from any of the following into pedagogy, teaching methods, and skills over the period of review is expected: (a) participation (enrollment/attendance) in courses, conferences, and/or seminars reflecting effective and innovative teaching strategies and/or pedagogy, (b) participation in seminars/courses focused on technology use in the classroom, (c) consultation regarding course development and teaching methods, (d) provision of presentations/workshops on pedagogy delivery, teaching, and learning strategies within the subject area, (e) creation and teaching of new courses, (f) conversion and teaching of face to face courses to online delivery (or vice versa), (g) awards for teaching.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from agree to strongly agree in at least 80% of the tenure-review period.

Teaching

To Gain Promotion from Associate Professor to Full Professor:

Qualitative Expectations in Teaching

1. A clearly articulated statement describing the evolution of the faculty member's teaching philosophy and pedagogical development, including what has informed this development, and a self-evaluation of how the teaching philosophy has been pragmatically applied.
2. Consistently good/positive written evaluations from students (both formally and informally obtained).
3. Consistently meets and/or exceeds expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers (Peer Review/Evaluation of Teaching).
4. Documented participation in activities leading to improvement or innovation in pedagogy and/or teaching effectiveness within their subject area. Documentation of the integration of feedback and new learning from any of the following into pedagogy, teaching methods, and skills over the period of review is expected: (a) participation (enrollment/attendance) in courses, conferences, and/or seminars reflecting effective and innovative teaching strategies and/or pedagogy, (b) participation in seminars/courses focused on technology use in the classroom, (c) consultation regarding course development and teaching methods, (d) provision of presentations/workshops on pedagogy delivery, teaching, and learning strategies within the subject area, (e) creation and teaching of new courses, (f) conversion and teaching of face to face courses to online delivery (or vice versa), (g) observations and assistance in professional development of new professors or other colleagues, (h) awards for teaching.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from agree to strongly agree in at least 80% of the tenure-review period.
-

Research and Scholarly Activities

To Gain Promotion from Instructor to Assistant Professor:

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. At least one (1) article, chapter, or grant significantly developed with a reasonably planned date for submission to a national or international refereed journal, a national publisher, or an external grant-funding agency, respectively.

Scholarship

To Gain Tenure in the Department of Counseling and Human Services:

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years of tenure-track service, at least **two** articles, chapters, or grants* (or any combination of two) published, accepted for publication, or awarded in national or international refereed journals, national publishers, or external grant-funding agencies, respectively.

***Equivalencies:**

- 1) A nationally published book or textbook in which the faculty member is a first or second author *will count as the equivalent of two articles, chapters, or grants.*
- 2) Any two of the following shall count as the equivalent of one of the two required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) Presentation of a refereed paper or a competitively selected poster or convention presentation at a national or international professional meeting; (c) article in state or regional refereed journals; (d) submission of an external grant; (e) professional audio or video tapes; (f) development of computer software related to the person's discipline or other technology related to academic life; (g) the attainment of an internal *research* grant.

Scholarship

To Gain Promotion from Assistant Professor to Associate Professor:

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years of tenure-track service (or should tenure have been attained prior to promotion, within the previous 5 years of service), at least **three** articles, chapters, or grants* (or any combination of three) published, accepted for publication, or awarded a grant in national or international refereed journals, national publishers, or external grant-funding agencies, respectively.

***Equivalencies:**

- 1) A nationally published book or textbook in which the faculty member is a first or second author *will count as the equivalent of two articles, chapters, or grants.*
- 2) Any two of the following shall count as the equivalent of one of the three required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) Presentation of a refereed paper or a competitively selected poster or convention presentation at a national or international professional meeting; (c) article in state or regional refereed journals; (d) submission of an external grant; (e) professional audio or video tapes; (f) development of computer software related to the person's discipline or other technology related to academic life; (g) the attainment of an internal *research* grant.

Scholarship

To Gain Promotion from Associate Professor to Full Professor:

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years between achieving the rank of Associate Professor and the Application for Full Professor, at least **five** articles, chapters, or grants* (or any combination of five) published, accepted for publication, or awarded a grant in national or international refereed journals, national publishers, or external grant-funding agencies, respectively.
 - For those who apply more than five years after receiving promotion to Associate Professor, the quantity expected for promotion shall be at least **five** articles, chapters, or grants* (or any combination of five) published, accepted for publication, or awarded in national or international refereed journals, national publishers, or external grant-funding agencies, respectively, **in the previous six years**.

***Equivalencies:**

- 1) A nationally published book or textbook in which the faculty member is a first or second author *will count as the equivalent of two articles, chapters, or grants*.
- 2) Any two of the following shall count as the equivalent of one of the five-plus required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) Presentation of a refereed paper or a competitively selected poster or convention presentation at a national or international professional meeting; (c) article in state or regional refereed journals; (d) submission of an external grant; (e) professional audio or video tapes; (f) development of computer software related to the person's discipline or other technology related to academic life; (g) the attainment of an internal *research* grant.
- 3) Should a publication of research or scholarly work be recognized by other professionals in the field as a seminal work making a significant contribution in the field through any of the following documentation: (a) extensive citation of the work in other research and scholarly work in the profession, (b) recognition of the work through national award(s), (c) independent review of the work by at least three reputable members of the faculty member's discipline, will count as the equivalent of one of the five-plus required articles, chapters, or grants.

The following items may be added to supplement the above requirements, but they are in no case a substitution for the above requirements in research and scholarly activities:

- A review by two people from the faculty member's discipline is helpful in validating that the articles, chapters, or grants associated with the faculty member make a professional contribution to the field of study.
- Serving on editorial boards for state or regional professional journals.
- Presentations of papers at local, state, or regional professional meetings.
- Research or scholarly efforts in progress, but not yet accepted for publication.
- Support for and mentoring of student research, theses, or dissertations.
- Articles, chapters, or books published in newspapers, local journals, or privately/personally.

Service

To Gain Promotion from Instructor to Assistant Professor:

Qualitative Expectations in Service

1. Promise of productive service.
-

To Gain Tenure in the Department of Counseling and Human Services:

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active participation and responsibility in **one** of the following:
 - the faculty member's assigned Program area/Department (Note: Student advisement is considered an element of Program service.)
 - the College/University area,
 - the Professional area
 - the Community area.
3. Support letters that specifically address quality of service in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) number of advisees, examples of advisement records, etc.; (b) minutes; (c) brochures; (d) surveys conducted; (e) recruitment letters; (f) PowerPoint; (g) committee rosters; (h) newsletters; etc.
2. Membership in one (1) professional organization related to discipline.
3. Documentation (e.g., evaluation data, presentation materials, etc.) from non-refereed professional presentations.

Service

To Gain Promotion from Assistant Professor to Associate Professor:

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active participation in **two** of the following:
 - a. the faculty member's assigned Program area/Department (Note: Student advisement is considered an element of Program service.)
 - b. the College/University area,
 - c. the Professional area,
 - d. the Community area.
3. Support letters that specifically address quality of service and responsibilities in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) number of advisees, examples of advisement records, etc.; (b) minutes; (c) brochures; (d) surveys conducted; (e) recruitment letters; (f) PowerPoint; (g) committee rosters; (h) newsletters; etc.
2. Membership in one (1) professional organization related to discipline.
3. Documentation (e.g., evaluation data, presentation materials, etc.) from non-refereed professional presentations.

Service

To Gain Promotion from Associate Professor to Full Professor:

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active participation and responsibility in **three** of the following:
 - a. the faculty member's assigned Program area, (Note: Student advisement is considered an element of Program service.)
 - b. the Department
 - c. the College
 - d. the University area,
 - e. Professional associations,
 - f. the Community area.
3. Leadership in 1 area listed in #2.
4. Support letters that specifically address quality of service in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) number of advisees, examples of advisement records, etc.; (b) minutes; (c) brochures; (d) surveys conducted; (e) recruitment letters; (f) PowerPoint; (g) committee rosters; (h) newsletters; etc.
2. Membership in one (1) professional organization related to discipline.
3. Documentation (e.g., evaluation data, presentation materials, etc.) from non-refereed professional presentations.

Counseling and Human Services Tenure and Promotion Document Adopted April 24, 2013

Updated to include information on Peer Evaluation of Teaching, August 7, 2014

Updated to include information on student advisement included as Program Service, April 16, 2015

Updated to include the word "departmental" on p. 4 in the paragraph describing the impact of amended T & P guidelines

Updated to include the "note on tenure and promotion timelines," October 12, 2016 (this adoption applies to all current and future department faculty per vote of the department faculty).

Classroom Observation Report

Instructor evaluated _____ **Course** _____
Program _____
Number of students' present _____ **Date** _____ **Entry Time** _____ **Exit time** _____
Evaluator(s) _____

Purpose: The purpose of this classroom observation is to serve as a base for providing formative feedback/evaluation to Counseling and Human Services adjuncts, instructors, and/or tenure-track professors, with the desired outcome of effective classroom instruction and overall performance.

Instructions: Please consider each item carefully and reflect your assessment in the rating. Items 11 and 12 have been deliberately left blank. The observer and the instructor being evaluated are encouraged to add pertinent items. The observer(s) should remain in the classroom for at least 50 minutes. It is suggested that the observer(s) arrange a pre-visit and post-visit meeting with the instructor. **The instructor is to be notified as the exact time of the visit and be given at least two weeks' notice.**

Date of pre-visit conference/conversation? _____ post-visit conference? _____

<u>Target</u>	<u>Acceptable</u>	<u>Unacceptable</u>	<u>Not Applicable</u>
2	1	0	n/a
_____	1.	Defines objectives for the class presentation.	
_____	2.	Effectively organizes learning situations to meet the objectives of the class presentation.	
_____	3.	Uses instructional methods encouraging relevant student participation in the learning process.	
_____	4.	Uses class time effectively.	
_____	5.	Demonstrates enthusiasm for the subject matter.	
_____	6.	Communicates command of subject matter.	
_____	7.	Explains important ideas simply and clearly.	
_____	8.	Demonstrates command of subject matter.	
_____	9.	Responds appropriately to student questions and comments.	
_____	10.	Encourages critical thinking and analysis.	
_____	11.		
_____	12.		
_____	13.	Overall rating	

Please use this space to provide a narrative of observed strengths as well as recommendations or ideas for course or instructional improvement. (use back of page or additional pages if needed)...

What teaching strategies/strengths were observed during this time period?

What are specific recommendations/ideas concerning how this particular class could be improved?

General comments and questions rooted in observations

3rd Year Review Procedures

- Chair notifies individuals due for 3-year review in spring of third year to discuss status to proceed with review and subsequently prepare for a fall review. Reviews are typically scheduled for November unless there are no tenure/promotion reviews scheduled
- Individual prepares **portfolio** according to tenure/promotion guidelines
 - o Create a binder of evidence
 - o Updated vita
 - o Description of workload across the years (accounting of how time spent across categories)
 - o Teaching
 - Teaching philosophy
 - List of courses taught by semester/enrollment
 - Summary of SAI results for all courses evaluated
 - Overview of student evals of instruction with discussion of improvement plans, modifications, etc.
 - Peer observation reviews
 - Chair observations
 - Syllabus example (particularly for new or modified course)
 - Student letters of support, etc.
 - Other teaching support (guest lectures, scholarship about teaching on a college level, professional development related to teaching, etc.)
 - o Scholarship
 - Scholarship philosophy
 - List of publications (published, submitted)
 - List of writing/research projects in process
 - List of presentations at various levels
 - List of grants applied for/funded or non-funded
 - Other scholarship?
 - A few examples of publications and/or presentations
 - o Service
 - Service philosophy
 - List of service – University, college/department, program, professional, community
 - Evidence of service (letters, etc.)
 - o Administration
 - Description of administrative duties/responsibilities
 - Overview of accomplishments, impact, etc.
 - Letters/notes of support
- **Submit portfolio** for review to mentoring committee
- Submit portfolio to chair at least two weeks prior to meeting
- Portfolio is made available for review by all tenured faculty in the department/faculty at or above rank being sought
- **Review meeting**
 - o May be open or closed to non-tenured/tenure-track individuals
 - o Mentoring committee chair leads discussion; Summarize status including strengths and noted areas for focus/attention
 - o Notes are taken for documentation (including any responses from those not present who reviewed the portfolio)

Promotion and Promotion Process
Department of Curriculum and Instruction
Academic Year 2001 – 2002
October 22, 2001

Prepared by: Dr. Jack Rhoton, Chair of the Committee, Dr. Rhona Cummings,
Dr. H. Lee Daniel, Dr. Denee Mattioli, Dr. Jane Melendez, Dr. Elizabeth Ralston,

Proposed Faculty Evaluation Process for Promotion. Perhaps one of the most difficult and most important responsibilities of the department chairperson is the evaluation of faculty performance. Unfortunately, no magic formula has been developed to make the evaluation process more simple or less painful. However, an important component in faculty evaluation is communication with faculty members regarding what is to be expected and what will be evaluated. This communication will be in the form of the FAP/FAR/FAE (FAS, 2004-2005) process. Even though there are several purposes for faculty performance evaluation, one is to provide faculty a certain measure of how well they are doing in their professional roles and how they can improve their performance. Other critical factors relate to issues of promotion and promotion and, when appropriate, merit pay.

For discussion purposes, we have outlined an evaluation process and **performance-rating system** based on a four-point scale: Outstanding (4), Above Average (3), Average (2), Below Average (1), and Unsatisfactory (0).

The next obvious question becomes “What is the differences between outstanding and average? This is not an easy question to answer. However, the example below takes into account the faculty member’s contribution in each of the three areas –teaching, research and scholarly activities, and service. The faculty member’s performance in each area is rated separately on a four-point scale, and the ratings are weighted and evaluated based on each area proportionately to effort expended. An example is provided below:

Rating of Faculty By Area of Performance and By Percentage of Fulltime Workload Assigned to Each Area

Area of Performance	I – Performance Rating	II – Assigned % of Fulltime Workload	Rating Point (RP) (I x II)
Teaching	4	70	280
Research	3	10	30
Service	4	20	80
Total	11	100	390

$$\text{Rating Point Average (RPA)} = \frac{\text{Total of Rating Point} = 390}{\text{Total of Assigned \%} = 100} = 3.9$$

The following terminology may be helpful in understanding this performance rating system.

- Performance Rating (PR) – Based on a four point scale and are used to differentiate “outstanding,” “above average,” “average”, “below average,” and “unsatisfactory.”
- Rating Points (RP) – Calculated by multiplying the performance rating for that activity by the percentage of fulltime workload assigned to that activity.
- Rating Point Average (RPA) – Calculated by totaling the rating points obtained for the areas of performance being evaluated and dividing that total by the sum of the percentages of the fulltime workload assigned to the three major areas.

A comprehensive list of activities in each of the areas of teaching, research and scholarly activities, and service follows.

List of Activities for Promotion in the Department of Curriculum and Instruction

A. Teaching

1. Teaching Load
 - a. Graduate courses
 - b. Undergraduate courses
 - c. Directed, individual study, supervised research or supervised teaching
2. Sources of evidence for evaluating teaching may include the following:
 - a. Systematic rating by students (SAI)
 - b. Chairperson evaluation
 - c. Content of course syllabi
 - d. Informal rating of course by students

- e. Faculty member's interest in teaching improvement activities (workshops, etc.)
 - f. Informal feedback and opinions of alumni
 - g. Feedback from peer evaluator at another institution in the same discipline
 - 3. Supervisory committees or positions
 - a. Chair of master's committee
 - b. Chair of doctoral committee
 - c. Member of master's committee
 - d. Member of doctoral committee
 - e. Graduate student advisor
 - f. Undergraduate student advisor
- B. Research, scholarly and creative activities (including ERIC)
 - 1. Publications
 - a. Writing
 - (1) Article for refereed national or international journal
 - (2) Article for nonrefereed national or international journal
 - (3) Article for state journal
 - (4) Book with major publishing company
 - (5) Text with major publishing company
 - (6) Revised book
 - (7) section of book with major publisher
 - (8) Book with local publisher
 - (9) Section of book with local publisher
 - b. Editorial Activities
 - (1) Editor of Book
 - (2) Editor of national or international professional journal
 - (3) Editor of state professional journal
 - (4) Associate editor or reviewer for national journal
 - (5) Associate editor or reviewer for state journal
 - (6) Manuscript reviewer for major publisher
 - (7) Reviewer for federal agency
 - 2. Research Projects
 - a. Author of project funded by outside agency
 - b. Author of project funded by university
 - c. Author of project submitted to outside agency but not funded
 - d. Author of project submitted to university but not funded
 - 3. Papers and Speeches
 - a. Presented at national or international meeting, by invitation
 - b. Submitted to national or international meeting
 - c. Presented to regional or state meeting, by invitation
 - d. submitted to regional or state meeting
 - e. Presented at another institution, by invitation
 - f. Present at local meeting
- C. Services
 - 1. Committee activities

- a. Chairperson of university committee
 - b. Member of university committee
 - c. Chairperson of school or college committee
 - d. Member of school or college committee
 - e. Chairperson of area or program committee
 - f. Member of area or program committee
 - g. Member of faculty senate
 - h. Officer of faculty senate
 - i. Chairperson of search committee
 - j. Member of search committee
 - k. Departmental reports
 - l. Program change proposals
2. Professional Activities
- a. Chairperson of national committee
 - b. Member of national committee
 - c. Chairperson of regional or state committee
 - d. Member of regional or state committee
 - e. Officer at regional or national level
 - f. Officer at state level
 - g. Leader for in-service training
 - h. Organizer for workshop
 - i. Member of professional association
 - j. Attendance at professional meeting
 - k. Working with local school on related projects
 - l. Faculty sponsor of local chapter of honor society
 - m. Participation in local radio or television activities
3. Consulting
4. Open category (Faculty can write individual account of activities)

Proposed Faculty Evaluation Process for Promotion:

Promotion is awarded in the Department of Curriculum and Instruction upon demonstration of competent performance. Evaluation for promotion involves three components: teaching, research/scholarly activities, and service. In addition, collegiality and participation as a citizen of the Department, College, and University are an important part of performance. Promotion shall be awarded only as a result of careful assessment over a period of time sufficient to judge the faculty member's documented accomplishments, ability, and productivity.

Teaching. The first step in the promotion decision process is an evaluation of effectiveness of teaching. Effective teaching requires a thorough knowledge of the subject, the ability to present material in a clear fashion, and the ability to work with, motivate, and serve as a role model for students. The peer review process for teaching will take many forms, for example: consideration of student evaluations of teaching (both formal and informal), examination of syllabi, course handouts, examinations and other course materials and examination of samples of student work.

Research and Scholarly Activities: The purpose of research and scholarly activities in the Department of Curriculum and Instruction is to make a contribution to the body of knowledge in one's discipline. For promotion to be granted, a faculty member must have published, adding to the body of knowledge within the discipline throughout his or her career. A short period of intensive research activity in the year immediately preceding promotion consideration is not an acceptable substitute for a continuous and progressive record. Evidence of research and scholarly activities shall include, but are not limited to: articles and papers published in professional journals, grant writing activity, editorial work, works of performing arts, papers presented at meetings of professional societies, current research and creative activity that has not yet resulted in publication or performance and papers and speeches at state and national meetings.

Service. The third component to be evaluated includes service to the department, college and university. Evidence of service activities shall include,

but are not limited to: serving as member or chairperson of departmental, college, or university committees. External community service may include work for professional organizations and community, and state and federal agencies. It must be related to the faculty member's special professional expertise; the normal service activities associated with good citizenship will not be evaluated as part of the promotion process.

Based on the rating of faculty by area of performance and by percentage of fulltime workload (described elsewhere in this document) assigned to each area of teaching, research/scholarly activities, and service the faculty member applying for promotion must achieve a Rating Point Average of 3 before being granted promotion.

Tenure and Tenure Process
Department of Curriculum and Instruction
Academic Year 2001 – 2002
October 22, 2001

Prepared by: Dr. Jack Rhoton, Chair of the Committee, Dr. Rhona Cummings,
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For discussion purposes, we have outlined an evaluation process and **performance-rating system** based on a four-point scale: Outstanding (4), Above Average (3), Average (2), Below Average (1), and Unsatisfactory (0).

The next obvious question becomes “What is the differences between outstanding and average? This is not an easy question to answer. However, the example below takes into account the faculty member’s contribution in each of the three areas –teaching, research and scholarly activities, and service. The faculty member’s performance in each area is rated separately on a four-point scale, and the ratings are weighted and evaluated based on each area proportionately to effort expended. An example is provided below:

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 - b. Undergraduate courses
 - c. Directed, individual study, supervised research or supervised teaching
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 - a. Systematic rating by students (SAI)
 - b. Chairperson evaluation
 - c. Content of course syllabi
 - d. Informal rating of course by students

- e. Faculty member's interest in teaching improvement activities (workshops, etc.)
 - f. Informal feedback and opinions of alumni
 - g. Feedback from peer evaluator at another institution in the same discipline
 - 3. Supervisory committees or positions
 - a. Chair of master's committee
 - b. Chair of doctoral committee
 - c. Member of master's committee
 - d. Member of doctoral committee
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- B. Research, scholarly and creative activities (including ERIC)
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 - a. Writing
 - (1) Article for refereed national or international journal
 - (2) Article for nonrefereed national or international journal
 - (3) Article for state journal
 - (4) Book with major publishing company
 - (5) Text with major publishing company
 - (6) Revised book
 - (7) section of book with major publisher
 - (8) Book with local publisher
 - (9) Section of book with local publisher
 - b. Editorial Activities
 - (1) Editor of Book
 - (2) Editor of national or international professional journal
 - (3) Editor of state professional journal
 - (4) Associate editor or reviewer for national journal
 - (5) Associate editor or reviewer for state journal
 - (6) Manuscript reviewer for major publisher
 - (7) Reviewer for federal agency
 - 2. Research Projects
 - a. Author of project funded by outside agency
 - b. Author of project funded by university
 - c. Author of project submitted to outside agency but not funded
 - d. Author of project submitted to university but not funded
 - 3. Papers and Speeches
 - a. Presented at national or international meeting, by invitation
 - b. Submitted to national or international meeting
 - c. Presented to regional or state meeting, by invitation
 - d. submitted to regional or state meeting
 - e. Presented at another institution, by invitation
 - f. Present at local meeting
- C. Services
 - 1. Committee activities

- a. Chairperson of university committee
 - b. Member of university committee
 - c. Chairperson of school or college committee
 - d. Member of school or college committee
 - e. Chairperson of area or program committee
 - f. Member of area or program committee
 - g. Member of faculty senate
 - h. Officer of faculty senate
 - i. Chairperson of search committee
 - j. Member of search committee
 - k. Departmental reports
 - l. Program change proposals
2. Professional Activities
- a. Chairperson of national committee
 - b. Member of national committee
 - c. Chairperson of regional or state committee
 - d. Member of regional or state committee
 - e. Officer at regional or national level
 - f. Officer at state level
 - g. Leader for in-service training
 - h. Organizer for workshop
 - i. Member of professional association
 - j. Attendance at professional meeting
 - k. Working with local school on related projects
 - l. Faculty sponsor of local chapter of honor society
 - m. Participation in local radio or television activities
3. Consulting
4. Open category (Faculty can write individual account of activities)

Proposed Faculty Evaluation Process for Tenure:

Tenure is awarded in the Department of Curriculum and Instruction upon demonstration of competent performance. Evaluation for tenure involves three components: teaching, research/scholarly activities, and service. In addition, collegiality and participation as a citizen of the Department, College, and University are an important part of performance. Tenure shall be awarded only as a result of careful assessment over a period of time sufficient to judge the faculty member's documented accomplishments, ability, and productivity.

Teaching. The first step in the tenure decision process is an evaluation of effectiveness of teaching. Effective teaching requires a thorough knowledge of the subject, the ability to present material in a clear fashion, and the ability to work with, motivate, and serve as a role model for students. The peer review process for teaching will take many forms, for example: consideration of student evaluations of teaching (both formal and informal), examination of syllabi, course handouts, examinations and other course materials and examination of samples of student work.

Research and Scholarly Activities: The purpose of research and scholarly activities in the Department of Curriculum and Instruction is to make a contribution to the body of knowledge in one's discipline. For tenure to be granted, a faculty member must have published, adding to the body of knowledge within the discipline throughout his or her career. A short period of intensive research activity in the year immediately preceding tenure consideration is not an acceptable substitute for a continuous and progressive record. Evidence of research and scholarly activities shall include, but are not limited to: articles and papers published in professional journals, grant writing activity, editorial work, works of performing arts, papers presented at meetings of professional societies, current research and creative activity that has not yet resulted in publication or performance and papers and speeches at state and national meetings.

Service. The third component to be evaluated includes service to the department, college and university. Evidence of service activities shall include,

but are not limited to: serving as member or chairperson of departmental, college, or university committees. External community service may include work for professional organizations and community, and state and federal agencies. It must be related to the faculty member's special professional expertise; the normal service activities associated with good citizenship will not be evaluated as part of the tenure process.

Based on the rating of faculty by area of performance and by percentage of fulltime workload (described elsewhere in this document) assigned to each area of teaching, research/scholarly activities, and service the faculty member applying for tenure must achieve a Rating Point Average of 3 before being granted tenure.



Department of

Exercise & Sport Science

Professional Development within Programs
Including Criteria
for
Tenure and Promotion*

Revised: May 5, 2015

A Review of the Process for Professional Development within Programs

When new faculty are hired in the department for service within a given program, EXSS faculty believe that it is the responsibility of other program faculty members to be engaged in the professional development of new faculty. Further, since faculty development is a career-long process, this same interest and involvement ought to be available to those who are already tenured and who are or are not pursuing promotion. Non-tenured faculty members and those seeking promotion during the following academic year will be given priority with regard to program/departmental faculty involvement and developmental support (over those who are already tenured and not seeking promotion). The Department of EXSS believes that it is the responsibility of program and department faculty to engage in mutual support. The collegial, mentoring relationships described below should lead each faculty member to a real knowledge of what other program faculty members are doing in relation to their students, colleagues, and disciplines. Indeed, a side-benefit of these processes and procedures is an interchange of ideas and interests that will naturally lead to cross-fertilization.

Documentation of Involvement in the Professional Development Process

Every other year, program faculty shall provide the evaluations for non-tenured faculty, those seeking promotion, and those who will receive a periodic FAP, FAR, FAE review in the coming academic year. Programs with two or fewer tenured faculty members in them shall have two additional, tenured departmental faculty members assigned to the process when program reviews and evaluations are conducted.

The end-point anticipated for these relational processes is a written “evaluation” narrative for those faculty members who would normally engage in a FAP, FAR, FAE process. This narrative should be of sufficient length to generate a thorough review and summary of the faculty member’s successes, areas of needed development or improvement, and progress in relation to seeking promotion and/or tenure, when appropriate.

Those faculty members who prepare a portfolio for tenure or promotion decisions shall, henceforth, be limited to a one-inch binder. This binder shall contain (a) the required papers and documents established by the university, (b) any specific documentation required by TBR policy, and most importantly (c) a summary review and evaluation by program faculty members that supports and recommends (or declines to do so) the person who has applied for promotion and/or tenure. Yearly evaluation narratives provided by the Departmental Chair and College Dean shall also be part of this portfolio.

If program faculty members cannot agree on a single summary, minority opinions shall also be part of the portfolio. In all cases, however, each faculty member in the program that is serving on the tenure or promotion review committee must have been part of the relational review process and sign one of the summary evaluation statements provided in the portfolio. The faculty member is free to respond to any evaluations provided and may add any additional items of support, upon the approval of the tenure or promotion review committee, to add up to but not to exceed the one-inch binder limit.

While basic criteria for positive departmental evaluations in tenure and promotion decisions are indicated below, each program is expected to clarify and develop standards and criteria that are specific to the professional disciplines they represent. Further, the program faculty has the right to specify emphases, weights, or other expected dimensions based on the needs of the program and the students they serve. With the idea that departmental criteria will be adjusted by program and respected by other programs within the department, the following criteria for tenure and promotion are considered basic for all faculty members of the Department of EXSS.

Specific Activities and Processes Expected of Program and Departmental Faculty in Relation to the Professional Development Process

Specific processes and activities will be expected of program and department faculty to ensure the kind of relationship anticipated by this document. These processes and activities include, but are not limited to, the following:

- Program/departmental faculty will seek to become familiar with and interested in the teaching processes and skills of each other—especially those who are new and untenured faculty members or those soon to seek promotion—by entering into collaborative conversations that:
 - Review and consider options for course syllabi, text books, integrative technology, collaborative learning, and field experiences;
 - Review and consider the experience of watching the faculty member teach on multiple occasions throughout the year;
 - Discuss teaching philosophies and pragmatic pedagogical processes for adult learners and the children and families they will ultimately serve;
 - Review and consider processes for team-teaching or an interchange of presentations within multiple courses;
 - Review and consider processes and options for as well as results in grading, course and instructor evaluations, and other methods and systems for feedback and accountability.

- Program/departmental faculty will seek to become familiar with and interested in the research and scholarly interests and work of each other—especially those who are new and untenured faculty members or those soon to seek promotion—by:
 - Discussions of scholarly interests and an agenda for research and/or professional writing;
 - Reading and commenting on draft articles, scholarly grants, published works, competitively selected professional papers, and other forms of developing and accomplished scholarship;
 - Inviting other faculty members to join in collaborative research and scholarship;
 - Seeking to pair faculty members with similar interests for cross-fertilization of ideas and contributions to the knowledge base of their shared discipline.

- Program/departmental faculty will seek to become familiar with and interested in the service interests and work of each other—especially those who are new and untenured faculty members or those soon to seek promotion—by:
 - Carefully monitoring service activities of new faculty in relation to their other areas of academic development and experience at ETSU, such that less is expected of them in the first years of service and additional opportunities are considered in relation to the needs of the program, department, college, and university when the person is more established;
 - Linking those with skills and connections in the local community to those who have yet to establish similar processes and contacts;
 - Helping colleagues to say “yes” to those university assignments that fit their interests and capabilities and “no” to those that don’t or when that faculty member is in danger of overloading themselves and letting their teaching and scholarship suffer;
 - Helping colleagues to enter into state and national professional organizations associated with the program discipline and to find a healthy balance to professional involvement when considered as part of the full range of activities in which the faculty member is engaged;
 - Helping colleagues access support and approval for professional development, professional travel, and professional practice in their fields.

Guidelines and Criteria for Tenure and Promotion

The faculty member seeking promotion and/or tenure is to be rated by program/departmental faculty as (a) having **exceeded** program and department expectations for promotion and/or tenure; (b) having **met** program and department expectations for promotion and/or tenure; or (c) having **failed to meet** program and department expectations for promotion and/or tenure. In considering the criteria below, program and departmental faculty shall consider course load as a context for their decisions. The program and department faculty shall support any person's application that meets or exceeds department expectations, listed below, and university and TBR criteria for promotion in rank and/or tenure.

TENURE

To Gain Tenure in the Department of Kinesiology, Leisure and Sport Sciences:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education model.
3. Consistently good/positive written evaluations from students, both formally and informally, obtained by the candidate.
4. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the department and program/department peers.
5. Demonstration of effectiveness in at least **three** (3) of the following **eight** (8) categories: (a) articles on teaching; (b) presentations/workshops on teaching; (c) guest lectures; (d) participation in teaching classes, courses, conferences, seminars, workshops, etc.; (e) participation in seminars/courses on technology in the classroom; (f) development of new courses; (g) revision of existing courses, particularly to utilize technology; and (h) teaching awards.

Quantitative Expectations in Teaching

1. Formal instructor ratings (e.g., from the SAI's) in the range from good to excellent in at least 80% of the tenure-review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the period of tenure-track service, at least **five** (5) articles, chapters, or scholarly grants (or any combination of **five** [5]) published or accepted for publication, in state*, national or international refereed journals, a national publisher, or awarded a scholarly grant**.

*A "state journal" article is permitted to count **only once** as one of the five articles required.

****Equivalencies:**

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two (2) articles, chapters, or scholarly grants.

Further, any two (2) of the following shall count, once only, as the equivalent of one (1) of the five (5) required articles, chapters, or scholarly grants: (a) presentation of a research-based refereed paper or a competitively selected poster or convention presentation at a national or international professional meeting; (b) research-based articles in refereed regional journals; or (c) research-based monographs or edited proceedings from professional meetings or seminars.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active participation and responsibility in **one** (1) of the following:
 - Faculty member's assigned program area,
 - Department/college/university area,
 - Professional/community area.

- Serving on an editorial board of a national or international refereed journal.
3. Support letters that specifically address quality of service in any professional area in which service is offered.
 4. Effective advisement or mentoring of students.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; etc.
1. Membership in **one** (1) professional organization.
2. Evaluation data from non-refereed professional presentations.

PROMOTION

To Gain Promotion from Instructor to Assistant Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education's Conceptual Framework .
3. Consistently good/positive written evaluations from students (both formally and informally obtained).
4. Consistently meets expectations in teaching as evidenced by written evaluations from the chair of the department and program/department peers.

Quantitative Expectations in Teaching

1. An earned terminal degree from a regionally accredited university in a field or discipline associated with the program in which the person was hired.
2. Formal instructor ratings (e.g., from the SAI's) are primarily in the range from good to very good with few exceptions.

3. Demonstration of effectiveness in at least **two** (2) of the following **eight** (8) categories: (a) articles on teaching; (b) presentations/workshops on teaching; (c) guest lectures; (d) participation in teaching courses, conferences, seminars, workshops, etc.; (e) participation in seminars/courses on technology in the classroom; (f) development of new courses; (g) revision of existing courses, particularly to utilize technology; and (h) teaching awards.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. At least **five** (5) articles, chapters, or scholarly grants significantly developed with a reasonably planned date for submission to a state*, national or international refereed journal, a national publisher, or scholarly grant agency.

*A "state journal" article is permitted to count **only once** as one of the five articles required.

Qualitative Expectations in Service

1. Promise of productive service.

To Gain Promotion from Assistant Professor to Associate Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education model.
3. Consistently good/positive written evaluations from students, both formally and informally obtained by the candidate.

4. Consistently meets, and often exceeds, expectations in teaching as evidenced by written evaluations good/positive written evaluations from the chair of the department and program/department peers.
5. Demonstration of effectiveness in at least **three** (3) of the following **eight** (8) categories: (a) articles on teaching; (b) presentations/workshops on teaching; (c) guest lectures; (d) participation in teaching classes, courses, conferences, seminars, workshops, etc.; (e) participation in seminars/courses on technology in the classroom; (f) development of new courses; (g) revision of existing courses, particularly to utilize technology; and (h) teaching awards.

Quantitative Expectations in Teaching

1. Formal instructor ratings (e.g., from the SAI's) in the range from good to excellent in at least 80% of the tenure-review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the period of service as assistant professor, at least **five** (5) articles, chapters, or scholarly grants (or any combination of **five** [5]) published or accepted for publication, in state*, national or international refereed journals, national publishers, or awarded a scholarly grant**.

*A "state journal" article is permitted to count **only once** as one of the five articles required.

****Equivalencies:**

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two (2) articles, chapters, or scholarly grants.

Further, any two (2) of the following shall count, once only, as the equivalent of one (1) of the five (5) required articles, chapters, or scholarly grants: (a) presentation of a research-based refereed paper or a competitively selected poster or convention presentation at a

national or international professional meeting; (b) research-based articles in refereed regional journals; or (c) research-based monographs or edited proceedings from professional meetings or seminars. Two (2) internal scholarly institutional grants will count the equivalent of one (1) external scholarly grant.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active participation in **two** (2) of the following:
 - Faculty member's assigned program area.
 - Department/college/university area.
 - Professional/community area.
 - Serving on an editorial board of a national or international refereed journal.
3. Support letters that specifically address quality of service and responsibilities in any professional area in which service is offered.
4. Effective advisement or mentoring of students.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; (f) thesis, dissertation, and/or capstone committee; etc.
2. Membership in **one** (1) professional organization.
3. Evaluation data from non-refereed professional presentations.

To Gain Promotion from Associate Professor to Full Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education.

3. Consistently good/positive written evaluations from students, both formally and informally obtained by the candidate.
4. Consistently meets and/or exceeds expectations in teaching as evidenced by written evaluations from the chair of the department and program/department peers.
5. Demonstration of effectiveness in at least **five** (5) of the following **eight** (8) categories: (a) articles on teaching; (b) presentations/workshops on teaching; (c) guest lectures; (d) participation in teaching classes, courses, conferences, seminars, workshops, etc.; (e) participation in seminars/courses on technology in the classroom; (f) development of new courses; (g) revision of existing courses, particularly to utilize technology; and (h) teaching awards.

Quantitative Expectations in Teaching

1. Formal instructor ratings (e.g., from the SAI's) in the range from good to excellent in at least 80% of the tenure-review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the period between achieving the rank of Associate Professor and the application for Full Professor, at least **five** (5) articles, chapters, or scholarly grants (or any combination of **five** [5]) published or accepted for publication, in state* national or international refereed journals, national publishers, or awarded a scholarly grant by an external grant-funding agency**. Of the **five** (5) articles, **one** (1) or more must be first or senior author.

*A "state journal" article is permitted to count **only once** as one of the five articles required.

- For those who apply after a period longer than the minimum required years in rank as Associate Professor, the quantity expected for promotion shall be at least **five** (5) articles, chapters, or scholarly grants* (or any combination of **five** [5]) published or accepted for publication in state*, national or international refereed

journals, national publishers, or awarded a scholarly grant by an external grant-funding agency, **in the previous six (6) years.**

*A “state journal” article is permitted to count **only once** as one of the five articles required.

****Equivalencies:**

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two (2) articles, chapters, or scholarly grants.

Further, any two (2) of the following shall count, once only, as the equivalent of one (1) of the five (5) required articles, chapters, or scholarly grants: (a) presentation of a research-based refereed paper or a competitively selected poster or convention presentation at a national or international professional meeting; (b) research-based articles in refereed regional journals; or (c) research-based monographs or edited proceedings from professional meetings or seminars. Two (2) internal scholarly institutional grants will count the equivalent of one (1) external scholarly grant.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active participation and responsibility in **three (3)** of the following:
 - a. Faculty member’s assigned program area.
 - b. Department.
 - c. College.
 - d. University area.
 - e. Professional associations.
 - f. The community area.
 - g. Serving on an editorial board of a national or international refereed journal.
3. Leadership in 1 area listed in #2.
4. Support letters that specifically address quality of service in any professional area in which service is offered.
5. Effective advisement or mentoring of students.

Quantitative Expectations in Service

Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; (f) thesis, dissertation, and/or capstone committee; etc.

- 1.
2. Membership in **one** (1) professional organization.
3. Evaluation data from non-refereed professional presentations.

The following items may be added to supplement the above requirements, but they are in no case a substitution for the above requirements in research and scholarly activities:

- A review by two people from the faculty member's discipline is helpful in validating that the articles, chapters, or scholarly grants associated with the faculty member make a professional contribution to the field of study.

- Serving on editorial boards for state or regional professional journals.

- Presentations of papers at local, state, or regional professional meetings.

- Unfunded or intramural research and scholarly grant proposals.

- Research or scholarly efforts in progress, but not yet accepted for publication.

- Support for and mentoring of student research, theses, or dissertations.

- Articles, chapters, or books published in newspapers, local journals, or privately.

Department of Teaching & Learning
East Tennessee State University
Guidelines and Criteria for Promotion and Tenure

The tenure and promotion guidelines for the Department of Teaching & Learning were revised through faculty participation and vote. The following revised guidelines are effective fall, 2014. The previous set of guidelines governs all tenure and promotions for faculty hired prior to fall, 2014, unless the individual *chooses* to be held to the new set of guidelines below. The previous set of guidelines can only be used once. The revised guidelines will then be used for the next review for tenure and/or promotion.

The faculty member seeking promotion and/or tenure is to be rated by Program/Departmental faculty as (a) having *exceeded* program and department expectations for promotion and/or tenure; (b) having *met* program and department expectations for promotion and/or tenure; or (c) having *failed to meet* program and department expectations for promotion and/or tenure. In considering the criteria below, Program and Departmental faculty shall consider course load as a context for their decisions. The Program and Department faculty shall support any person's application that meets or exceeds expectations, listed below, for promotion in rank and/or tenure within the declared timelines of the university.

Instructor to Assistant Professor

Revised 8/19/15

To Gain Promotion from Instructor to Assistant Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. Consistently good/positive written evaluations from students (both formally and informally obtained).
3. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers. In addition, teaching reviews should include 1 from outside the department.
4. Demonstration of sustained activity in at least 2 of the following eight categories: (a) articles on teaching (not to be duplicated in scholarship); (b) presentations/workshops on teaching (not to be duplicated in scholarship); (c) guest lectures; (d) participation in courses, conferences, seminars, workshops, etc. about teaching; (e) participation in seminars/courses on use of technology in the classroom; (f) development of new courses; (g) substantive revision of existing courses with review (CPS, ATS), (h) teaching awards, and (i) provide evidence of including recognition and appreciation of diversity in courses.

Quantitative Expectations in Teaching

1. An earned terminal degree from a regionally accredited university in a field or discipline associated with the program in which the person was hired.
2. Formal Instructor Ratings (e.g., from the SAI's) collectively are primarily (80% of the time) in the range from good to excellent.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. Two articles, chapters or grants (or some combination), with at least one (1) article, chapter, or grant significantly developed with a reasonably planned date for submission to a state, national or international *refereed* journal, a national publisher, or an external grant-funding agency, respectively.

Qualitative Expectations in Service

1. Promise of productive service.
2. A clearly defined service plan, complete with a focus on meeting the needs and goals of the program, department, college, university, and professional discipline.
3. Active, effective, participation in the Program, which includes, but is not limited to, student advisement.

To Gain Tenure in the Department of Teaching and Learning:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education Framework and its ten (10) areas of significance.
3. Consistently good/positive written evaluations from students (both formally and informally obtained).
4. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers. In addition, teaching reviews should include 1 from outside the department.
5. Demonstration of sustained activity in at least 3 of the following eight categories: (a) articles on teaching (not to be duplicated in scholarship); (b) presentations/workshops on teaching (not to be duplicated in scholarship); (c) guest lectures; (d) participation in courses, conferences, seminars, workshops, etc. about teaching; (e) participation in seminars/courses on use of technology in the classroom; (f) development of new courses; (g) substantive revision of existing courses with review (CPS, ATS), (h) teaching awards, and (i) provide evidence of including recognition and appreciation of diversity in courses.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from good to excellent collectively in at least 80% of the tenure-review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years of tenure-track service, at least **two** articles, chapters, or grants* (or any combination of two) published, accepted for publication, or awarded. Of these, at least 1 refereed article or chapter published or accepted for publication. Grant award may be internally or externally funded. .

***Equivalencies:**

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two articles, chapters, or grants (excluding self-published, non-peer reviewed and textbook revisions).

Two of the following (from two different categories, with the exception of (b) where 2 presentations competitively selected can count as one of the two required) shall count as the equivalent of one of the two required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) **PRESENTATION OF A REFEREED PAPER OR A COMPETITIVELY SELECTED POSTER OR CONVENTION PRESENTATION AT A NATIONAL OR INTERNATIONAL PROFESSIONAL MEETING**; (c) articles in state or regional refereed journals; (d) monographs or edited proceedings from professional meetings or seminars; (e) professional audio or video tapes; (f) development of curriculum related to the person's discipline or other technology related to the academic discipline, (g) non-referred chapter, or (h) large RDC or IDG grant.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs and goals of the program, department, college, university, and professional discipline.
2. Active, effective, participation in the Program, which includes, but is not limited to, student advisement.
3. Active, effective, participation and responsibility in **one** of the following:
 - a) the Department
 - b) the College
 - c) the University
 - d) Professional associations
 - e) the Community
4. Support letters specifically address quality of service in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; etc.
2. Membership in one (1) professional organization.
3. Evaluation data from non-referred professional presentations.

Assistant to Associate Professor

Revised 8/19/15

To Gain Promotion from Assistant Professor to Associate Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education Framework and its ten (10) areas of significance.
3. Consistently good/positive written evaluations from students (both formally and informally obtained).
4. Consistently meets, and often exceeds, expectations in teaching as evidenced by written evaluations good/positive written evaluations from the Chair of the Department and Program/Department peers. In addition, teaching reviews should include 1 from outside the department.
5. Demonstration of sustained activity in at least 3 of the following eight categories: (a) articles on teaching (not to be duplicated in scholarship); (b) presentations/workshops on teaching (not to be duplicated in scholarship); (c) guest lectures; (d) participation in courses, conferences, seminars, workshops, etc. about teaching; (e) participation in seminars/courses on use of technology in the classroom; (f) development of new courses; (g) substantive revision of existing courses with review (CPS, ATS), (h) teaching awards, and (i) provide evidence of including recognition and appreciation of diversity in courses.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from good to excellent collectively in at least 80% of the review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years of tenure-track service, at least **three** articles, chapters, or grants* (or any combination of two) published, accepted for publication, or awarded. Of these, at least 2 *refereed* articles or chapters published or accepted for publication. Grant award must be externally funded.

*Equivalencies:

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two articles, chapters, or grants (excluding self-published, non-peer reviewed and textbook revisions).

Two of the following (from two different categories, with the exception of (b) where 2 presentations competitively selected can count as one of the two required) shall count as the equivalent of one of the three required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) **PRESENTATION OF A REFEREED PAPER OR A COMPETITIVELY SELECTED POSTER OR CONVENTION PRESENTATION AT A NATIONAL OR INTERNATIONAL PROFESSIONAL MEETING**; (c) articles in state or regional refereed journals; (d) monographs or edited proceedings from professional meetings or seminars; (e) professional audio or video tapes; (f) development of curriculum related to the person's discipline or other technology related to the academic discipline, (g) non-referred chapter, or (h) large RDC or IDG grant.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Active, effective, participation in the Program, which includes, but is not limited to, student advisement.
3. Active, effective, participation in **one** of the following:
 - a) the Department
 - b) the College
 - c) the University
 - d) Professional associations
 - e) the Community
4. Support letters that specifically address quality of service and responsibilities in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; etc.
2. Membership in one (1) professional organization.
3. Evaluation data from non-refereed professional presentations.

To Gain Tenure in the Department of Teaching and Learning:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education Framework and its ten (10) areas of significance.
3. Consistently good/positive written evaluations from students (both formally and informally obtained).
4. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers. In addition, teaching reviews should include 1 from outside the department
5. Demonstration of sustained activity in at least 3 of the following eight categories: (a) articles on teaching (not to be duplicated in scholarship); (b) presentations/workshops on teaching (not to be duplicated in scholarship); (c) guest lectures; (d) participation in courses, conferences, seminars, workshops, etc. about teaching; (e) participation in seminars/courses on use of technology in the classroom; (f) development of new courses; (g) substantive revision of existing courses with review (CPS, ATS), (h) teaching awards, and (i) provide evidence of including recognition and appreciation of diversity courses.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from good to excellent collectively in at least 80% of the tenure-review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years of tenure-track service, at least **two** articles, chapters, or grants* (or any combination of two) published, accepted for publication, or awarded. Of these, at least 1 referred article or chapter published or accepted for publication. Grant award may be internally or externally funded. .

*Equivalencies:

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two articles, chapters, or grants (excluding self-published, non-peer reviewed and textbook revisions).

Two of the following (from two different categories) shall count as the equivalent of one of the two required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) **PRESENTATION OF A REFEREED PAPER OR A COMPETITIVELY SELECTED POSTER OR CONVENTION PRESENTATION AT A NATIONAL OR INTERNATIONAL PROFESSIONAL MEETING**; (c) articles in state or regional refereed journals; (d) monographs or edited proceedings from professional meetings or seminars; (e) professional audio or video tapes; (f) development of curriculum related to the person's discipline or other technology related to the academic discipline, (g) non-referred chapter, or (h) large RDC or IDG grant.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs and goals of the program, department, college, university, and professional discipline.
2. Active, effective, participation in the Program, which includes, but is not limited to, student advisement.
3. Active, effective, participation in **one** of the following:
 - a) the Department
 - b) the College
 - c) the University
 - d) Professional associations
 - e) the Community
4. Support letters specifically address quality of service in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; etc.
2. Membership in one (1) professional organization.
3. Evaluation data from non-refereed professional presentations.

Associate to Full Professor

Revised 8/19/15

To Gain Promotion from Associate Professor to Full Professor:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education Framework and its ten (10) areas of significance.
3. Consistently good/positive written evaluations from students (both formally and informally obtained).
4. Consistently meets and/or exceeds expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers. In addition, reviews should include 1 from outside department.
5. Demonstration of sustained activity in at least 5 of the following eight categories: (a) articles on teaching (not to be duplicated in scholarship); (b) presentations/workshops on teaching (not to be duplicated in scholarship); (c) guest lectures; (d) participation in courses, conferences, seminars, workshops, etc. about teaching; (e) participation in seminars/courses on use of technology in the classroom; (f) development of new courses; (g) substantive revision of existing courses with review (CPS, ATS), (h) teaching awards and (i) provide evidence of including recognition and appreciation of diversity in courses.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from SAI's) in range from good to excellent collectively in at least 80% of the review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years between achieving the rank of Associate Professor and the Application for Full Professor, at least **five** articles, chapters, or grants* (or any combination of five) published, accepted for publication, or awarded (grant) in national or international refereed journals, national publishers, or external grant-funding agencies, respectively.

*For those who apply more than five years after receiving promotion to Associate Professor, the quantity expected for promotion shall be at least **five** articles, chapters, or grants* (or any combination of five) published, accepted for publication, or awarded (grant) in national or international refereed journals, national publishers, or external grant-funding agencies, respectively, **in the previous six years.**

*Equivalencies:

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two articles, chapters, or grants (excluding self-published, non-peer reviewed and textbook revisions).

Two of the following (from two different categories, with the exception of (b) where 2 presentations competitively selected can count as one of the two required) shall count as the equivalent of one of the five required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) PRESENTATION OF A REFEREED PAPER OR A COMPETITIVELY SELECTED POSTER OR CONVENTION PRESENTATION AT A NATIONAL OR INTERNATIONAL PROFESSIONAL MEETING; (c) articles in state or regional refereed journals; (d) monographs or edited proceedings from professional meetings or seminars; (e) professional audio or video tapes; (f) development of curriculum related to the person's discipline or other technology related to the academic discipline, (g) non-referred chapter, or (h) large RDC or IDG grant.

Additional Requirement: Invite two people from faculty member's discipline (outside University) to review the articles, chapters, grants or service associated with the faculty member in relation to making a professional contribution to the field of study (per department guidelines).

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs and goals of the program, department, college, university, and professional discipline.
2. Active, effective, participation in the Program, which includes, but is not limited to, student advisement.
3. Active, effective, participation and responsibility in **two** of the following:
 - a) the Department
 - b) the College
 - c) the University
 - d) Professional associations
 - e) the Community
4. Leadership in 1 area listed in #3.
5. Support letters that specifically address quality of service in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; etc.
2. Membership in one (1) professional organization.
3. Evaluation data from non-referred professional presentations.

To Gain Tenure in the Department of Teaching and Learning:

Qualitative Expectations in Teaching

1. A clearly defined philosophy of education with a self-evaluation of how the faculty member pragmatically applies that philosophy.
2. A description of the connection between the faculty member's philosophy of education and the College of Education Framework and its ten (10) areas of significance.
3. Consistently good/positive written evaluations from students (both formally and informally obtained).
4. Consistently meets expectations in teaching as evidenced by written evaluations from the Chair of the Department and Program/Department peers. In addition, teaching reviews should include 1 from outside the department.
5. Demonstration of sustained activity in at least 3 of the following eight categories: (a) articles on teaching (not to be duplicated in scholarship); (b) presentations/workshops on teaching (not to be duplicated in scholarship); (c) guest lectures; (d) participation in courses, conferences, seminars, workshops, etc. about teaching; (e) participation in seminars/courses on use of technology in the classroom; (f) development of new courses; (g) substantive revision of existing courses with review (CPS, AT), (h) teaching awards and (i) provide evidence of including recognition and appreciation of diversity in courses.

Quantitative Expectations in Teaching

1. Formal Instructor Ratings (e.g., from the SAI's) in the range from good to excellent collectively in at least 80% of the tenure-review period.

Qualitative Expectations in Research and Scholarly Activity

1. A clearly defined research and scholarly activities plan (perhaps broadly defined within one's primary discipline), complete with a focus on what kind of voice the person wishes to have and what kind of contribution the person wishes to make to her or his field.

Quantitative Expectations in Research and Scholarly Activity

1. During the five years of tenure-track service, at least **two** articles, chapters, or grants* (or any combination of two) published, accepted for publication, or awarded. Of these, at least 1 referred article or chapter published or accepted for publication. Grant award may be internally or externally funded.

*Equivalencies:

A nationally published book or textbook in which the faculty member is a first or second author will count as the equivalent of two articles, chapters, or grants (excluding self-published, non-peer reviewed and textbook revisions).

Two of the following (from two different categories) shall count as the equivalent of one of the two required articles, chapters, or grants: (a) serving on an editorial board of a national or international refereed journal; (b) PRESENTATION OF A REFEREED PAPER OR A COMPETITIVELY SELECTED POSTER OR CONVENTION PRESENTATION AT A NATIONAL OR INTERNATIONAL PROFESSIONAL MEETING; (c) articles in state or regional refereed journals; (d) monographs or edited proceedings from professional meetings or seminars; (e) professional audio or video tapes; (f) development of curriculum related to the person's discipline or other technology related to the academic discipline, (g) non-referred chapter, or (h) large RDC or IDG grant.

Qualitative Expectations in Service

1. A clearly defined service plan, complete with a focus on meeting the needs and goals of the program, department, college, university, and professional discipline.
2. Active, effective, participation in the Program, which includes, but is not limited to, student advisement.
3. Active, effective, participation and responsibility in **two** of the following:
 - a) the Department
 - b) the College
 - c) the University
 - d) Professional associations
 - e) the Community
4. Support letters specifically address quality of service in any professional area in which service is offered.

Quantitative Expectations in Service

1. Documentation of service involvement through (a) minutes; (b) brochures; (c) surveys conducted; (d) recruitment letters; (e) PowerPoint; etc.
2. Membership in one (1) professional organization.
3. Evaluation data from non-referred professional presentations.

**EAST TENNESSEE STATE UNIVERSITY
CLEMMER COLLEGE OF EDUCATION**

UNIVERSITY SCHOOL

□iversity School has not developed promotion criteria.

**East Tennessee State Tennessee University
University School**

Departmental Criteria for the Clarification of the Tenure Process

Revised April 2016

As prepared by the tenured faculty:

Gina Bailiff, Kelli Barnett, Carol Ann Bevan, Joe Borden, Kristen Johnson, Noell Brickell, Mahua Chakraborty, Sharon Cradic, Pam Cromie, Ariane Day, Tim Erwin, Evelyn Hammonds, Terri Knight, Mary Myron, Josh Petty, Rayne Price, Allyson Ross, Aleeta Shaw, Sharon Squibb, Kimberly Summey.

Statement of Clarification:

This department seeks to outline the tenure process for tenure track faculty of University School in such a manner that allows for consistent review of the exemplary standards required for the tenure process. While this document seeks uniform assessment, it allows for individuality in the manner in which the standards of tenure may be achieved during the formative years. Faculty is encouraged to use this document as a framework for tenure success.

The Tenure Criteria for University School

Over the probationary period tenure track faculty should be aware that performance criteria are based upon the following category divisions:

TEACHING EFFECTIVENESS: 85%
SERVICE TO THE SCHOOL, UNIVERSITY, AND COMMUNITY AT LARGE: 10%
SCHOLARSHIP INCLUDING RESEARCH AND CREATIVE ENDEAVORS: 5%

Documents that must be submitted on protenure.etsu.edu by September 15 of the sixth year on tenure track:

- **Tenure Narrative Statement:** a written reflection explaining the candidate's achievements for the past 5 years in relation to Teaching Effectiveness, Service and Scholarship. The artifacts provided in the Supporting Document should be addressed in the Narrative Statement (Tenure Form 3).
- **Supporting Document:** one pdf file that contains all artifacts.
- **Curriculum Vitae**

TEACHING EFFECTIVENESS

It is noted that emphasis will be placed on teaching activities that result in local, regional, state, or national recognition.

Over a six year period, suggested teaching artifacts leading to tenure include the following:

1. Clear evidence of a candidate's teaching effectiveness must be presented. Sources of evidence **will** include:
 - FAR/FAE annual reports
 - Tennessee Evaluation documents
 - Peer observation (Documentation of at least one peer observation)
 - Letters of recommendation by peers
 - Letters of appreciation by students and parents (e.g. notes, cards, emails from over the course of a six year period are acceptable.)

2. Command of the subject matter should be presented. It is **highly recommended** that the candidate possess a master's degree in an academic discipline by the end of the probationary period or have evidence of exemplary performance in the arts, athletics, or technical fields. Artifacts **may** include:
 - Letters of recognition or achievement in the discipline.
 - A record of consistent student achievement and recognition.
 - Other

3. The ability to organize subject matter in a meaningful and logical way must be evidenced. Artifacts from University School classes **may** include: (Adjunct teaching cannot come under this area because they are not a part of one's permanent teaching contract.)
 - A sample unit, syllabus, or series of teaching activities
 - A documented workshop created by the candidate for students, in-service, or seminars that reflect the discipline of the candidate.
 - Rubrics and assessment instruments
 - Annotated daily activity samples
 - Teacher website (include a screenshot or a hyperlink in the artifacts)
 - Other

4. The ability of the candidate to motivate students must be documented with artifacts that **may** include:
 - Student letters of appreciation
 - Documentation of student participation and success in subject matter activities or community at large events

- Documentation of achievement by students on standardized testing
- Other

5. Evidence of effectiveness in academic assignments at University School other than teaching **may** be documented by:

- Indication of the assignment on the FAR/FAE
- National Board Certification
- Terminal Degree
- Professional development (e.g. documentation of attendance at workshops, study groups, professional meetings and/or documentation of professional readings and participation in collaborative study)
- Mentoring of pre-service teachers engaged in clinical preparation
- Other

SCHOLARSHIP INCLUDING RESEARCH AND OTHER CREATIVE ENDEAVORS

It should be noted that emphasis is placed on research and creative activities that result in publication and presentation at the regional, state or national level.

Over a six year period, suggested scholarship artifacts leading to tenure include the following but are not limited to:

1. Faculty candidates **must** present or publish at the regional, state, or national level. Suggested artifacts include:
 - Publications in journals (peer reviewed articles items receive greater consideration)
 - Regional, state, and/or national presentations
 - Performances, art shows, concerts or other similar demonstrations of creative work in area of expertise
2. Candidates **may** provide evidence of research. It may be research within University School, the College of Education, or University at large. It may include:
 - Ongoing classroom or departmental assessments of data and methods that are used for research based departmental decisions
 - Action research projects appropriate for publication and presentation
 - Other
3. Candidates **may** submit artifacts that reflect creative involvement of students in performances, exhibitions, competitions that are juried and invited by recognized groups and organizations within the discipline. This may include coaching in extracurricular activities such as athletic events, mock trial, and poetry competitions.
 - Events
 - Tournaments
 - Exhibitions
 - Performances
 - Competitions
 - Other
4. Candidates **may** present evidence of grant writing and procurement of grant funds for one's discipline.
 - Grants awarded
 - Grants submitted

SERVICE TO THE SCHOOL, UNIVERSITY, AND COMMUNITY AT LARGE

It is noted that emphasis will be placed on leadership roles in these areas (e.g. chairperson, coordinator, officer, sponsor, head coach, lead mentor, or director).

Over a six year period, suggested Service Artifacts leading to Tenure include the following but not limited to:

1. Candidates **will** provide evidence of professional service to University School by showing documented leadership of the following types of committees.

- AdvancED
- Leadership Advisory Team
- Professional Learning Committees
- Search committees
- Curriculum committees
- Coaching of an athletic team
- Annual school event committees
- Club sponsorship
- Other

2. Candidates **will** provide evidence of professional service to the Clemmer College of Education by documenting committee membership on the following types of committees:

- Teacher Education Accreditation Council
- Student Admissions Interviews
- College of Education search committees
- Curriculum committees
- Ad Hoc committees (Pre-Service Teacher Collaboration, Bylaws, etc)
- Departmental committees
- Grant committees
- CAEP
- Advisor of student groups
- Award and recognition committee
- Other

3. Candidates **may** provide documented evidence of service to the University at large that includes:

- Faculty Senate
- University committees
- Institutional Review Board (IRB)
- University searches
- ETSU trainer (e.g. diversity, technology, registration)

- Other campus events posted for faculty at large
4. Candidates **may** provide artifacts to support evidence of service to one's discipline and/or student organizations at varying levels:
- Local:
- Local organization membership
 - Club sponsor within your discipline
 - Arts organizations (J.C. Orchestra, J. C. Community Theater)
 - Sponsorship of student competitions (e.g. Jr. Monday Poetry Competition, Spelling Bee, Geography Bee, Scholar's Bowl)
 - Other
- State:
- State organization membership
 - National Board Candidate mentor
 - Sponsorship of student competitions
 - Other
- National:
- National organization membership
 - Sponsorship of student competitions
 - Other
5. Candidates **may** provide evidence of service to the larger society of which the university is a part. This might include:
- Washington County Textbook Committee
 - Grant committee
 - Workshops
 - Leadership in community (e.g. Kiwanis, Ruritan, Rotary, civic clubs)
 - Leadership in youth organization (e.g. Boys' & Girls' clubs, Jr. Achievement, scouting)
 - Community coaching (e.g. Park & Recreation)
 - Presentations at events (e.g. community organizations, visiting delegations)
 - Conducting training or workshops
 - Other

College of Arts and Sciences Tenure and Promotion Criteria

Appalachian Studies

[Tenure](#) || [Promotion](#)

Art and Design

[Tenure](#) || [Promotion](#)

Biological Sciences

[Tenure](#) || [Promotion](#)

Chemistry

[Tenure](#) || [Promotion](#)

Communication and Performance

[Tenure](#) || [Promotion](#)

Criminal Justice and Criminology

[Tenure](#) || [Promotion](#)

Geosciences

[Tenure](#) || [Promotion](#)

History

[Tenure](#) || [Promotion](#)

Literature and Language

[Tenure](#) || [Promotion](#)

Mass Communication

[Tenure](#) || [Promotion](#)

Mathematics and Statistics

[Tenure](#) || [Promotion](#)

Music

[Tenure](#) || [Promotion](#)

Philosophy and Humanities

[Tenure](#) || [Promotion](#)

Physics and Astronomy

[Tenure](#) || [Promotion](#)

Political Science, International Affairs, and Public Administration

[Tenure](#) || [Promotion](#)

Psychology

[Tenure](#) || [Promotion](#)

Social Work

[Tenure](#) || [Promotion](#)

Sociology and Anthropology

[Tenure](#) || [Promotion](#)

**Department of Appalachian Studies
East Tennessee State University**

Criteria for Consideration of a Recommendation for Tenure or Promotion

Created March 2009

Preamble

The Department of Appalachian Studies is interdisciplinary and diverse. Faculty members have expertise in a wide range of fields and combinations of disciplines, including bluegrass, old, time, country, and Celtic music and recording; literature; history; international studies; folklore; and Appalachian studies in general. A single faculty member may have expertise in, write about, and teach courses in such divergent areas as Appalachian music and coal mining. Consequently, the standards for promotion and tenure must reflect the unique, diverse character of the department.

A further anomaly is the nature of the Bluegrass, Old Time, and Country Music program, wherein traditional and popular genres of music are being delivered through an academic structure that is almost antithetical to the nature of the music and the way it has been learned for generations. Though bluegrass music is gaining acceptance and stature in traditional music schools, such as the Berklee College of Music, no academic institution is as yet preparing faculty with terminal or doctoral degrees in the specialized discipline, and there is no recognized terminal degree in the field. It represents a cutting-edge, growing discipline.

The following criteria for promotion and tenure are designed to accommodate the unique character of the department and the diverse nature of its faculty. While these criteria do not quantify productivity and do not set absolute or minimal standards for each academic rank, they nevertheless embrace standards of excellence commensurate with a doctoral/research intensive university. Additionally, these criteria are not grounded in the expectation that all faculty will possess the "terminal degree"; instead, professional experience and expertise are endorsed where appropriate as "equivalent" to the terminal degree. The department relies on faculty whose credentials represent "a record of extraordinary achievement in a given field," regardless of their academic training and degrees. (*Faculty Handbook* 2.4.1.7.4) (Faculty who do not possess the terminal degree should, at the time of hiring, procure a written statement from the Provost documenting that ETSU recognizes the equivalency.)

Within the department, no two faculty members will follow the same path to a successful academic career. A strong dossier for tenure or promotion will document evidence of effectiveness in teaching, and quality in service and research, increasing qualitatively with each academic rank.

Department of Appalachian Studies

Criteria for Consideration of a Recommendation for Tenure

Faculty Handbook No.	Departmental Policy	Explanation
2.3.4.1 Length of Probationary Period and Timing of Application for Tenure	Upon completion of the probationary period, tenure-track faculty should consult with the chair for direction in beginning the process of applying for tenure.	After the university administration notifies the chair of faculty who are eligible to apply for tenure, the chair will provide guidance toward a successful application. The candidate should feel free to consult with other faculty who have successfully completed the tenure process.
2.3.5 Pre-Tenure	The College of Arts and Sciences requires	Tenure-track faculty should have a clear

<p>Mentoring of Faculty Each department and college should establish procedures that enhance communication with probationary faculty members concerning factors that may impact their candidacy (e.g., bona fide weighting of criteria, appropriate standards, approved staffing plans, curricular changes, accreditation issues, enrollment patterns, etc.). These procedures may include pre-tenure reviews conducted by academic departments or other academic units during the third year of the probationary period. It is the explicit responsibility of chairs and deans to establish formal protocols or by other means to keep tenure-track faculty apprised of their progress toward tenure by thorough evaluations and appropriate mentoring.</p>	<p>that each tenure-track faculty member participate in a progress evaluation towards the end of his or her third year. This third-year review is similar to a formal tenure review in its focus on teaching, research, and service but is conducted within the faculty member's individual department.</p> <p>By April 1 of the third year, the tenure-track faculty member should provide the chair a dossier containing a recent <i>curriculum vita</i>, followed by concise sections that address teaching, research, and service. These sections should include supporting documents such as student evaluations and peer observations of teaching, evidence of scholarly and creative publications, presentations, and performances, and should conclude with a summary of service to the department, college, university, and community. The third-year evaluation will be based on how well the faculty member meets departmental requirements for tenure. Prior to May 1, the tenured faculty will meet to evaluate the dossier. The chair will then communicate in writing to the candidate an assessment of his or her strengths and weaknesses and will suggest areas for improvement. A copy of the evaluation will be sent to the Office of the Dean of Arts and Sciences.</p>	<p>understanding of the progress made toward a successful application for tenure. The process provides a broad overview of a faculty member's academic career and will form the basis of advice on strengthening the tenure dossier. The third-year review is additional to annual faculty evaluation.</p> <p>In addition to regular student evaluation of teaching, the College of Arts and Sciences requires peer evaluation of teaching. Each tenure-track faculty must be observed in the classroom by peers a <u>minimum</u> of once per academic year.</p> <p>With the assistance of the chair, the tenure-track faculty member is responsible for ensuring that this peer evaluation takes place. At least two peer observers should be involved each year, and they should be selected by the faculty member, in consultation with the chair. Dates and times for peer observers to attend class should be agreed upon in advance with the faculty member.</p> <p>Written evaluations should address areas such as course content, assignments, grading practices, classroom management, etc., and be submitted to the faculty member and to the chair. These peer observations will ultimately be included in the faculty member's tenure dossier.</p> <p>On-line courses should not be exempt from peer evaluation. To evaluate an on-line course, peer observers should meet with the tenure-track faculty member as he or she logs on to the course site and, with the instructor, review course content, assignments, grading practices, and discussion boards within the course framework. Written evaluations will follow the same format as those for live classes.</p>
<p>2.3.8.2 Teaching Effective teaching is an essential qualification for tenure, and tenure should not be granted in the absence of clear evidence of a candidate's teaching</p>	<p>Criteria to be considered in evaluating faculty include:</p> <ul style="list-style-type: none"> • Command of subject matter: classroom observation and review of teaching materials • Ability to organize and present subject matter in a logical and meaningful way: classroom observation and review of teaching 	<p>Given the diverse nature of the department, faculty teach traditional, didactic courses as well as performance courses, such as individual or group instruction in bluegrass, old time, and country music.</p> <p>Evidence of effectiveness in teaching might include, but is not limited to, such things as course syllabi, handouts, teaching evaluations, awards, and use of instructional</p>

<p>ability and potential for continued development. Excellence in teaching is a strong recommendation for both tenure and promotion, though it cannot be considered in isolation from scholarship and service. Each department must develop a procedure to ensure that factual information relative to a candidate's teaching is available at the time he/she is considered for tenure.</p> <p>2.3.8.3 Evidence of effectiveness in academic assignments other than classroom teaching shall include materials and information that are pertinent to the assignment in question.</p>	<p>materials</p> <ul style="list-style-type: none"> • Ability to motivate students: classroom observation and student evaluations • Development of instructional techniques or teaching materials, FAP/FAR/FAE goals and achievements • Peer evaluation. 	<p>support technology.</p> <p>In addition to regular student evaluation of teaching, the College of Arts and Sciences requires peer evaluation of teaching. Each tenure-track faculty must be observed in the classroom by peers a <u>minimum</u> of once per academic year.</p> <p>With the assistance of the chair, the tenure-track faculty member is responsible for ensuring that this peer evaluation takes place. At least two peer observers should be involved each year, and they should be selected by the faculty member, in consultation with the chair. Dates and times for peer observers to attend class should be agreed upon in advance with the faculty member.</p> <p>Written evaluations should address areas such as course content, assignments, grading practices, classroom management, etc., and be submitted to the faculty member and to the chair. These peer observations will ultimately be included in the faculty member's tenure dossier.</p> <p>On-line courses should not be exempt from peer evaluation. To evaluate an on-line course, peer observers should meet with the tenure-track faculty member as he or she logs on to the course site and, with the instructor, review course content, assignments, grading practices, and discussion boards within the course framework. Written evaluations will follow the same format as those for live classes.</p>
<p>2.3.8.4 Professional Service Evidence of the candidate's contributions in the area of professional service should be offered by the candidate. Documentation of all service activities is required.</p> <p>Professional service encompasses a</p>	<p>The faculty member must show evidence of professional service, along with teaching, research, scholarship, or creative activity.</p> <p>The faculty member must document service within three areas: university service (including the department), service to the discipline, and outreach or public service.</p> <p>Evidence of service activities could include:</p> <ul style="list-style-type: none"> • Service to the department: membership, participation, and leadership roles on committees; administrative service; student 	<p>Depending on the nature of the faculty member's discipline and expertise, service could be a deciding factor in whether the applicant is tenured.</p> <p>Documentation of service may include, but is not limited to, conference programs, published lists of association officers, letters from committee chairs, official minutes of meetings, citations of merit, letters of appointment, and evidence of effective student advisement.</p>

<p>faculty member's activities in one of three areas: outreach or public service, university service, and professional service.</p>	<p>advisement; service to student organizations; and other related activities, such as promotion of the department and any of its programs.</p> <ul style="list-style-type: none"> • Service to the university: membership, participation, and leadership roles on committees within Arts & Sciences and the university as a whole; participation in university governance; administrative service; student advisement; service to student organizations; and other related activities, such as promotion of the university in general. • Service to the discipline or professional community: membership, participation, and leadership roles in professional organizations at international, national, regional, and state levels; • Service to the community (exclusive of the professional and university communities): consulting activities; presentations and performances related to the candidate's discipline; and community service with Appalachian groups or non-professional groups related to the candidate's discipline. • Outreach or public service to the community by sharing expertise for the good of the greater community. This might include charitable work when it involves professional expertise in the candidate's discipline. It might also involve teaching or developing an aspect of our cultural heritage, such as music, folklore, or oral narrative. 	
<p>2.3.8.5 Research, Scholarship, and Creative Activities</p>	<p>All faculty should have a substantial record of achievement in research, scholarship, and/or creative activities.</p> <p>In the tenure process, evidence supplied by the applicant should indicate performance beyond routine expectations in the areas outlined below. The quality of the work should be evident and is more important than quantity. Deficiencies in some criteria should be counterbalanced by superiority in others.</p>	<p>Faculty must provide solid documentation of research, scholarship, and creative activity. Documentation may include, but is not limited to, the following: complete bibliographic listings, which clarify the faculty member's role in jointly authored products and presentations; complete descriptions of performances, sound recordings, and audio visual productions.</p> <p>Copies of all published items (including audio</p>

	<ul style="list-style-type: none"> • Publications: books, textbooks, chapters in books, articles in journals, monographs, articles in conference proceedings, abstracts, book reviews, creative works, and other related items. The reputation of the publisher and review process should be considered. • Sound recordings and audio visual productions: CD's, DVD's, films, etc. • Presentations: papers, panel presentations, and poster sessions delivered at local, state, regional, national, and international professional meetings. The significance of content and selection process should be considered in the review of such presentations. • Performances: performances that are invited or juried by nationally or regionally recognized members or groups within the discipline or with an interest in Appalachian Studies. • Research in progress: Verification of stages of development is mandatory. • Other: funded or unfunded grant proposals, computer software development, or audio-visual media may also be considered. 	<p>and video) must be available for examination by reviewers. Reprints of articles or reviews, tables of contents, conference proceedings and programs, exhibit catalogs, copies of audio-visual or interactive media products, or news coverage of performances are also desirable.</p>
<p>2.3.8.6 Other Factors for Consideration Candidates should present evidence of continuing professional development. Much of that evidence will be submitted in the sections on teaching, service, research, and scholarly and creative activity as indicated above. Additional evidence related to professional growth may include courses taken for credit,</p>	<p>Faculty are expected to keep abreast of new developments and technologies. Evaluation for tenure may include evidence of continued professional development.</p> <p>Consideration for tenure will include the individual's contribution to the goals and objectives of the department and the university.</p> <p>A collegial manner and willingness to work in a team environment are essential qualities of a successful tenure application. Because of the need for mutual support between the Department of Appalachian Studies and the Center for Appalachian Studies and Services, faculty are expected to establish and maintain strong, productive lines of communication with administrators and staff in the Center for Appalachian Studies and Services.</p>	<p>The tenure committee will also consider less tangible factors such as the applicant's willingness to stay abreast of changes in his or her area of expertise (e.g., new versions of software, migration to new software), contribution to the department as a unit (e.g., "pulling one's weight," participation in the department team), and collegiality (e.g., the ability to interact in a professional manner with all ETSU faculty, staff, students, and constituents). The relationships, positive interaction, and interaction among faculty in the Department of Appalachian Studies and administrators and staff in the Center for Appalachian Studies and Services are particularly important.</p> <p>While these factors are not easy to document, and do not have to be documented, the applicant may wish to strengthen the tenure</p>

<p>courses audited, seminars attended, and independent study activities.</p> <p>The candidate should present evidence, in the annual faculty review process, of contributions to institutional as well as to individually established goals in teaching, research, creative and scholarly activities, and service. The quality of the candidate's contributions, however, will be of greater importance than the adherence of those contributions to objectives.</p>		<p>dossier by addressing these factors. Evidence might include, but is not limited to, letters of support from colleagues who have worked closely with the applicant.</p> <p>Success in these factors will be judged by colleagues on the tenure committee but does not have to be addressed in the written evaluation. Failure in these factors, as judged by colleagues on the tenure committee, must be addressed in the written evaluation.</p>
<p>2.3.18.11 The departmental review will be completed by a committee of tenured faculty, excluding the department chair. The review should reflect serious consideration of general university criteria, the specific criteria and types of evidence specified, any weighted criteria reflecting appropriate standards for the discipline, and any currently documented analysis of long-term staffing needs.</p>	<p>Because of the small number of tenured faculty within the department, a tenure committee may include faculty from outside the department. Outside members of the committee will be chosen by agreement between the chair and the applicant for tenure. The tenure committee will pass its recommendations on to the chair. From that point, the process will follow the protocol and schedule of the College of Arts and Sciences and the university.</p>	<p>The tenure committee will include all faculty members tenured in the department. Because of the small number of faculty members in the department, additional tenured ETSU faculty members from appropriate academic departments, especially faculty who are familiar with Appalachian studies in general and the applicant's work in particular, may be invited to serve on the departmental tenure committee.</p>

Department of Appalachian Studies

Criteria for Promotion

Faculty Handbook No.	Departmental Policy	Explanation
2.4.1.7.4 Terminal Degree	The department expects every faculty member to be trained and qualified for his or her assignment. Where appropriate, faculty are expected to hold the terminal degree in their discipline. Examples include the Ph.D. degree in history, English, sociology and anthropology, or a related Appalachian studies field. Because of the diverse nature the department's mission, however, a terminal degree will not be an appropriate qualification for some faculty positions. These faculty will be professionally qualified based on their "record of extraordinary achievement in a given field," "equivalent work experience credit," or specialized training specific to the work assignment.	<p>The department expects to hire faculty whose credentials represent "a record of extraordinary achievement in a given field," regardless of their academic training and degrees. (<i>Faculty Handbook</i> 2.4.1.7.4). Faculty who do not possess the terminal degree should, at the time of hiring, procure a written statement from the Provost documenting that ETSU recognizes the equivalency.</p> <p>For professors in the Bluegrass, Old Time, and Country Music Program, there are no "terminal degrees" defined by the discipline. In these instances, the faculty member may be given an equivalent work experience credit if he or she possesses a record of extraordinary achievement in bluegrass, old time, Celtic, or country music.</p>
<p>2.4.1.7.1 Teaching Teaching applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, development of course materials and courseware, and development of innovative approaches to instruction.</p> <p>2.4.4 Teaching Evaluation of instruction shall be based on the criteria outlined herein, with each unit assigning varying degrees of weight to each criterion. Deficiencies in some criteria may</p>	<p>Criteria to be considered in evaluating faculty include:</p> <ul style="list-style-type: none"> • Command of subject matter: classroom observation and review of teaching materials • Ability to organize and present subject matter in a logical and meaningful way: classroom observation and review of teaching materials • Ability to motivate students: classroom observation and student evaluations • Development of instructional techniques or teaching materials, FAP/FAR/FAE goals and achievements • Peer evaluation. 	<p>Given the diverse nature of the department, faculty teach traditional, didactic academic courses as well as performance courses, such as individual or group instruction in bluegrass, old time, and country music.</p> <p>Evidence of effectiveness in teaching might include, but is not limited to, such things as course syllabi, handouts, teaching evaluations, awards, and use of instructional support technology.</p> <p>In addition to regular student evaluation of teaching, the College of Arts and Sciences requires peer evaluation of teaching. Each tenure-track faculty must be observed in the classroom by peers a <u>minimum</u> of once per academic year.</p> <p>With the assistance of the chair, the tenure-track faculty member is responsible for ensuring that this peer evaluation takes place. At least two peer observers should be involved each year, and they should be selected by the faculty member, in consultation with the chair. Dates and times for peer observers to attend class should be agreed upon in advance with the faculty member.</p>

<p>be counterbalanced by superiority in others.</p>		<p>Written evaluations should address areas such as course content, assignments, grading practices, classroom management, etc., and be submitted to the faculty member and to the chair. These peer observations will ultimately be included in the faculty member's tenure dossier.</p> <p>On-line courses should not be exempt from peer evaluation. To evaluate an on-line course, peer observers should meet with the tenure-track faculty member as he or she logs on to the course site and, with the instructor, review course content, assignments, grading practices, and discussion boards within the course framework. Written evaluations will follow the same format as those for live classes.</p>
<p>2.4.1.7.2 Research/Scholarship/Creative Activities</p> <p>Research applies to the studious inquiry, examination, or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship /creative activities may include, but are not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, creative activities (e.g., film-making, performances, or other artistic creations), and the development of</p>	<p>All faculty should have a substantial record of achievement in research, scholarship, and creative activities.</p> <p>In the promotion process, evidence supplied by the applicant should indicate performance beyond routine expectations in the areas outlined below. The quality of the work should be evident and is more important than quantity. Deficiencies in some criteria should be counterbalanced by superiority in others.</p> <ul style="list-style-type: none"> • Publications: books, textbooks, chapters in books, articles in journals, monographs, articles in conference proceedings, abstracts, book reviews, creative works, and other related items. The reputation of the publisher and review process should be considered. • Sound recordings and audio visual productions: CD's, DVD's, films, etc. • Presentations: papers, panel presentations, and poster sessions delivered at local, state, regional, national, and international professional meetings. The 	<p>Faculty must provide solid documentation of research, scholarship, and creative activity, which may include, but is not limited to, the following: complete bibliographic listings, which clarify the faculty member's role in jointly authored products and presentations; complete descriptions of performances, sound recordings, and audio visual productions.</p> <p>Copies of all published items (including audio and video) must be available for examination by reviewers. Reprints of articles or reviews, tables of contents, conference proceedings and programs, exhibit catalogs, copies of audio-visual or interactive media products, or news coverage of performances are also desirable.</p> <p>Application for promotion to increasingly higher ranks should be accompanied by evidence of increased scholarly productivity, both in quantity and quality, since the last promotion.</p>

<p>innovative teaching approaches.</p> <p>2.4.5 Research, Scholarly, and Creative Activities are vital areas of involvement for faculty in CASS. Clear evidence of the quality of work should accompany each promotion application. Evidence supplied by the candidate should reflect performance <i>above routine expectations</i>.</p>	<p>significance of content and selection process should be considered in the review of such presentations.</p> <ul style="list-style-type: none"> • Performances: performances or exhibitions that are invited or juried by nationally or regionally recognized members or groups within the discipline or with an interest in Appalachian Studies. • Research in progress: Verification of stages of development is mandatory. • Other: funded or unfunded grant proposals, computer software development, or audio-visual media may also be considered. 	
<p>2.4.6 Professional Service</p> <p>Evidence of the candidate's contributions in the area of professional service should be offered by the candidate. Documentation of all service activities is required. Professional service encompasses a faculty member's activities in one of three areas: university service, service to the discipline, and outreach or public service.</p>	<p>The faculty member must show evidence of professional service, along with teaching, research, scholarship, or creative activity.</p> <p>The faculty member must document service within three areas: university service (including the department), service to the discipline, and outreach or public service.</p> <p>Evidence of service activities could include:</p> <ul style="list-style-type: none"> • Service to the department: membership, participation, and leadership roles on committees; administrative service; student advisement; service to student organizations; and other related activities, such as promotion of the department and any of its programs. • Service to the university: membership, participation, and leadership roles on committees within Arts & Sciences and the university as a whole; participation in university governance; administrative service; student advisement; service to student organizations; and other related activities, such as promotion of the university in general. • Service to the discipline or professional community: membership, participation, and leadership roles in professional organizations at international, national, regional, and state levels; • Service to the community (exclusive 	<p>The faculty member must demonstrate quality service commensurate with his or her academic assignment.</p> <p>Documentation of service may include, but is not limited to, conference programs, published lists of association officers, letters from committee chairs, photographs of exhibits, official minutes of meetings, citations of merit, letters of appointment, and evidence of effective student advisement.</p> <p>Application for promotion to increasingly higher ranks should be accompanied by a record of increasing professional service, both in quality and quantity, since the last promotion.</p>

	<p>of the professional and university communities): consulting activities; presentations and performances related to the candidate's discipline; and community service with Appalachian groups or non-professional groups related to the candidate's discipline.</p> <ul style="list-style-type: none"> • Outreach or public service to the community by sharing expertise for the good of the greater community. This might include charitable work when it involves professional expertise in the candidate's discipline. It might also involve teaching or documenting an aspect of our cultural heritage, such as music, folklore, or oral narrative. 	
2.4.7.1 [Assistant Professor]	<p>The faculty member is expected to possess a terminal degree as defined by the discipline (see Terminal Degree 2.4.1.7.4 above). In some instances when a terminal degree is not defined by the discipline (as in the case of bluegrass music), the faculty member may be given equivalent-work-experience credit if he/she possesses a record of extraordinary achievement in bluegrass and country music. In some instances, when specialized expertise is needed (as in the recording studio), exceptions may be made, and other specialized training appropriate to the specific discipline may be accepted.</p> <p>In addition to the degree requirements, those faculty members promoted or hired at the rank of Assistant Professor must</p> <ul style="list-style-type: none"> • Begin and sustain a distinctive record; • Be adequately trained in the discipline and competent to carry out the responsibilities assigned to them; • Demonstrate effectiveness in teaching; • Show promise of a productive career in creative or scholarly research and professional service. 	<p>The exception of equivalent work experience credit is defined in section 2.4.1.7.4 consistent with university policy.</p> <p>Application for promotion to Assistant Professor should be accompanied by a record of teaching, research, and service that exceeds (both in quality and quantity) the level demonstrated at the Instructor rank.</p> <p>The faculty must demonstrate productivity, competence, and achievement in all three categories of teaching, research, and service, with greater emphasis on teaching.</p>
2.4.8.1 [Associate Professor]	<p>The faculty member is expected to possess a terminal degree as defined by the discipline (see Terminal Degree 2.4.1.7.4 above). In some instances when a terminal degree is not defined by the discipline (as in the case of bluegrass music), the faculty member may be given equivalent-work-experience credit if</p>	<p>The exception of equivalent work experience credit is defined in section 2.4.1.7.4 consistent with university policy.</p> <p>Application for promotion to Associate Professor should be accompanied by an outstanding record in teaching, research, and</p>

	<p>he/she possesses a record of extraordinary achievement in bluegrass and country music. In some instances, when specialized expertise is needed (as in the recording studio), exceptions may be made, and other specialized training appropriate to the specific discipline may be accepted.</p> <p>In addition to degree requirements, faculty promoted or hired at the rank of Associate Professor should demonstrate a high level of productivity and quality of work that may lead to national recognition in the discipline or that is consonant with the goals of the department and the university.</p> <p>The faculty member must provide documented evidence of:</p> <ul style="list-style-type: none"> • Excellence in teaching; • Significant and diverse professional service activities; • Productive record of research or creative endeavors. 	<p>service that exceeds (both in quantity and quality) the level demonstrated by the candidate when promoted to the rank of Assistant Professor.</p> <p>The faculty member must demonstrate productivity, competence, and achievement in all three categories of teaching, research, and service, with greater emphasis on teaching and research. The teaching record must be excellent.</p>
2.4.9.1 [Professor]	<p>The faculty member is expected to possess a terminal degree as defined by the discipline (see Terminal Degree 2.4.1.7.4 above). In some instances when a terminal degree is not defined by the discipline (as in the case of bluegrass music), the faculty member may be given equivalent work experience credit if he/she possesses a record of extraordinary achievement in bluegrass and country music. In some instances, when specialized expertise is needed (as in preservation efforts, media laboratory, or recording studio), exceptions may be made, and other specialized training appropriate to the specific discipline may be accepted.</p> <p>In addition to the terminal degree, faculty members promoted or hired at the rank of Professor should demonstrate a sustained high quality of productivity that is consonant with the goals of the department, the university, and national recognition in the discipline.</p> <p>The applicant must provide documented evidence of sustained:</p> <ul style="list-style-type: none"> • Excellence in teaching; • Superior productivity and a sustained body of work in scholarly research or creative endeavors. The attainment of national recognition in some area of expertise is desirable; • Outstanding professional service to 	<p>The exception of equivalent work experience credit is defined in section 2.4.1.7.4 consistent with university policy.</p> <p>Application for promotion to Professor should be accompanied by an outstanding record in teaching, research, and service that exceeds (both in quantity and quality) the level demonstrated by the candidate when promoted to the rank of Associate Professor.</p> <p>The teaching record must be excellent. The record of research and service must reflect greater breadth, depth, and leadership than was demonstrated at the level of Associate Professor.</p>

	<p>make the person regionally or nationally known in the discipline or as a leading figure in service to the institution.</p>	
<p>2.4.11.18</p>	<p>Because of the small number of tenured or tenure-track faculty within the department, a promotion committee may include faculty from outside the department who are familiar with Appalachian studies and the applicant's work. Outside members of the committee will be chosen by agreement between the chair and the applicant for promotion. The promotion committee will pass its recommendations on to the chair. From that point, the process will follow the protocol and schedule of the College of Arts and Sciences.</p>	<p>The promotion committee for applicants seeking promotion to Assistant Professor will include all tenured and tenure-track faculty members at rank and above.</p> <p>Likewise, the promotion committee for applicants seeking promotion to Associate Professor will include all tenured and tenure-track faculty members at rank and above. The promotion committee for applicants seeking promotion to Professor will include all tenured and tenure-track faculty members holding the rank of Professor.</p> <p>Because of the small number of faculty members in the department, additional tenured, at- or above-rank ETSU faculty members familiar with Appalachian studies in general and the applicant's work in particular may be invited to serve on the promotion committee.</p>

ETSU DEPARTMENT OF ART AND DESIGN

THIRD YEAR REVIEW, TENURE, AND PROMOTION CRITERIA

and

ANNUAL FACULTY PEER EVALUATION GUIDELINES AND FORMS

Submitted 2006/07 Revised 2014/15

SECTION I. Third Year Review, Tenure, and Promotion Criteria

A. Introduction

Their relevant sections of the ETSU Faculty Handbook supersede these guidelines. Each section is indexed (in parenthesis) to the pertaining portion of the current, on-line, Handbook. Candidates for retention, tenure and promotion should refer to the Faculty Handbook for further information.

1. Third Year Review and Criteria for Reappointment (2.3.5)
2. Criteria for Tenure (2.3.)
3. Criteria for Promotion to Associate Professor (2.4.8 through 2.4.8.6)
4. Criteria for Promotion to Full Professor (2.4.9 through 2.9.6)

SECTION II. Peer Evaluations Guidelines and Forms.

A. Introduction

The goal of this process is to ensure excellence in teaching and quality regarding both research and service. The process should also enhance communication between faculty members and the chair pertaining to the department's expectations and the candidate's performance. The faculty being reviewed shall be given a written assessment from an evaluation team to help serve the individual faculty in the areas of retention, promotion, tenure, and salary decisions.

1. Annual Faculty Peer Review (2.3.18.8.)
2. Peer Evaluation Forms (2.3.18.8.)

SECTION I.

1. Third Year Review and Criteria for Reappointment (2.3.5)

1. In early January, faculty member will schedule a meeting for the spring semester. All tenured faculty members will vote on the recommendation for retention of the candidate. The department chair will attend and participate in the discussion. S/he will not vote but will provide a written report to the candidate.

The faculty member will provide the committee with the following items at least one week before the scheduled meeting.

- a. Current resume.
- b. Evidence of creative / scholarly activities.
- c. Evidence of service: including advisement, departmental committees, institutional, professional, and community service.
- d. Annual peer review evaluations and student evaluations (all evaluated courses from each of the five previous semesters). Syllabi from spring semester and all courses taught the previous five semesters and other evidence of teaching activity from spring semester and courses all courses taught the previous five semesters. Studio faculty may choose to include a visual presentation.
- e. Written objectives (FAP) from the past two years and for the next academic year.

2. If the vote to recommend the candidate is favorable, the department chair and the tenured faculty will document the strength and weakness of the candidate's progress toward tenure and promotion. The assessment of progress toward tenure will be reviewed and signed by the chair and the committee, and then by the faculty member.

Should the recommendation be against retention of the candidate, the chair will inform the candidate and initiate either a course of specific actions to address the issues raised by the faculty or initiate the dismissal procedure.

3. The third year review document, and vote, will form part of the candidate's tenure application.

4. If department criteria change, faculty must be notified promptly. Faculty may continue with the department standards under which they were hired, or they may have a minimum of three years to comply with new department standards. Faculty will consult with the chair as to implementing the transition. NOTE: This provision does not apply to university or TBR policy changes.

SECTION I

2. Criteria for Tenure (2.3)

Tenure is regarded by the Department of Art and Design as a major step in a faculty member's professional career. The following sets standards for tenure and provides guidelines for determining typical professional activities and their documentation. It is designed to conform to the standards set forth by the University in the Faculty Handbook (section 2.3) and to define them as they apply to Department of Art and Design faculty in particular.

Tenure deliberations normally occur during the sixth year of service unless an earlier date has been specified at the time of initial appointment. Tenure is awarded to faculty members who have demonstrated the capacity for excellence during their probationary period, and who show the potential of sustaining it throughout their career. Competence alone is not an adequate basis for tenure.

In the Department of Art and Design, the Tenure Review Committee is composed of all tenured faculty members. A representative of the Tenure Review Committee is selected by the Chair to summarize the faculty discussion and present the summary and vote to the Chair. The Chair will make his/her recommendation separate from the Tenure Review Committee. Review materials documenting a faculty member's activities in teaching, research/creative achievement, and service will vary with the academic discipline, whether it is in studio art, design, or art history. However, these materials should consist of a dossier, a current resumé, and any supporting materials such as sample publications, videos, slides, or other appropriate forms of documentation. The candidate's third year review document should also be made available. It is the responsibility of the non-tenured faculty member to create, and with the exception of copier use, pay, for the production of her/his dossier materials. Each faculty member is responsible for the accuracy and completeness of the factual records and informational material contained in the dossier prior to the beginning of the review process. Faculty members may suggest names of external evaluators, but in no case should the candidate directly solicit the external assessment letters. A complete set of review materials must be available for review in the Department of Art and Design at least one week prior to a Review Committee's meeting with the faculty member. The faculty member will have an opportunity to meet with the Tenure Review Committee to present his/her tenure application materials and discuss their application.

All candidates for tenure shall be evaluated according to three general criteria ranked in importance in this order: (1) Teaching ability and effectiveness; (2) Research, scholarship, creative achievement; and (3) Service to the University, the public, and the profession. Standards for research, scholarship and creative activity are rigorous, but are intended to be flexible so long as the activities have been peer reviewed. Each candidate is expected to have made progress and to show future promise of making significant contributions to each of these areas. In tenure, as with promotion considerations, it is recognized that strengths in some areas may balance lesser but adequate accomplishment in others. The job description of a particular faculty member (administrative duties, etc.) may influence the priorities in this balance. It is the responsibility of the faculty member to keep careful records to document achievements in the above areas.

Criteria for Tenure (2.3.7)

a. Teaching

- i. Candidates should have established a reputation as effective teachers as judged by their peers in the department (as demonstrated in peer reviews), and by students as documented in their Student Assessment of Instruction reviews.
- ii. Candidates should demonstrate effective teaching, and capacity to learn new ideas and skills in order to modify present courses and develop new ones, such as special topics courses. Using the Internet in classroom related activity, Blackboard, PowerPoint, and enrolling in training workshops (on and off campus through funded programs such as presidential grants-in-aid, instructional grants, etc. are examples of such activities and skills.
- iii. Candidates should demonstrate the capacity to extend their influence beyond their assigned undergraduate classes in activities such as teaching on the graduate level, serving on graduate student committees outside their area, supervising G.T.A.'s, working with independent study students or interdisciplinary programs such as Honors Students, etc.

b. Research/Scholarship/Creative Activity

Studio/Design Faculty

- i. Candidates should be professionally active. Their activities should result in some of the following: peer-reviewed exhibitions, commissions, awards, consulting, adjudication, presentations and publications (print and electronic) and/or other forms of professional recognition that demonstrate a minimum of strong regional success with some national recognition. It would enhance the candidate's chance for tenure to have more national than local or regional activities. Local activities alone will not be sufficient for granting tenure.

Art History Faculty

- i. Candidates should be professionally active resulting in peer-reviewed publications and presentations that demonstrate regional activities (conference presentations, etc.) plus activities targeted at national or international recognition.

c. Service

- i. Candidates are expected to contribute to the committee and other work of the Department and/or College. They should have some service involvement with their profession (active membership or leadership in related organizations and/or activities that promote and support the discipline) as well as arts activities in the local/regional community.

- ii. Candidates are expected to assist in the management of their respective concentration area.
- iii. Studio faculty who oversee area facilities, labs, and studios are expected to provide documentation regarding the nature of that important service.
- iv. Candidates should be competent advisors serving their specific area's students or being involved in advising undeclared undergraduate students.

SECTION I.

3. Criteria for Promotion to Associate Professor (2.4.8 through 2.4.8.6)

a. Teaching

- i. Candidates should have established a reputation as an excellent teacher as judged by their peers in the department (as demonstrated in peer reviews), and by students as documented in their Student Assessment of Instruction reviews.
- ii. Candidates should demonstrate outstanding teaching and capacity to learn new ideas and skills in order to modify present courses or develop new ones, such as special topics courses.
- iii. Candidates should demonstrate the capacity to extend their influence beyond their assigned undergraduate classes in activities such as teaching on the graduate level, serving on undergraduate and graduate student committees outside their area, supervising G.T.A.'s, working with independent study students or interdisciplinary programs such as Honors Students, etc.

b. Research/Scholarship/Creative Activity

Studio/Design Faculty.

- i. Candidates should be professionally active. Their activities should result in most of the following: peer-reviewed exhibitions, commissions, awards, consulting, adjudication, presentations and publications (print and electronic) and/or other forms of professional recognition that demonstrate a minimum of strong regional success with some national recognition. It would enhance the candidate's chance for promotion to have more national than local or regional activities. Local and regional activities alone will not be sufficient for granting promotion.

Art History Faculty

- i. Candidates should be professionally active resulting in peer-reviewed publications and presentations that demonstrate some regional activities (Conference presentations, etc). Primarily, their activities should be targeted at national recognition.

c. Service

- i. Candidates are expected to contribute to the committee work of the Department and/or College. They should have some service involvement with their profession (active membership or leadership in related organizations) and in the local/regional community.
- ii. Candidates are expected to prove effective in the management of their respective concentration area facilities (i.e. labs, media centers, and studios). Those individuals

are expected to provide documentation regarding the nature and frequency of that important service.

- iii. Candidates should demonstrate a commitment to serving their specific area's students as their major advisor, or being involved in advising undeclared undergraduate students.

SECTION I.

4. Criteria for Promotion to Full Professor (2.4.9 through 2.9.6)

a. Teaching

- i. Candidates should have established a reputation as an excellent teacher as judged by their peers in the department (as demonstrated in peer reviews), and by students as documented in their Student Assessment of Instruction reviews.
- ii. Candidates should demonstrate outstanding teaching and capacity to learn new ideas and skills in order to modify present courses or develop new ones, such as special topics courses.
- iii. Candidates should demonstrate the capacity to extend their influence beyond their assigned undergraduate classes in activities such as teaching on the graduate level, serving on undergraduate and graduate student committees outside their area, supervising G.T.A.'s, working with independent study students or interdisciplinary programs such as Honors Students, etc.

b. Research/Scholarship/Creative Activity

Studio/Design Faculty.

- i. Candidates should demonstrate excellence in research/creative activities. Their efforts should result in most of the following: peer-reviewed exhibitions, museum exhibitions, museum acquisitions, commissions, awards, consulting, adjudication, presentations and publications (print and electronic) and/or other forms of professional recognition that demonstrate both strong regional and national recognition. Regional and local activities alone will be insufficient for promotion to full professor.

Art History Faculty

- i. Candidates should be professionally active resulting in peer-reviewed publications and presentations that demonstrate national recognition. That recognition needs to be manifest in multiple ways.

c. Service

- i. Candidates are expected to demonstrate leadership in the committee work of the Department, and participation in College, and University related committee work.

They should have considerable service involvement with their profession (active membership or leadership in related organizations) and play prominent roles in the local/regional community.

- ii. Candidates are expected to prove effective in the management of their respective concentration area facilities (i.e. labs, media centers, and studios). Those individuals are expected to provide documentation regarding the nature and frequency of that important service.
- iii. Candidates should demonstrate a commitment to serving their specific area's students as their major advisor, or being involved in advising undeclared undergraduate students.

SECTION II

1. Annual Faculty Peer Review

Assistant Professor:

All Assistant Professors shall be assigned a team of two faculty members of higher rank, selected by the chair, early in the fall semester of each year. By October 1st the individual being evaluated will provide the evaluation team with the following:

- Current resume
- Student evaluations (2 courses from each of the two previous semesters), syllabi from each course taught that academic year, other evidence of teaching activity
- Evidence of research/creative/scholarly activities
- Evidence of service: this includes advisement, departmental committees, institutional, community, and professional service
- Proposed objectives for the next academic year (written)
- At least one of the evaluation team members will be invited to observe a class, chosen by the faculty member being observed, during the month of October.

The evaluating team will write a report, submitted on a standardized form, of the professor's performance regarding the areas listed above and will each sign off on the form. The team will submit its report to both the faculty member and the Chair for their review and signature by October 31st. The Chair will include a discussion of the team's report at an annual meeting with the chair, coinciding with the review of the FAE.

Associate Professor:

All Associate Professors shall be assigned a team of two faculty members of higher rank, randomly selected, by the chair, early in the fall semester of each year. By October 1st the individual being evaluated will provide the evaluation team with the following:

- Current resume
- Student evaluations (2 courses from each of the two previous semesters), syllabi from each course taught that academic year, other evidence of teaching activity
- Evidence of research/creative/scholarly activities
- Evidence of service: this includes advisement, departmental committees, institutional, community, and professional service
- Proposed objectives for the next academic year (written)
- At least one of the evaluation team members will be invited to observe a class, chosen by the faculty member being observed, during the month of October.

The evaluating team will write a report, submitted on a standardized form, of the professor's performance regarding the areas listed above and will each sign off on the form. The team will submit its report to both the faculty member and the Chair for their review and signature by October 31st. The Chair will include a discussion of the team's report at an annual meeting with the chair, coinciding with the review of the FAE.

Full Professors:

Due to their comprehensive record of teaching, research, and service, Full professors will not be required to undergo an annual peer evaluation. They will be called upon to serve as evaluators for both Assistant and Associate Professors, contributing further service to the department, college, and the university. They will participate in the annual faculty review by the Chair and Dean.

SECTION II

2. Peer Evaluation Forms

Semester/Year of evaluation: _____

Name and rank of the faculty member being evaluated: _____

Names of the faculty conducting the evaluation:

This form is provided to aid in the process of evaluating faculty teaching, research/creative activities, service activities, and future objectives in all three areas of evaluation. The evaluator may choose to attach an evaluation in narrative form in lieu of using this form.

TEACHING

Class Evaluation

Course number and name of the class visited: _____

Date of classroom visit: _____

Based upon the evaluator's **classroom observation**, does the teacher meet or exceed acceptable departmental standards and practices of teaching?

Yes No

Comments regarding observed teaching

Consider the class objectives for this day, public speaking skills, methods of presentation, use of visual aids, ability to conduct discussions and critiques, interaction with students, and demonstrated command of the subject presented.

Identify specific examples of classroom effectiveness:

Identify specific examples of needed improvement:

Provide suggestions for improvement:

Comments regarding other evidence of effective teaching

The faculty may provide additional evidence of teaching effectiveness. Such evidence may include the same information that is included on the Faculty Action Report (FAP) such as student accomplishments, awards for teaching, or evidence of teaching leadership. The faculty must provide Student Assessments of Instruction (SAI) from previous semesters.

Consider the evidence presented and comment on the significance of that information.

RESEARCH/CREATIVE ACTIVITY

Based upon the list of activities provided, does this faculty member meet or exceed acceptable departmental standards of research and/or creative activity?

Yes

No

Comments regarding research/creative activity

Evaluator may choose to comment on the quantity and quality of the activities sited.

Identify specific examples of exceptional achievement:

Identify specific areas of needed improvement:

Provide suggestions for improvement:

SERVICE

Faculty will provide evidence of service activities to include advisement, departmental committees, institutional, professional, and community service, etc. This may be the same list used for the annual faculty activities report.

Based upon the list of activities provided, does this faculty member meet or exceed acceptable departmental standards of service?

Yes No

Comments regarding service activity

Comment on the quantity and quality of the activities sited.

Identify specific examples of exceptional service:

Identify specific areas of needed improvement:

Provide suggestions for improvement:

Proposed Objectives for Next Academic Year

Evaluate the stated goals and objectives provided including areas of professional development.

Comment on the appropriateness of such goals and offer suggestions to enhance performance.

Promotion & Tenure Guidelines Department of Biological Sciences

Submitted 14 November 2007 Revised 6 May 2011

Preface

The following guidelines clarify the application of ETSU and Tennessee Board of Regents tenure and promotion policies in the Department of Biological Sciences. The promotion and tenure guidelines that follow reflect that East Tennessee State University has transitioned from a Masters/L to a Doctoral / Research institution, and that the contributions that faculty make under this classification with regard to teaching, research and service may vary widely, but are all valuable. A tenure-track or tenured faculty member in the department may choose, with the chairperson's permission, to adopt these new guidelines as his/her own career track. The numbers of expected publications are intended to serve as guidelines for the decision process. Only publications bearing ETSU Department of Biological Sciences as the faculty's professional address will be accepted. Above all, faculty should demonstrate that they can, and will, continue to be productive at the rates outlined by their chosen track.

Track 1 = Research/Teaching:

- a. 1/1, 1/1.5 or 1/2 class load per academic year.
- b. Teaching load is primarily in majors and graduate level courses. Faculty in this track are expected to hold graduate faculty status and be actively involved in teaching and directing M.S. or doctoral students.
- c. Evidence of continuous and sustainable research and grant productivity with engagement in undergraduate research. Minimal requirements are averages of one publication per year in refereed, indexed journals and one external grant proposal submitted per year during the period of review or until successfully funded.
- d. Teaching constitutes, but does not exceed, 20-40% of total workload.
- e. Advising and/or other departmental/university or professional service.

Track 2 = Teaching/Research:

- a. 2/2, 2/3, or 3/3 (3/3 if primarily lecture courses) class load per academic year.
- b. Teaching load includes majors, non-majors, and consistently includes some graduate level classes.
- c. Significant visible research/creative/grant/contract productivity with regular engagement in undergraduate research, thesis and/or dissertation direction. Average of one publication per 3-year period in refereed, indexed journals and one external grant proposal submitted during a 3-year period.
- d. Teaching constitutes, but does not exceed, 40-80% of total workload.
- e. Advising and/or other departmental/university or professional service.

Assigned course loads, expressed above in terms of traditional format lecture and/or laboratory courses, may be expressed in other terms in the case of a

faculty member engaged in teaching non-traditional courses, e.g., web-based and other distance learning courses, laboratories, field courses, directed field work, etc. Generally speaking, an independent study or special projects course is not considered equivalent to a traditional three-credit lecture course. Cross-listed courses that meet at the same hour count as a single course. Equivalencies will ultimately be determined in consultation with the faculty member's department chairperson and dean.

Meeting these criteria is dependent on the department providing a workload and resources that will support faculty in whichever track, Track 1 or Track 2, they have chosen, and they will negotiate these workloads and resources in consultation with the department chair.

Associate Professor: The department will recommend for tenure only applicants who hold the rank of Associate Professor or above or for whom the department recommends promotion to the rank of Associate Professor. Promotion to Associate Professor is based on actual performance as well as future potential. Above all, the individual should continue to grow professionally and meet the expectations as outlined in their chosen track as outlined above. Advancement to the rank of Associate Professor carries no presumption of further promotion.

Professor: Promotion to Full Professor implies that the individual is recognized by peers in the department and the profession as having contributed significantly to their field of specialization in teaching and/or research, and service depending on their chosen Track. The candidate must also demonstrate the qualities of a leader consistent with the rank.

Teaching: Candidate must have a sustained record of distinguished and effective teaching at the undergraduate and graduate levels. All candidates are required to submit an analysis of their student evaluations, peer evaluations, and evidence of their participation in extracurricular student services, e.g., advising, informal instruction. Supporting documents can be letters from former students, receipt of awards or recognition for teaching excellence, receipt of extramural funding for improving curriculum, teaching or addressing the educational deficiencies of primary and secondary school students in the region and any other means that will attest to the candidate's teaching effectiveness.

Research/Scholarship: Candidate must have a post-tenure record of high-quality professional productivity and national and/or international recognition in the academic discipline. National and/or international recognition will be measured by performance in the following areas: publication of research results in the peer-reviewed journals; significant record of invited presentations at important meetings and conferences and at major research universities; authorship and/or editorship of review articles, books, or monographs; a consistent record of peer-reviewed external research funding indicating that the candidate will be able to provide a sufficient level of support for his or her future research efforts receipt of

professional honors and awards or any other accomplishments demonstrating that the candidate is a leader in his or her scientific discipline.

Service: Candidate must have a record of institutional, professional, and community service that includes evidence of significant contribution to curriculum, institutional and educational goals, or intellectual life of the University as a whole, especially as these activities demonstrate professional leadership. Additionally, service on important scientific review boards or panels, editorial and advisory boards and committees, and in professional organizations, or the organization of professional conferences/meetings is deemed appropriate for candidates seeking promotion to full professor.

East Tennessee State University Department of Chemistry Criteria for Tenure and Promotion

1.0 Preamble

The following provides the criteria and methods of evaluation for tenure and promotion within the Department of Chemistry, East Tennessee State University (ETSU). These guidelines supplement the policies and procedures found within the ETSU Faculty Handbook (<http://www.etsu.edu/senate/facultyhandbook/default.aspx>).

1.1 Introduction

The Department promotes the goals of ETSU by providing high quality programs to our students, and by conducting research, scholarly activity, and service. Our goals are:

1. To assist our students in acquiring and applying chemical knowledge; to train them to understand the discipline and process of learning; and to provide them with an acute awareness of the responsibility of a professional chemist.
2. To expand the frontiers of chemistry by maintaining an active chemical research program.
3. To support our profession and community in chemistry related activities with a commitment to active and ethical service.

1.2 Pre-Tenure Evaluation of Faculty

The department uses two formal methods for evaluating tenure-track faculty during the probationary period:

1. The tenure track faculty member is required to submit annual Faculty Activity Reports (FAR's) to the department chair by September 30 each year. The chair and the Dean of the College of Arts and Sciences provide feedback as part of the annual FAR process.
2. The department will conduct an internal departmental review of progress towards tenure and promotion during the third year of the faculty member's probationary period. Documentation must be submitted to the Department Chair by the tenure-track faculty member on or before April 1 of that year. The review committee will provide feedback to the faculty member, and submit a recommendation to the chair as to whether the faculty member should be allowed to continue with the probationary period.

2.0 Tenure

2.1 Overview

The granting of tenure implies the determination that the faculty member will make a continuing and significant positive contribution to the department's programs. Evaluation will be on the basis of teaching, research and scholarly activity, and service. The department recognizes that these are not entirely separable. For example, research involving students contains a significant

teaching component (research is one of the best forms of instruction) and new research should influence the teaching content. Service is necessary to the successful continuation of the department's and university's programs, and can enhance the image of chemistry beyond the profession and provide benefits to the community. In the department, the relative importance of these three activities is teaching > research and scholarly activity > service.

2.2 Teaching

Typically, the faculty member seeking tenure is beginning a professional career. At this level, the candidate should be an effective teacher, and be willing to show improvement. Teaching effectiveness will be demonstrated at a minimum through peer evaluations and student assessments of instruction (SAI's). Development of new teaching materials and attendance at workshops may be used as additional evidence to demonstrate teaching effectiveness. Professional development in teaching skills should be regarded as an ongoing process and must be documented.

The department will maintain a file of the statistical portions of student evaluations in addition to providing the complete evaluations to the faculty member.

Regardless of the teaching assignment, all faculty are expected to:

1. Maintain a positive and constructive learning environment in the assigned courses.
2. Provide the necessary instruction so that the students may master the course material at the appropriate level.
3. Provide a timely and sufficient level of feedback.
4. Provide a rigorous and appropriate level of assessment for the course.
5. Demonstrate positive and respectful interaction with the students in the course.
6. Maintain the course content and instructional methodology to meet the expectations of the appropriate accrediting agencies and/or program review.

2.2.1 Evaluation of Teaching

The evaluation of teaching will occur through:

1. Peer review: Peer reviews should usually be conducted by faculty members within the department, but in certain cases it may be appropriate to involve a faculty member from outside the department. At least one peer review must be obtained each academic year. It is the faculty member's responsibility, in consultation with the chair, to arrange for the review; this should be arranged early in the semester. At least one review should be of a large enrollment course. The requirements for the peer reviewer are:
 - a. They should be at a more senior academic rank whenever possible although reviews from colleagues at a comparable rank may be used if necessary.
 - b. In addition to one class meeting, they should also review and comment on course materials (including the syllabus, lecture notes or handouts if provided to the students for the class observed, an exam, and the grading rubric (or key)).

Criteria for peer-reviews of teaching:

1. Clear evidence of advanced preparation for the class
2. Coverage of material is suited to the level of the class being taught
3. Presentation material is effectively developed and used
4. Clear awareness of student comprehension of the lecture material or failure to follow
5. Good flow of information and topic transition
6. Effective student interaction (encouraging, ask questions and promotes discussion as appropriate)
7. Syllabus provides clearly articulated learning objectives, description of course assessment items, and grading scale.
8. Exam questions and format are appropriate for the course level and adequately assess material in support of course learning objectives.

The reviewer's evaluation will assign one of three classifications:

- i. **Exceeds the criteria:** Peer evaluation has determined that the individual exceeds the requirements.
 - ii. **Meets the criteria:** Peer evaluation has determined that the faculty member meets the requirements for teaching.
 - iii. **Does not meet the criteria:** Peer evaluation has determined that the candidate does not meet the requirements for teaching.
2. SAIs: SAIs can also be used for evaluation of teaching effectiveness provided response rates are considered during interpretation. SAIs should be deemed satisfactory if there are no consistent negative comments and scores do not reflect systematic issues with student satisfaction and teaching. They should be considered less than satisfactory if there are consistent negative comments and scores reflect systematic issues with student satisfaction and teaching.
 3. Development of new courses, new course materials, or new teaching pedagogies will also be considered.

A determination of whether the faculty member meets or does not meet the criteria for teaching will be assigned on the following basis:

Meets: The faculty member meets or exceeds the criteria in each of the above areas.

Does not meet: The faculty member does not meet the criteria in the above areas.

2.3 Research and Scholarly Activity

2.3.1 Criteria for Research and Scholarly Activity

Research and scholarly activity will be evaluated on the basis of:

1. Publications
2. Funding
3. Inclusion of students in research

For the purposes of tenure, scholarly activity shall be defined as original contributions to the fields of chemistry, and/or education, not included within the bounds of research. Research in Chemical Education will be included as research.

2.3.2 Evaluation of Research and Scholarly Activity

2.3.2.1 Publications

A minimum of four (4) peer-review papers, or the equivalent (see below), must be published during the tenure-track period. Original research papers in chemical education journals will count towards this criterion. Scholarly activity including books, chapters and peer-reviewed proceedings may be considered in lieu of peer reviewed journal articles.

For publications involving other senior authors, the faculty member must provide documentation indicating the contribution to the content of the publication.

2.3.2.2 Funding

The faculty member must seek external funding in order to establish a viable ongoing research program. This should consist of a minimum of one competitive external submission per year until a major grant is received. External funding for scholarly activity shall be included. External funding for purposes other than research and scholarly activity (*e.g.* funding for conferences or workshops) shall not be counted in this category. In cases of repeat submissions of the same or similar proposal, there should be clear evidence of how the proposal was modified to improve the chance of funding with each successive submission.

For grants involving other PI's or co-PI's, the faculty member must provide documentation indicating the fractional contribution to the grant effort.

Internal funding should be sought to maintain a research program while seeking external funding and to provide feedback on proposal writing.

While the above statements focus on proposal submissions, a tenure-track faculty member should consider the award of external funding equivalent to the startup funding provided to them as a reasonable target by the time of application for tenure.

2.3.2.3 Inclusion of Students in Research

Students (both undergraduate and graduate) must be included in the faculty member's research program. There must be documented evidence of the students' successful participation and development as chemists. Such documentation shall include:

1. Student coauthors on peer-reviewed publications
2. Student theses
3. Student coauthors on conference oral presentations and/or posters

A determination of meets or does not meet the criteria will be assigned for research and scholarly activity on the following basis:

Meets: The faculty member meets or exceeds the criteria in all three areas.

Does not meet: The faculty member does not meet the criteria in all three areas.

2.4 Service

2.4.1 Criteria for Service

Service will be categorized as to the:

1. Department
2. College
3. University
4. Profession
5. Community

Service to the Department of Chemistry is essential and required. This is especially so given the size of the department. Examples of departmental service include, but are not limited to:

1. Formal undergraduate student advising
2. Faculty mentor to the Student Affiliate of the American Chemical Society (the Chemistry Club)
3. Membership (or leadership) on departmental committees
4. Laboratory coordinator
5. Seminar coordinator
6. Seminar host
7. Open house representative
8. Orientation representative

A labor-intensive service commitment, such as graduate coordinator, is the type of service commitment for senior faculty.

Service to the college will include service to the College of Arts and Sciences, and/or the School of Graduate Studies. Examples of service to the college include:

1. Membership (or leadership) on college committees
2. Faculty mentor to a college-based student organization
3. Coordination of multi-departmental programs within the college

Examples of service to the university include:

1. Membership (or leadership) on university committees
2. Faculty mentor to a university-based student organization
3. Coordination of multi-departmental programs that involve more than one college
4. Open house representative
5. Orientation representative

Examples of service to the profession include:

1. Leadership within the local (Northeast Tennessee Section (NETS)) and national American Chemical Society (ACS) programs
2. Leadership within other related professional societies (*e.g.* Materials Research Society, the Electrochemical Society, *etc.*)
3. Peer review of manuscripts or grant proposals
4. Peer review of textbooks and other educational materials

Examples of service to the community include:

1. Volunteering with the Hands On Museum
2. Involvement in National Chemistry Week.

2.4.2 Evaluation of Service

To be considered, all service must be documented. If applicable, it must include a letter from the committee or activity chair stating that a positive and valuable contribution was made. If the service was in a leadership role, a letter from the committee's reporting authority (*e.g.* Dean, Vice-Provost for Research, *etc.*) indicating a demonstrated level of success must be obtained.

Service will be evaluated as exceeds, meets, or does not meet the criteria:

1. **Exceeds:** there is a continuing record of successful service to the department, the college or the university, the professional and possibly the community.
2. **Meets:** there is a continuing record of acceptable service to the department.
3. **Does not meet:** there is no continuing record of acceptable service to the department.

2.5 Overall Determination of the Recommendation for Tenure

If the faculty member meets the criteria in each of the three areas of teaching, research and scholarly activity, and service, then the faculty member should be considered as having met the criteria for tenure.

If the faculty member does not meet the criteria in one or more areas, tenure may still be granted based on the following considerations:

1. The individual's relative contributions in the three areas of teaching, research and scholarly activity, and service, indicate an overall positive contribution to the department and field of research.
2. There is clear evidence that the individual has responded appropriately to suggestions made in annual evaluations and the third year review and there is potential to meet the criteria in the foreseeable future.

3.0 Promotion to Associate Professor

3.1 Overview

Promotion from Assistant to Associate Professor usually accompanies the granting of tenure in cases where a faculty member has met the departmental criteria in the areas of teaching, research and scholarly activity, and service. If the faculty member does not meet the criteria in one or more areas, but there is potential for the faculty member to meet the criteria in the foreseeable future, tenure may be granted without promotion. In such cases, the committee should include a clear description of what should be done to achieve promotion as part of its recommendation.

4.0 Promotion to Professor

4.1 Overview

University policy requires five (5) years in rank at the Associate Professor level before a faculty member is eligible to apply for promotion to Professor. Promotion to Professor will be evaluated on the basis of teaching, research and scholarly activity, and service, with primary emphasis being on accomplishments in the period since the last promotion.

4.2 Teaching

Typically, the faculty member seeking promotion to Professor is an established member of the department. At this level, the candidate must be an effective teacher, and show continuing effort towards improvement. Teaching effectiveness will be demonstrated at a minimum through peer evaluations and student assessments of instruction (SAI's). Development of new teaching materials and attendance at workshops may be used as additional evidence to demonstrate teaching effectiveness. Professional development in teaching skills should be regarded as an ongoing process and must be documented. There should be a qualitative difference between the teaching performance expected for tenure and promotion to associate professor, and that expected for promotion to full professor.

4.3 Research and Scholarly Activity

4.3.1 Criteria for Research and Scholarly Activity

Typically, the faculty member seeking promotion to Professor is an established member of the department who has developed a national or international reputation in his or her field. There should be both a quantitative and a qualitative difference between the research accomplishments expected for tenure and promotion to associate professor, and those expected for promotion to full professor.

4.3.2 Evaluation of Research and Scholarly Activity

4.3.1.1 Publications

A minimum of five (5) peer-review papers, or the equivalent (see below), must be published since the last promotion. In cases where the time since the last promotion exceeds five years, at least two publications should be produced during the previous three-year period.

Original research papers in chemical education journals will count towards this criterion. Scholarly activity including books, chapters and peer-reviewed proceedings may be considered in lieu of peer reviewed journal articles.

For publications involving other senior authors, the faculty member must provide documentation indicating the contribution to the content of the publication.

4.3.2.2 Funding

The faculty member should demonstrate a consistent effort to seek external funding and to maintain an ongoing research program. This should consist of a minimum average submission of one competitive external proposal per year until a major grant is received. External funding for scholarly activity shall be included. External funding for purposes other than research and scholarly activity (*e.g.* funding for conferences or workshops) shall not be counted in this category. In cases of repeat submissions of the same or similar proposal, there should be clear evidence of how the proposal was modified to improve the chance of funding with each successive submission.

For grants involving other PI's or co-PI's, the faculty member must provide documentation indicating the fractional contribution to the grant effort.

Internal funding should be sought to maintain a research program while seeking external funding.

4.3.2.3 Inclusion of Students in Research

Students (both undergraduate and graduate) must be included in the faculty member's research program. There must be documented evidence of the students' successful participation and development as chemists. Such documentation shall include:

1. Student coauthors on peer-reviewed publications
2. Student theses
3. Student coauthors on conference oral presentations and/or posters

A determination of meets or does not meet the criteria will be assigned for research and scholarly activity on the following basis:

Meets: The faculty member meets or exceeds the criteria in all three areas.

Does not meet: The faculty member does not meet the criteria in all three areas.

4.4 Service

Typically, the faculty member seeking promotion to Professor is an established member of the department. At this level, the candidate should be a recognized leader in the department, and a regular participant in college, university, community and/or professional activities. There should be both a quantitative and a qualitative difference between the extent of service expected for tenure and promotion to associate professor, and that expected for promotion to full professor.

4.5 Overall Determination of the Recommendation for Promotion

The committee will evaluate the faculty member in the following fashion:

1. If the faculty member meets the criteria in all three areas: teaching, research and scholarly activity, and service, individually, then the faculty member has met the criteria for promotion.
2. If the faculty member does not meet the criteria in one or more areas, then the committee will evaluate the individual's relative contributions in the three areas and consider the overall contribution to the department and field of research when making the determination for promotion. In cases where promotion is denied, the committee should include a clear explanation for the basis for the denial along with its recommendation.

ETSU DEPARTMENT OF CRIMINAL JUSTICE & CRIMINOLOGY

GUIDELINES FOR PROMOTION

Each academic rank represents specific qualifications, professional competencies, and a history of productivity together with the promise of continued growth. *Promotion to higher rank is neither an unqualified right nor an automatic occurrence.* Having completed a given period of service or performed routine duties (such as carrying a normal course load, advising students, publishing and presenting papers, participating in departmental programs and governance, and serving on committees) should be considered an affirmative factor in appraising a faculty member's qualifications for promotion, *though they are insufficient in and of themselves to warrant promotion.*

The excellence of the faculty in the Department of Criminal Justice & Criminology at East Tennessee State University is maintained in part through an appraisal of each candidate for promotion by colleagues and by appropriate administrative officers. Faculty members may be recommended for promotion to a higher rank based upon their demonstrated qualifications for that rank as evaluated by their peers in the department, the department chair, the promotion and tenure advisory committee of the college, the academic dean, the vice president, the president, and the TBR.

The appraisal of each candidate in the Department of Criminal Justice & Criminology should incorporate a thorough review of achievements which are expected in teaching; research, scholarly or creative activity; and, professional service. Chairs and deans shall keep a faculty member informed of their expectations for his/her performance, including requirements for promotion and tenure. Any dramatic alterations in these expectations should be made explicit. In most circumstances, this will be accomplished by the annual review process, though this is not the definitive evaluation tool. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports, and evaluations. The Criminal Justice & Criminology department chair should submit evaluations of these activities, accompanied by evidence obtained through an evaluation process designed to ensure that recommendations are predicated on substantive analysis.

Because of the importance and significance of the promotion deliberations, each Criminal Justice & Criminology department faculty member must assume responsibility for insuring that pertinent information concerning teaching, research, and professional service is available to the Chair of Criminal Justice & Criminology and to the departmental committee.

The Criminal Justice & Criminology department may make adjustments to minimum service in rank for extraordinary performance and service and for total years of full-time teaching experience.

ASSISTANT PROFESSOR

The Department of Criminal Justice & Criminology requirements for promotion to or hiring at

the rank of Assistant Professor are as follows:

- § Possession of an earned terminal degree, as defined by the discipline, from a recognized or accredited institution.
- § Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty.
- § Evidence of high professional standards and behavior consistent with professional ethics.
- § Evidence of effective teaching if the individual has taught at the college level. If the individual has not taught at the college level, evidence should be obtained that satisfactory teaching performance can reasonably be expected.
- § Evidence of published research or of publishable research in progress.

ASSOCIATE PROFESSOR

All candidates for promotion to the rank of Associate Professor must meet Department of Criminal Justice & Criminology, College of Arts and Sciences, university and TBR expectations for satisfactory performance in all three areas of teaching, research, and professional service. Successful candidates for the rank of Associate Professor should be judged as above average in two categories and excellent in at least one as assessed by the department committee and chair.

The Department of Criminal Justice & Criminology requirements for promotion to the rank of Associate Professor are as follows:

- § Possession of an earned terminal degree, as defined by the discipline, from a recognized or accredited institution.
- § Completion of the minimum years in rank as Assistant Professor as set forth in the ETSU Faculty Handbook. Exceptions may be made for extraordinary performance and overall years of full-time teaching experience.
- § Evidence of high professional standards and behavior consistent with professional ethics and a collegial attitude.

Teaching: Documented evidence of teaching effectiveness will be determined by the candidate's demonstrated strength in teaching undergraduate and graduate criminal justice and criminology courses in the candidate's areas of expertise. Documentation can take various forms (see section of this document on "Required Documentation for Promotion in All Ranks"). Documentation that the candidate can and does teach a sufficient variety of courses that assist the department in its need to offer both required and elective courses. Creation of new courses and syllabi, chairing thesis committees and service on thesis committees, independent studies, and honors theses are considered.

Research: Consideration is given for directing specific research projects with colleagues and students. Consideration is also given for successful research grant proposals. Documented evidence of scholarly productivity in research endeavors within the discipline is required as follows:

- § Typically, a minimum of five (5) scholarly articles published in refereed journals or chapters in monographs is expected from candidates. As a guide, one book (monograph) in a reputable press would substitute for at least three (3) articles; one textbook would count as two (2) articles; and so on.
- § Participation in international, national, regional and state professional organizations related to the candidate's discipline is also required. This includes presenting papers at all levels of conferences, organizing and serving on scholarly panels, serving as officers for professional societies, and serving on editorial boards of scholarly journals.

Service: Documented evidence of significant professional service activities includes participation on at least one departmental committee each year; participation on college and university committees; and, when appropriate, student advisement. Special programs, participating in workshops, consulting within the candidate's field or discipline are also a consideration. Community service is expected.

PROFESSOR

All candidates for promotion to the rank of Professor must meet Department of Criminal Justice & Criminology, College of Arts and Sciences, university and TBR expectations for satisfactory performance in all three areas of teaching, research, and professional service. Successful candidates for the rank of Professor should be judged as excellent in a least two of the three areas and at least good in the third as assessed by the department committee and chair.

The Department of Criminal Justice & Criminology requirements for promotion to the rank of Professor are as follows:

- § Possession of an earned terminal degree, as defined by the discipline, from a recognized or accredited institution.
- § Completion of the minimum years in rank as Associate Professor as set forth in the ETSU Faculty Handbook. Exceptions may be made for extraordinary performance and overall years of full-time teaching experience.
- § Evidence of high professional standards and behavior consistent with professional ethics and a collegial attitude.

Teaching: Documented evidence of teaching effectiveness will be determined by the candidate's demonstrated strength in teaching undergraduate and graduate criminal justice and criminology courses in the candidate's areas of expertise. Documentation can take various forms (see section of this document on "Required Documentation for Promotion in All Ranks"). Documentation that the candidate can and does teach a sufficient variety of courses that assist the department in its need to offer both required and elective courses. Creation of new courses and syllabi, chairing thesis committees and service on thesis committees, independent studies, and honors theses are considered.

Research: Successful research and scholarly activity will include the following:

- § Typically, a minimum of ten (10) articles in refereed journals, at least five of which were

published after the candidate became an Associate Professor is expected for candidates. Or, one book (monograph) and two (2) articles in refereed journals published after becoming an Associate Professor. As a guide, one textbook published after the candidate became an Associate Professor would count as two articles.

§ Participation in international, national, regional, and state professional organizations related to the candidate's discipline after the candidate became an Associate Professor is also required. This includes presenting papers at all levels of conferences, organizing and serving on scholarly panels, serving as officers for professional societies, and serving on editorial boards of scholarly journals.

Service: Documented evidence of significant professional service activities after the candidate became an Associate Professor includes participation on at least one departmental committee each year; participation on college and university committees; and, when appropriate, student advisement. Special programs, participating in workshops, consulting within the candidate's field or discipline are also a consideration. Community service is expected.

Required Documentation for Promotion in All Ranks

Teaching

Since the first responsibility of the Department of Criminal Justice & Criminology is the education of its students, excellence in teaching should be continually encouraged and rewarded. No nomination for promotion should be made without accompanying evidence of the nominee's excellence as a teacher. Inevitably, the rating of teaching ability is to some degree a value judgment. It is incumbent upon the Criminal Justice & Criminology department to administer student evaluations, review course syllabi and assignments, review teaching portfolios, and observe the candidate in the classroom. Evidence supplied by the candidate might include records reflecting performance above routine expectations in:

- § Command of subject matter: classroom observation, review of teaching materials, supporting letters from students.
- § Ability to organize and present subject matter in a logical and meaningful way: classroom observation, review of teaching materials, supporting letters from students.
- § Ability to motivate students: classroom observation, student evaluations, supporting letters from students.
- § Development of instructional techniques or teaching materials: faculty evaluation goals and achievements, creation of new courses, instructional development grants.
- § Direction of theses, independent research projects, participation in departmental student organizations.

Supporting evidence for the above must be provided by the candidate and affirmed by peer review/classroom observation in the Department of Criminal Justice & Criminology. Evidence will also be drawn from student evaluations of instruction.

In addition to classroom contact, the Criminal Justice & Criminology department will consider the candidate's total number of preparations per semester, number of courses per academic year, level of difficulty of the courses, number of students assigned to the classes, and time and location of courses.

In addition to any other evidence that the candidate might choose to provide, the candidate must furnish student assessments of instruction for at least eight (8) courses taught while holding current rank, wherever possible, or for every course evaluated while holding current rank, if this number is greater. These student assessments should be representative of a variety of classes that the candidate has taught. A University-approved assessment instrument will be used for this purpose. Student assessments must be included with all applications for promotion and will be considered as one important source of information concerning effective teaching, *although not the only one*.

The Department of Criminal Justice & Criminology will also assign peer reviewers for classroom observation. Reviewers will consider student assessment of instruction in light of the type of courses involved. For this peer review, candidates should include additional items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular responsibilities. The College of Arts & Sciences requires that each tenure-track faculty member be observed in the classroom by peers in his/her department a minimum of once per academic year. Tenured faculty members seeking promotion to a higher rank must be observed in the classroom by peers in his/her department a minimum of three (3) classes. It is the responsibility of the tenure-track or tenured faculty member, with the assistance of the chair, to ensure that this peer evaluation takes place. Peer observers should be selected by the faculty member, in consultation with the chair. When the peer observers will attend class should be agreed upon in advance by the faculty member. Written evaluations should address areas such as course content, assignments, grading practices, classroom management, etc., and be submitted to the faculty member and to the chair. These peer observations will ultimately be included in the faculty member's tenure/promotion dossier. On-line courses will not be exempt from peer evaluation. Peer observers should meet with the tenure-track faculty member to determine an appropriate means of evaluation. Written evaluations will follow the same format as those for live classes.

Research

Research and scholarly activities are also important areas of faculty involvement in the Department of Criminal Justice & Criminology. Clear evidence of the quality of work should accompany each application. Evidence supplied by the candidate might include records reflecting performance *above routine expectations* in the following:

- § Publications: textbooks, books (monographs), chapters in books, articles in refereed journals, conference proceedings, abstracts, book reviews, and other related items such as electronic publications, software and courseware.
- § Papers presented: those papers presented at local, state, regional, national and international professional meetings. The significance of content and selection processes

should be considered in reviewing such presentations.

§ Research in progress: verification of stages of development is mandatory.

Other items such as funded or unfunded research proposals, computer software development or audio-visual media will also be considered.

Complete and accurate documentation of all research and scholarly activities, including complete bibliographical listings of publications, status of journals (refereed or non-refereed), role in jointly authored articles, papers and books should be included in each application to provided evidence and support for these activities. Copies of published items and other reported research activities must be available for examination by reviewers.

Service

The candidate should offer evidence of professional service to the University, to the College of Arts and Sciences, the Department of Criminal Justice & Criminology, to the discipline, and to the larger society of which the University is a part. Documentation of all service activities is required. Service should include participation in organizations and on committees, although more significance will be attached to leadership roles therein. Documentation of effective student advisement, if applicable, is also required. Evidence supplied by the candidate might include records reflecting performance *above routine expectations* in the following:

§ Service to the University and to affiliated institutions: This category includes the Department of Criminal Justice & Criminology, College of Arts and Sciences, and University committee participation and leadership roles therein, recruitment and retention activities, service to student organizations, and other related activities.

§ Service in effective advisement or mentoring of students.

§ Service to one's academic discipline: This category includes memberships and leadership roles in professional organizations at the international, national, regional and state levels.

§ Service to the larger society of which the University is a part: This includes presentations related to one's discipline, professional advice or consulting (compensated and non-compensated), assisting with program evaluations within the criminal justice system, teaching in-service training sessions for area criminal justice practitioners, responding to media requests for interviews regarding the criminal justice system, and providing other community service in the University's service area.

A faculty member's service contributions are subject to evaluation based on criteria uniquely applicable to this aspect of his/her work. As in the case of teaching, it is difficult to evaluate service; however, it is the responsibility of the peer review committees and administrative officers recommending candidates to develop criteria and to document performance. Criteria for evaluation of service should be based on the effectiveness with which the service is performed, its relation to the general welfare of the University and/or the Department of Criminal Justice and Criminology, and its effect on the development of students and other faculty members.

Revised 04/15/2015

Chair, Department of Criminal Justice & Criminology

Dean, College of Arts and Sciences

ETSU DEPARTMENT OF CRIMINAL JUSTICE & CRIMINOLOGY

GUIDELINES FOR TENURE

All candidates for tenure in the Department of Criminal Justice & Criminology should demonstrate excellence in teaching and in other academic assignments, and they should supplement this with achievements in research and scholarly activity, and service consistent with documented expectations. The excellence of a candidate's performance will be assessed by the traditional criteria of teaching effectiveness, research and scholarly activity, and professional service.

Candidates for tenure must hold an earned terminal degree, as defined by the discipline, from a recognized or accredited institution

The long-term staffing needs of the Department of Criminal Justice & Criminology and the University are taken into account at each level in the review process when candidates are evaluated for tenure. Criteria to be considered may include:

- § Enrollment patterns
- § Program changes
- § Potential for staff additions
- § Prospective retirements and resignations

In an effort to promote constructive communication among tenure-track faculty, tenured faculty, department chairs and dean, the ETSU College of Arts & Sciences requires that each tenure-track faculty member participate in a progress evaluation towards the end of his/her third year. This third-year review is similar to a tenure review in its focus on teaching, research, and service but is conducted within the department. The tenure-track faculty member should provide, by April 1 of his/her third year, a dossier to the department chair for review by the departmental tenured faculty and chair. The dossier should contain a recent *curriculum vita*, followed by concise supporting documents such as student evaluations and peer observations of teaching, evidence of scholarly publications/presentations, and conclude with a summary of department/college/university/community service. The third-year evaluation will be based on how all the faculty member meets individual departmental requirements for tenure. Prior to May 1, the tenured faculty will meet to evaluate the dossier. The tenured faculty committee will then communicate in writing, to the candidate an assessment of his/her strengths and weaknesses, and suggest areas for improvement. A copy of the written assessment summary will be delivered to the department chair and to the dean of the college.

TEACHING

Clear evidence of a candidate's teaching effectiveness must be presented to the Department of Criminal Justice & Criminology. Sources of information that validate a candidate's teaching ability will include peer evaluation of a teaching portfolio including syllabi, examinations, graded essays, supervised research papers, directed theses, and other classroom materials;

student evaluations of instruction; and, evaluation by the department chair. Candidates must demonstrate:

- § Command of the subject matter.
- § Ability to organize and present subject matter in a logical and meaningful way.
- § Ability to motivate students.

Evidence of effectiveness in academic assignments other than teaching in the Department of Criminal Justice & Criminology shall include materials and information that are pertinent to the assignment in question. This may include course development, guest lectures, direction of honors and M.A. theses, direction of independent studies, etc.

RESEARCH AND SCHOLARLY ACTIVITIES

Research and scholarly activities are important areas of faculty involvement in the Department of Criminal Justice & Criminology. Clear evidence of the quality of work should accompany each application. The candidate should supply evidence of the following:

- § Publications: textbooks, books (monographs), book chapters, articles in refereed journals, articles in non-refereed journals, refereed and non-refereed conference proceedings, book reviews, and other related items.
- § Papers presented: presentations at state, local, regional, national and international professional meetings, and sessions/panels chaired and/or organized. The significance of content and selection processes should be considered in the reviewing of such presentations.
- § Research in progress: verification of stages of development is mandatory. Documentation may include textbook publishing contracts, journal reviewer comments, grant proposals, copies of works in progress.
- § Other items such as funded or unfunded research proposals, computer software development, or audio-visual media may be considered.

SERVICE

The candidate should offer evidence of professional service to the University, to the College of Arts and Sciences, to the Department of Criminal Justice & Criminology, to the discipline, and to the larger society of which the University is a part. Documentation of all service activities is required. Service should include participation in organizations and on committees, although more significance will be attached to leadership roles therein. Evidence supplied by the candidate should include data reflecting performance *above routine expectations* in the following:

- § Service to the University and to affiliated institutions. This category includes the Department of Criminal Justice & Criminology, College of Arts and Sciences, and University committee participation and leadership roles therein (i.e., participation in University governance; Criminal Justice & Criminology department and University administrative service; recruitment and retention activities, service to student

- organizations; and, other related activities.
- § Service in advisement or mentoring of students.
- § Service to one's academic discipline. This category includes memberships and leadership roles in professional organizations at the international, national, regional and state levels.
- § Service to the larger society of which the University is a part: This includes presentations related to one's discipline, professional advice or consulting (compensated and non-compensated), assisting with program evaluations within the criminal justice system, teaching in-service training sessions for area criminal justice practitioners, responding to media requests for interviews regarding the criminal justice system, and providing other community service in the University's service area.
- § A faculty member's service contributions are subject to evaluation based on criteria uniquely applicable to this aspect of his/her work. As in the case of teaching, it is difficult to evaluate service; however, it is the responsibility of the peer review committees and administrative officers recommending candidates to develop criteria and to document performance. Criteria for evaluation of service should be based on the effectiveness with which the service is performed, its relation to the general welfare of the University and/or the Department of Criminal Justice and Criminology, and its effect on the development of students and other faculty members.

Revised 04/15/2015

Chair, Department of Criminal Justice & Criminology

Dean, College of Arts and Sciences

Departmental Criteria for Promotion

Department of Geosciences East Tennessee State University

This document discusses the process by which tenured members of the Department of Geosciences evaluate tenure-track or tenured candidates for promotion. It is intended to provide guidelines for the pursuit of promotion, and to present the metric used by the Department to evaluate applications. The Department recognizes that, as with tenure, a universal metric for decisions on granting or denying promotion is difficult to develop and apply. Consequently, candidates seeking promotion should work diligently to fulfill the requirements of their contract and to meet the Department's demands for contributions to the three principle areas for which they are evaluated— teaching, research, and service. Statements about the purpose of promotion and an overview of the promotion process are provided below; followed by more detailed descriptions of these three categories for which promotion is evaluated.

What is Promotion?

From ETSU Faculty Handbook, on Employment, Promotion:

Promotion in rank is recognition of past achievement of the individual being considered for promotion. In addition, the advancement in rank is recognition of future potential and a sign of confidence that the individual is capable of even greater accomplishments and of assuming greater responsibilities. The policy of the Tennessee Board of Regents is to make promotions strictly on consideration of merit tempered by university and fiscal considerations.

Overview

There are two levels of promotion available: Associate Professor and Professor. Promotion is not given based on years of service but is based on performance beyond the regular job duties. To be considered for promotion to Associate Professor, the candidate must excel in Research and meet all regular duties outlined in the job description. To be considered for promotion to Professor, the Associate Professor must excel in at least two of the three principal areas and meet all the regular duties outlined in the job description.

The Department has basically four job descriptors related to the typical tenure-track lines: Teaching Faculty, Teaching Researcher, Research Faculty, and Research Extensive Faculty. These four can be abridged to two major job tracks: teaching and research. Most non-tenured faculty will be aligned with a Teaching Researcher job. The table provided below summaries the job descriptor in relation to duties to be accomplished, including the research deliverables which are divided into two Tiers. The general ratio of teaching to research will be determined by the Department Chair.

Evaluation for promotion will be in the principal areas of teaching, research, and service. It is clear that these areas are not entirely separable. Teaching often includes discussing the importance and limitations of research in the general fields of geology and geography and their sub-disciplines represented in the Department of Geosciences. Faculty-guided research at the undergraduate level involves instruction in principles specific to the programs in the Department and research techniques. The Department considers that research is one of the best forms of

instruction available, so it is important that candidates for promotion demonstrate effective teaching and produce quality research.

Descriptor	General Teaching Load Fall:Spr	% Time Allotted Teaching* Per semester	Research: Scholarly deliverables Expected at minimum 3-year average	Service %
Lecturer/Instructor	4:3 4:4	~92	Research: 0%	≥10
Teaching Faculty Tenure-track	3:3 3:2	~72	Research: 0-15%; None to some activity	≥10
Teaching Researcher Tenure-track	2:2	~45	Produce: one from each of Tier 1 and 2, or three from Tier 2. Plus some activity as mentor with graduate or undergraduate research	≥10
Research Faculty Tenure-track	2:1	~35	Produce: two from the Tier 1, and one from Tier 2, and active with graduate/undergraduate research, attends national and international meetings annually to present new research	≥10
Research Extensive Faculty Tenure-track	1:1.5	12 + Co-teach	Produce: three from Tier 1 and one from Tier 2 and active labs with graduates and undergraduates conducting research, short-time (2-3 yrs) graduation of MS, attends national and international meetings annually to present new research	≥10
Administrator Tenure-track	1:1- 1:1.5	~15	Produce: at least one from Tier 2.	~80

Tier 1 Activity: sole or within first 3 authorship on a manuscript to a well-respected peer-reviewed journal/monograph of national or international reputation; sole or co-author or editor to a peer-reviewed book/textbook; sole or within first 3 authorship on a major map production; sole or co- PI on a grant/contract proposal to a leading/significant external agency.

Tier 2 Activity: authorship is fourth or greater to a well-respected peer-reviewed journal/monograph of national or international reputation; sole or co-author to a chapter in a published book/monograph; authorship is fourth or greater on a major map production; contributor PI (subcontractor) to an external grant proposal; PI on a continuation of an existing external grant; PI on an internal grant proposal.

Candidates for promotion must supply documentation supporting their levels of accomplishment in all areas of teaching, research, and service. In teaching, this would include high student and peer evaluations, development of new teaching methods and/or materials, or publications in education journals. In research this would include a number of papers published in peer reviewed journals, government and industry whitepapers, books, book chapters, conference presentations, and grant proposals (other options as approved by Chair). In service, this would include involvement in areas to the extent that they do not negatively impact on the

expected performance in the areas of teaching and research. Here one is looking for a continuing program of accomplishments.

Teaching

The candidate is required to submit an application demonstrating that he/she is an effective teacher. Effectiveness must be documented using standard metrics common in academia, especially at ETSU; specifically Student Assessment of Instruction (SAI) reports. The university also requires annual peer reviews of instructors by tenured ETSU faculty. In this case, faculty will attend candidate's lectures, and provide written evaluations the candida and chair. These evaluations must be included in any application for promotion. Those performing the peer reviews should focus on classroom presentation style, communication skills, teaching methodology, and student-faculty interaction.

Research

The Department provides release time for research-intense faculty, regardless of rank, and therefore expects the candidates to demonstrate productive research agendas. The primary outlet will be peer-reviewed journals. Publications as government and industry whitepapers can be of value. The Department further recognizes that research in pedagogy is important, so articles in educational journals are encouraged, though they may be considered "Teaching". While the Department does not attempt to quantify the value of publications in different journals, it does expect faculty to publish in journals germane to their discipline. Faculty seeking promotion to higher rank are expected to publish in a greater diversity of venues.

In addition, the Department places an emphasis on the need to seek external funding to support the candidate's research and that of undergraduate and graduate students. The Department looks favorably upon candidates developing creative ways to fund research, such as cost-leveraging with government agencies or public-private entities. Candidates are also strongly encouraged to pursue internal funding available at ETSU.

Service

The Department encourages service in the categories of:

- Department: serving on Departmental and academic committees, administrative duties, recruiting efforts, interacting with students and participating in field trips.
- College: serving on and participating in College level committees and functions, developing and exploring collaborative teaching and research opportunities across departments.
- University: serving on and participating in campus-wide committees and functions and exploring and developing multidisciplinary research and teaching opportunities.
- Discipline: includes reviewing grant proposals and papers for peer-reviewed journals, convening or otherwise participating in panel discussions, workshops, conferences, field camps, etc., giving lectures to similar academic departments at different universities.
- Community: interviews with news media, public speaking engagements outside mainstream academic settings— in civic club meetings, schools, etc.
- The advisement of undergraduate and graduate students is also within this category.

Additional Criteria

Here we discuss the criteria used to evaluate promotion that do not fit neatly in the categories of research, teaching and service. The Department reserves the right to augment its guidelines with those of the ETSU Faculty Handbook, Section 2.0 Employment, subsection 2.4 Policy on Promotion. The Committee may, for example, choose to consider candidate's professional degrees, awards, certifications, and achievements. It may also consider staffing needs and the Candidate's contribution to the objectives of the Department, the College of Arts and Science and ETSU. Additionally, it will weigh the candidate's demonstrated willingness and ability to work effectively with colleagues to support the mission of the Department, the College of Arts and Sciences and the Institution.

¹ see <http://www.etsu.edu/senate/facultyhandbook/section2.aspx#facPromotion>

Guidelines for Mentoring Leading to Tenure

Department of Geosciences East Tennessee State University 2013-2014

This document addresses the East Tennessee State University, Department of Geosciences (Department) guidelines for mentoring tenure-track faculty. For tenure-track positions, a candidate has a *probationary* appointment until tenure is granted. The Department uses five formal methods for mentoring such tenure-track Faculty and those pursuing higher rank:

1. Meeting during the first term to discuss the pursuit of tenure and promotion as well as the Departmental guidelines

The Departmental Tenure and Promotion Committee (TP Committee) will present an overview of the tenure and promotion process to the faculty within the first four weeks of their appointment. This will provide an opportunity for the TP Committee and the candidate to establish the ground rules for pursuing tenure and promotion.

2. Review of annual Faculty Activities Report (FAR)

The FAR provides annual feedback in the areas of teaching, research and service for faculty. Internally (within the Department), a candidate's FAR will be reviewed first by members of the TP Committee and then by the Chair. The TP Committee will provide feedback directly to the chair and the candidate. The Chair, however, will prepare a summary that is in-turn provided to the Dean of the College of Arts and Sciences.

3. Review of annual Student Assessment of Instruction (SAI) reports

SAI's are a standard metric for providing quantitative and qualitative data on the Candidate's effectiveness in teaching. Student opinions about a range of indicators of teaching effectiveness are solicited. As with the FAR, internally a candidate's SAI will be reviewed first by members of the TP Committee and then by the Chair each year. The TP Committee will provide feedback directly to the chair and the candidate.

4. Peer-review of teaching

Peer-reviews will be conducted at least once a year while the candidate is in probation, allowing faculty to provide constructive feedback about teaching effectiveness. Candidates are responsible for requesting peer-reviews from fellow tenured-faculty at ETSU.

5. Internal review of candidate's performance during the third year

The TP Committee will conduct an internal review of the candidate during the third year of the probationary period, to provide further guidance to the candidate with respect to progress toward tenure and promotion. For this step, the candidate submits a document patterned on a normal tenure folder. After the document is read by the TP Committee and the Chair of the Department, a written report is sent to the candidate and to the Chair. This report is to be followed by a meeting of the TP Committee and the candidate (Q&A) within two weeks of its completion.

Departmental Criteria for Academic Tenure

Department of Geosciences East Tennessee State University

This document outlines the process by which tenured members of the Department of Geosciences evaluate tenure-track candidates for academic tenure. It is intended to provide guidelines for the pursuit of tenure, and to present the metric used by the Department to evaluate applications. The Department recommends candidates work diligently to fulfill the requirements of their contract and to meet the Department's requirements for contributions to the three principal areas for which they are evaluated—teaching, research, and service. Statements about the meaning of academic tenure, an overview of the tenure process and a detailed discussion of teaching, research and service requirements are provided below.

What is Academic Tenure?

From the ETSU Faculty Handbook, Section 2.0 on Employment, Policy on Tenure:

Tenure is a personnel status in an academic department or other academic program unit pursuant to which the academic or fiscal year appointments of full-time faculty who have been awarded tenure are continued at a university until the expiration or relinquishment of that status, subject to termination for adequate cause, for financial exigency, or for curricular reasons. The awarding of tenure is recognition of the merit of a faculty member and of the assumption that he/she would meet the long-term staffing needs of the department or other academic program unit and the university. Tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure.

Overview

Evaluation for tenure will be in the principal areas of teaching, research, and service. For evaluation purposes, the relative importance of these three activities are taken in the order of teaching > research > service. While individual circumstances and specific requirements may vary, approximately 60% teaching, 30% research and 10% service is the norm for departments in the College of Arts and Sciences at ETSU. It is clear that these areas are not entirely separable. Teaching, for example, often includes discussing the importance and limitations of research in the various fields of Geosciences. Faculty-guided research at the undergraduate level involves instruction in principles specific to the programs in the Department and research techniques. The Department considers that research is one of the best forms of instruction available, so it is important that candidates for tenure demonstrate effective teaching and produce quality research. While candidates have great discretion in the type of service in which they engage, at times specific requests or assignments may be made by the Departmental Chair.

Candidates for tenure must supply documentation supporting their levels of accomplishment in all areas of teaching, research, and service from throughout the probationary period. In teaching, this would include high scores on student and peer evaluations, development of new teaching methods and or materials, publications in education journals or other presentations in venues aimed at education. In research, this would include a number of papers published in peer

reviewed journals, government and industry whitepapers, books, book chapters, conference presentations, and grant proposals. In service, this would include involvement in service to the Department, College, University, Discipline and Community. In summary, the Department is looking for a continuing program of accomplishments in the three principal areas.

Teaching

The candidate is required to submit an application demonstrating that he/she is an effective teacher. Effectiveness must be documented using standard metrics common in academia, and ETSU; specifically Student Assessment of Instruction (SAI). ETSU also requires annual peer review of instructors by faculty. In this case, tenured faculty from ETSU attend the candidate's lectures, and written evaluations are provided to the candidate and Chair of the Department. All evaluations should be included in the third-year review and tenure application. Those performing the peer reviews should focus on classroom presentation style, communication skills, teaching methodology and student-faculty interaction.

Research

The Department can provide release time typically in the area of teaching and/or service the first year for new faculty, so expectations of demonstrated productive research are high.

Faculty seeking tenure must have publications in nationally and internationally recognized peer-reviewed journals. Dependent on content and format for development, government whitepapers can be of value. The Department further recognizes that research in pedagogy is important, so articles in educational journals are encouraged, though they may be considered under "Teaching". While the Department does not attempt to quantify the value of publications in different journals, it does expect faculty to publish in journals germane to their discipline. Differences between theoretical, experimental, and applied research should be considered carefully. In summary, the Department is looking for evidence that the candidate has built a program of successful research that shows promise of continued success.

In addition, the Department places an emphasis on the need to seek external funding to support the candidate's research and that of undergraduate and graduate students. The Department looks favorably upon candidates developing creative ways to fund research, such as cost-leveraging with government agencies or public-private entities. Candidates are also strongly encouraged to pursue internal funding available at ETSU, although this should not be the sole source of funding throughout the probationary period.

Service

The Department encourages service in the categories of:

- Department: includes service on Departmental committees, academic committees, administrative duties, recruiting efforts, interacting with students and participating in field trips.
- College: serving on and participating in College level committees and functions, developing and exploring collaborative teaching and research opportunities across departments.
- University: serving on and participating in campus-wide committees and functions, and exploring and developing multidisciplinary research and teaching opportunities.

- Discipline: includes reviewing grant proposals and papers for peer-reviewed journals, convening or otherwise participating in panel discussions, workshops, conferences, field camps, etc., giving lectures to similar academic departments at different universities.
- Community: interviews with news media, public speaking engagements outside mainstream academic settings— in civic club meetings, schools, etc.
- The advisement of undergraduate and graduate students is also within this category.

Additional Criteria

Here we discuss criteria used to evaluate tenure that do not fit in categories of research, teaching and service. The Department reserves the right to augment its guidelines with those of the ETSU Faculty Handbook, Section 2.0 Employment, Policy on Academic Tenure. The committee may choose to consider candidate's professional degrees, awards, certifications, and achievements during their tenure-track period. It may also consider staffing needs and their contribution to the objectives of the Department, the College of Arts and Science and ETSU. Additionally, it will weigh the potential for continuing professional growth and the candidate's demonstrated willingness and ability to work effectively with colleagues to support the mission of the Department, the College of Arts and Sciences and ETSU.

For further information, see:

<http://www.etsu.edu/senate/facultyhandbook/section2.aspx#facPromotion>

ETSU DEPARTMENT OF HISTORY

GUIDELINES FOR PROMOTION

Each academic rank represents specific qualifications, professional competencies, and a history of productivity together with the promise of continued growth. *Promotion to higher rank is neither an unqualified right nor an automatic occurrence.* Having completed a given period of service or performed routine duties (such as carrying a normal course load, advising students, publishing and presenting papers, participating in departmental programs and governance, and serving on committees) should be considered an affirmative factor in appraising a faculty member's qualifications for promotion, *though they are insufficient in and of themselves to warrant promotion.*

The excellence of the faculty in the Department of History at East Tennessee State University is maintained in part through an appraisal of each candidate for promotion by colleagues and by appropriate administrative officers. Faculty members may be recommended for promotion to a higher rank based upon their demonstrated qualifications for that rank as evaluated by their peers in the department, the department chair, the promotion and tenure advisory committee of the college, the academic dean, the vice president, the president, and the TBR.

The appraisal of each candidate in the Department of History should incorporate a thorough review of achievements which are expected in teaching; research, scholarly or creative activity; and professional service. Chairs and deans shall keep a faculty member informed of their expectations for his/her performance, including requirements for promotion and tenure. Any dramatic alterations in these expectations should be made explicit. In most circumstances, this will be accomplished by the annual review process, though this is not the definitive evaluation tool. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports, and evaluations. The History department chair should submit evaluations of these activities, accompanied by evidence obtained through an evaluation process designed to ensure that recommendations are predicated on substantive analysis.

Because of the importance and significance of the promotion deliberations, each History department faculty member must assume responsibility for insuring that pertinent information concerning teaching, research, and professional service is available to the Chair of History and to the departmental committee.

The History department may make adjustments to minimum service in rank for extraordinary performance and service and for total year of full-time teaching experience.

ASSISTANT PROFESSOR

The Department of History requirements for promotion to or hiring at the rank of Assistant Professor are as follows:

- Possession of an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline
- Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty
- Evidence of high professional standards and behavior consistent with professional ethics
- Evidence of effective teaching if the individual has taught at the college level. If the individual has not taught at the college level, evidence should be obtained that satisfactory teaching performance can reasonably be expected
- Evidence of published research or of publishable research in progress

ASSOCIATE PROFESSOR

All candidates for promotion to the ranks of associate professor and professor must meet Department of History and College of Arts and Sciences expectations for above-average performance in all three areas of teaching, research, and professional service. Successful candidates for the rank of associate professor should be judged as above average in two categories and excellent in at least one. Successful candidates for the rank of professor should be judged as excellent in at least two of the three areas and as good in the third. Candidates for professor should be expected to have a greater quantity as well as quality of achievement in the three categories.

The Department of History requirements for promotion to the rank of Associate Professor are as follows:

- Possession of an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline
- Five years of full-time teaching at the rank of assistant professor □ exceptions may be made for extraordinary performance and overall years of full-time teaching experience.
- Evidence of high professional standards and behavior consistent with professional ethics and a collegial attitude

Teaching: Documented evidence of teaching effectiveness will be determined by the candidate's demonstrated strength in teaching introductory history surveys, upper-division courses, and graduate courses in the candidate's areas of expertise. Evidence should come from class observations carried out by a variety of History department faculty members of greater rank than the candidate, from peer evaluations of teaching materials, and, to a lesser extent, from student evaluations.

Research: Consideration is given for directing specific research projects with colleagues and students. Documented evidence of scholarly productivity in research endeavors within the discipline is required as follows:

- Publications might include textbooks, books or chapters in books, articles in non-refereed journals, book reviews, encyclopedia entries, biographical entries, electronic or courseware publications, etc. A book-length work supersedes most other publications. Successful research grant proposals are also a consideration.
- Participation in national, regional, and state professional organizations related to the candidate's discipline is also required. This includes presenting papers at all levels of conferences, organizing and serving on scholarly panels, serving as officers for professional societies, serving on editorial boards of scholarly journals, participating in workshops in the candidate's field, and consulting in the candidate's field.

Service: Documented evidence of significant professional service activities includes participation on at least one History department committee each year and participation on University committees. Special programs and recognition for administrative contributions are also a consideration. Community service is expected. Student advising is also a commitment of service to the Department, College, and University

PROFESSOR

The Department of History requirements for promotion to the rank of Professor are as follows:

- Possession of an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline
- Six years of academic experience in the rank of associate professor. Exceptions may be made for extraordinary performance and overall years of teaching experience.
-

Teaching: Documented evidence of teaching effectiveness will be determined by the candidate's demonstrated strength in teaching introductory history surveys, upper-division courses, and graduate courses in the candidate's areas of expertise. Creation of new courses and syllabi are encouraged, along with direction of M.A. theses, independent studies, and honors theses. Evidence should come from peer evaluation of a teaching portfolio, including syllabi, examinations, graded essays, supervised research papers, and other class materials; and, to a lesser extent, from student evaluations.

Research: Successful research and scholarly activity will include the following:

- Publications might include textbooks, books or chapters in books, articles in non-refereed journals, book reviews, encyclopedia entries, biographical entries, electronic or courseware publications, etc. A book-length work supersedes most other publications. Successful research grant proposals are also a consideration.
- Demonstrated excellence in professional activity, including but not limited to national, regional, and state conference presentations, organizing and serving on scholarly panels, serving as officers for regional and national professional societies, serving on editorial boards of scholarly journals, participating in

workshops in the discipline, consulting in the discipline, etc. Service to the Department of History and to the University is expected.

Service: Documented evidence of significant professional service activities includes participation on at least one History department committee each year and participation on University committees. Special programs and recognition for administrative contributions are also a consideration. Community service is expected. Student advising is also a commitment of service to the Department, College, and University

Evidence of high professional standards and behavior consistent with professional ethics and a collegial attitude is essential.

Required Documentation for Promotion

Teaching

Since the first responsibility of the Department of History is the education of its students, excellence in teaching should be continually encouraged and rewarded. No nomination for promotion should be made without accompanying evidence of the nominee's excellence as a teacher. Inevitably, the rating of teaching ability is to some degree a value judgment. It is incumbent upon the Peer Review Committee of the Department of History department to review/assess the candidate's teaching portfolio, student evaluation of instruction, course assignments, and annual faculty review goals and achievements. Evidence supplied by the candidate might include records reflecting performance above routine expectations in:

- Command of subject matter
- Ability to organize and present subject matter in a logical and meaningful way
- Ability to motivate students
- Development of instructional techniques or teaching materials
- Direction of theses, independent research projects, effective leadership of research projects intended to train students in research techniques; active participation in the History department's M.A. program

Supporting evidence for the above must be provided by the candidate and affirmed by peer review processes in the Department of History. Some evidence may be drawn from student evaluations of instruction.

In addition to classroom contact, the History department will consider the candidate's total number of preparations per semester, number of courses per academic year, level of difficulty of the courses, number of students assigned to the classes, and time and location of the courses.

In addition to other evidence the candidate must furnish student assessments of instruction drawn from at least eight classes taught in current rank. Student assessments should represent a variety of classes taught. A University approved assessment

instrument will be used for this purpose. Student assessments must be included with all applications for promotion and will be considered as one important source of information concerning effective teaching, *although not the only one*.

The Department of History will conduct peer review of candidates. The Peer Review Committee will consider student assessments of instruction in light of the type of courses involved. For this peer review, candidates should include additional items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular responsibilities. All such factors will be considered for a comprehensive view of the candidate's teaching effectiveness. The candidate will be expected to document effectiveness in student advisement.

Research

Research and scholarly activities are also important areas of faculty involvement in the Department of History. Clear evidence of the quality of work should accompany each application. Evidence supplied by the candidate might include records reflecting performance *above routine expectations* in the following:

- Publications: textbooks, books, chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, abstracts, book reviews, creative works, and other related items such as electronic publications, software and courseware.
- Papers presented: those papers presented at local, state, regional, national and international professional meetings. The significance of content and selection processes should be considered in reviewing such presentations.
- Research in progress: verification of stages of development is mandatory.

Other items such as funded or unfunded research proposals, computer software development, or audio-visual media will also be considered

Complete and accurate documentation of all research and scholarly activities, including complete bibliographic listings of publications, status of journals (refereed and non-refereed), role in jointly authored articles and papers, and complete descriptions of professional service activities should be included in each application to provide evidence and support for these activities. Copies of published items and other reported research activities must be available for examination by reviewers.

Service

The candidate should offer evidence of professional service to the University, to the Department of History, to the discipline, and to the larger society of which the University is a part. Documentation of all service activities is required. Service should include participation in organizations and on committees, although more significance will be attached to leadership roles therein. Evidence supplied by the candidate might include records reflecting performance *above routine expectations* in the following:

- Service to the University and to affiliated institutions: This category includes the Department of History, College of Arts and Sciences, and University committee participation and leadership roles therein, recruitment activities, service to student organizations, and other related activities. Student advising is also a commitment of service to the Department, College, and University.
- Service to one's academic discipline: This category includes memberships and leadership roles in professional organizations at international, national, regional, and state levels.
- Service to the larger society of which the University is a part: This includes presentations related to one's discipline, professional advice and counsel to groups or individuals, and providing other community service in the University's service area.

A faculty member's service contributions are subject to evaluation based on criteria uniquely applicable to this aspect of his/her work. As in the case of teaching, it is difficult to evaluate service; however, it is the responsibility of the peer review committees and administrative officers recommending candidates to develop criteria and to document performance. Criteria for evaluation of service should be based on the effectiveness with which the service is performed, its relation to the general welfare of the University and/or the Department of History, and its effect on the development of students and other faculty members.

Revised 06/17/05, 8/2/05, 5/11/15

ETSU DEPARTMENT OF HISTORY

GUIDELINES FOR TENURE

All candidates for tenure in the Department of History should demonstrate excellence in teaching and in other academic assignments, and they should supplement this with achievements in research and scholarly activity, and service consistent with documented expectations. The excellence of a candidate's performance will be assessed by the traditional criteria of teaching effectiveness, research, scholarly and creative activity, and professional service.

Candidates for tenure must hold an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline.

The long-term staffing needs of the Department of History and the University are taken into account at each level in the review process when candidates are evaluated for tenure. Criteria to be considered may include:

- Enrollment patterns
- Program changes
- Potential for staff additions
- Prospective retirements and resignations

TEACHING

Clear evidence of a candidate's teaching effectiveness must be presented to the Department of History. Sources of information that validate a candidate's teaching ability will include peer evaluation of a teaching portfolio including syllabi, examinations, graded essays, supervised research papers, and other classroom materials; student evaluations of instruction; and evaluation by the departmental chair. Candidates must demonstrate:

- Command of the subject matter
- Ability to organize and present subject matter in a logical and meaningful way
- Ability to motivate students

Evidence of effectiveness in academic assignments other than teaching in the Department of History shall include materials and information that are pertinent to the assignment in question. This may include course development, guest lectures, direction of honors and M.A. theses, direction of independent studies, etc.

RESEARCH AND SCHOLARLY ACTIVITIES

Research and scholarly activities are important areas of faculty involvement in the Department of History. Clear evidence of the quality of work should accompany each application. The candidate should supply evidence of the following:

- Publications: textbooks, books or chapters in books, creative works, articles in refereed journals. Articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews, and other related items.
- Papers presented: presentations at local, state, regional, national, and international professional meetings, and sessions chaired and/or organized. The significance of content and selection processes should be considered in the reviewing such presentations.
- Research in progress: verification of stages of development is mandatory.
- Other items such as funded or unfunded research proposals, computer software development, or audio-visual media may be considered.

SERVICE

The candidate should offer evidence of professional service to the University, to the Department of History, to the discipline, and to the larger society of which the University is a part. Documentation of all service activities is required. Service should include participation in organizations and on committees, although more significance will be attached to leadership roles therein. Evidence supplied by the candidate might include data reflecting performance above routine expectations in the following:

- Service to the University and to affiliated institutions. This category includes Department of History, College of Arts and Sciences, and University committee participation and leadership roles therein: i.e., participation in University governance; History department and University administrative service; recruitment activities, service to student organizations; and other related activities. Student advising is also a commitment of service to the Department, College, and University.
- Service to one's academic discipline. This category includes memberships and leadership roles in professional organizations at international, national, regional, and state levels.
- Service to the larger society of which the University is a part. This includes presentations related to one's discipline; professional advice and counsel to groups or individuals; and providing other types of community service in the University's service area.
- A faculty member's service contributions are subject to evaluation based on criteria uniquely applicable to this aspect of her/his work. As in the case with teaching, it is difficult to evaluate service; however, it is the responsibility of the peer review committees and administrative officers recommending candidates to develop criteria and to document performance. Criteria for evaluation of service should be based on the effectiveness with which the service is performed, its relation to the general welfare of the University and/or the Department of History, and its effect on the development of students and other faculty members.

Revised 06/17/05, 8/2/05, 5/11/15

ETSU DEPARTMENT OF LITERATURE AND LANGUAGE

CRITERIA FOR TENURE AND PROMOTION

Last revised on March 18, 2015

All candidates for tenure in the Department of Literature and Language should demonstrate effectiveness in teaching, research and service. A candidate's performance will be assessed by the traditional criteria of teaching effectiveness; research, including scholarly and creative activity; and professional service.

Candidates for tenure must hold an earned terminal degree in the instructional discipline.

Weighted Levels of Achievement

The Department recognizes three levels of achievement in the areas of teaching, research, and service. The descriptions of these levels are intended to serve as guidelines in considerations involving retention, and tenure and promotion. In deliberations concerning these matters, it is the spirit rather than the letter of the level descriptions that should prevail.

Tenure and promotion will be granted according to a number of profiles that express combined strengths in the various areas. These profiles are given here as a general orientation for the reader. Please refer to them as necessary when reading the descriptions of performance given for each area.

Performance Profiles

Explanation of the abbreviations used: Teaching, Research, Service examples:

- T1 (Level 1 in Teaching)
- R2 (Level 2 in Research)
- S3 (Level 3 in Service)

Requirements*:

Tenure Only

- T1 R2 S1
- or T2 R1 S2

Promotion to the rank of Associate Professor:

- T2 R2 S2

Promotion to the rank of Professor:

- T2 R3 S3
- or T3 R3 S2
- or T3 R2 S3

* Note that these profiles represent the basic requirements for tenure and promotion. In other words, T1 implies "Teaching at Level 1 or above." All three categories—Teaching, Research and Service—contain a rating of zero (0) as an indication that candidate performance does not come up to the minimal performance profile of Level 1.

A. TEACHING

Clear evidence of a candidate's teaching effectiveness must be presented to the Department. Information that validates a candidate's teaching ability will come from a number of classroom observations carried out by a variety of departmental faculty members, usually of greater rank than the candidate; from peer evaluations of teaching materials; and, to a lesser extent, from student evaluations. A candidate must demonstrate the following:

- Command of the subject matter
- Ability to organize and present subject matter in a logical and meaningful way
- Ability to motivate students

Teaching as defined in this document refers not only to classroom performance, but also covers a broad range of activities involving instruction and guidance. Four basic aspects of teaching are planning (determining objectives and organizing course syllabi), classroom instruction, the evaluation of student performance, and curriculum development. The following list, although not all-inclusive, contains a number of activities that will normally be considered in the teaching area:

- number, type and level of courses taught
- development or significant restructuring of courses and design of new curricula
- development of materials and courses, especially those that incorporate new technologies (Such materials, when published nationally, will be considered in the area of research.)
- development of syllabi, tests and original materials used in multi-section course coordination
- development of departmental examinations
- receipt of grants for the development of innovative courses, materials or curricula, especially those funded from sources outside the university
- attendance at lectures, seminars and workshops devoted to the improvement of teaching skills
- special, sustained training in a certain aspect of teaching such as that required for certification
- participation in state, regional, national and/or international professional organizations that focus on teaching

(The above list is not all-inclusive, and no hierarchy is implied by the order in which items are listed.)

Evidence of quality in the teaching area:

The determination of the level of performance in the teaching area will be based primarily upon quality rather than quantity. For this reason, candidates should provide evidence of the kinds suggested below. (No candidate is expected to supply all types of evidence; this list is to serve as a guide only.)

- student and peer evaluations [Note: Peer evaluation of teaching is a TBR/ETSU requirement.]
- unsolicited letters from students and peers
- development of innovative course material
- awards or other recognition based primarily or exclusively on teaching
- use by other institutions of tests or materials developed by candidate
- impact of course or curricular design on the department's teaching mission
- invitations to teach in other faculty members' classes in our departments, other departments and programs in the university
- invitations to lead workshops on teaching or to serve as a consultant for other institutions
- invitations to teach in special national or international institutes or programs
- accomplishments of present or former students who credit the candidate with playing a major role in the student's development
- invitations to serve on accreditation teams
- invitations to judge proposals for grants or contracts related to teaching
- range of courses taught

(The above list is not all-inclusive, and no hierarchy is implied by the order in which items are listed.)

Levels of performance in the teaching area:

Candidates for tenure and promotion may present evidence of their accomplishments in the area at three levels. Since allowance for individual differences must be made, these levels are to serve as guidelines and should not be rigidly interpreted. In all cases, it is the spirit rather than the letter of the level descriptions that should prevail. Each of the higher levels assumes that the candidate has met the criteria for the level or levels below.

Level 1 - At this level, the candidate should provide evidence that he or she is capable of teaching a variety of courses, including graduate courses when applicable. (The candidate may also participate in graduate or honors programs through the direction of theses and/or dissertations.) Attendance at lectures, seminars and workshops devoted to the improvement of teaching skills will be considered as evidence of the candidate's commitment to good classroom teaching.

Level 2- This level represents a substantial contribution to the teaching mission of the department. Candidates meeting the requirements for the preceding level who (1) use their pedagogical skills to influence the department's teaching beyond the confines of their classroom or (2) have created original courses or course materials may submit evidence of effectiveness in the teaching area. Such evidence may include innovative materials or courses that have had a significant impact on the department's curriculum or on that of another department or program.

These materials or courses may, but do not necessarily, incorporate new technologies. (Such materials if published nationally will be considered in the area of research.) Evidence of Level 2 in the teaching area may also include the design of entire curricula and the development of exit exams and teaching materials for use in the coordination of programs. Courses or other special training taken to improve or expand the candidate's pedagogical skills will be considered favorably.

Level 3 - The candidate satisfies the requirements of the previous levels, and his or her ability

as an accomplished teacher is recognized both within and beyond the department. The candidate is invited to give lectures and courses beyond the department and may be asked to serve as a consultant, to conduct workshops on teaching, and/or to teach in special national or international institutes or programs. Grants to undertake innovative teaching projects should form a part of the candidate's file.

B. RESEARCH (BOTH SCHOLARLY AND CREATIVE)

The professional role involves not only the transmission of present knowledge through teaching, but also the creation of new knowledge to be shared with students and colleagues through presentations of research and creative activity and, especially, published research in the form of refereed articles, books and published creative writing. The Department recognizes the importance of both those investigations that preserve and extend traditional research and those that explore new areas of thought. This role also includes research spanning different scholarly fields. The department is made up of five areas (Literary Studies, Linguistics, Film Studies, Foreign Languages and Creative Writing); each area of study produces different types of research. In evaluating research, the Department will examine the corpus of a candidate's scholarly work for evidence of erudition, method, originality and independence. The categories below are meant to be a useful guide to determining the hierarchy of research productivity.

Types of activity included in the research area:

Note that since the average time for publication in the general field of Literature and Languages is 2-3 years, works that have been accepted for publication (i.e. works that are designated as being forthcoming, in press or under contract) should be weighted equally with those in print.

The following list is not all inclusive:

Tier 3: Refereed single- or co-authored books and monographs (critical books, scholarly editions, translations, biographies, textbooks, bibliographies); single-authored books of creative writing (poetry or short fiction collection, novel or creative nonfiction); chapbooks; refereed articles (print or online); book chapters; creative writing (in a journal or magazine with a national reputation or in an edited collection); editing a journal (as a guest editor or a regular editor). Receipt of competitive grants for the development or execution of research projects also included.

Tier 2: Invited book reviews and review essays; notes (published in refereed journals); participation in nationally-competitive institutes or seminars of a scholarly nature; creative writing (in a local journal or magazine, print or online); technology-based productions such as interactive video, computer software, or computer-assisted materials or films; interviews (in a journal or magazine); publications published in refereed conference proceedings; invited keynote or plenary talks.

Tier 1: Contributions to encyclopedias; Festschriften; papers and presentations at professional conferences; publications in non-refereed conference proceedings; self-published works (creative or scholarly); non-refereed articles; publications and presentations known as working papers.

Levels of performance in the area of research:

Candidates for tenure and promotion may present evidence of their accomplishments in this area at three levels. Since allowance for individual differences must be made, these levels are to serve as guidelines and should not be rigidly interpreted. In all cases, it is the spirit rather than the letter of the descriptive level that should prevail. Each of the higher levels assumes that the candidate has met the criteria for the level or levels below.

Candidates for promotion should have a consistent and on-going research agenda.

Level 1 □ Candidates who reach Level 1 have completed only research from Tier 1 or have fewer than two works of scholarship or creative work from Tier 2 and/or Tier 3.

Level 2-In order to meet the expectations of this level, candidates must have demonstrated significant achievement in the area of research. For promotion to Associate Professor, significant achievement in the area of research is defined as having completed at least three forms of scholarship or creative work from Tier 2 and/or Tier 3, or at least two forms of scholarship or creative work from Tier 3 and one form of scholarship or creative work from Tier 1.

For promotion to Professor, significant achievement in the area of research means that candidates must have a book-length study from the date of hire or, when given years toward tenure and promotion, from the date specified in the contract. In addition to the book which may have counted toward the first promotion, candidates must show that they are still actively engaged in research, completing at least three forms of scholarship or creative work from Tier 2 and/or Tier 3, or at least two forms of scholarship or creative work from Tier 3 and one form of scholarship or creative work from Tier 1.

Level 3 -Candidates who reach Level 3 exceed the criteria of the previous categories. In addition, they will have a firmly established reputation in their field of study based primarily on a consistent record of published research or creative activity from Tier 3.

C. SERVICE

This area includes service to scholarly and professional organizations and to the community (in cases where community service involves the candidate's professional expertise) as well as to the Department, the College, and the University. While recognizing that high-quality service in these areas is an important contribution to the functioning of the university and the profession, the department discourages candidates for tenure or promotion from becoming excessively involved in service activities to the detriment of their teaching and research. *Although extraordinary service will be recognized, it must be accompanied by satisfactory levels of research and teaching as outlined in these criteria.* Nevertheless, since a minimal amount of service on the part of every member is necessary to the functioning of the department, failure to complete assigned service tasks efficiently and effectively will have an adverse affect on promotion and tenure decisions.

Types of activity included in the service area:

- course coordination and program direction (even if compensated by release time)
- special assignments within the department such as grant writing
- major administrative duties within the department such as Chair or Coordinator

- chairing or serving on departmental and interdepartmental committees as well as cooperative work with other departments
- participation in various levels of college or university governance (committees, faculty senate, etc.)
- serving on thesis and dissertation committees (directing a thesis or dissertation counts in the teaching area.)
- service to scholarly journals and presses and professional conferences
- service to the public schools
- translating, interpreting and other profession-related service to other departments at ETSU or to the community at large
- advising students about major requirements
- attending advising workshops
- advising during summer orientations

(The above list is not all-inclusive and the order in which an item appears on the list does not indicate its position in a hierarchy.)

Evidence of quality in the service area:

The Department will use, in addition to the professional judgment of its members, evidence such as that found in the following list:

- descriptions of the contribution (in terms of time invested, reliability and initiative) of the candidate to a given service assignment
- letters commending the candidate's service
- honors and other recognition for service activities
- membership on committees
- chairing of a departmental, college or university committee
- election to office of a professional organization
- impact of the service on the functioning of the department, college or university
- member of an Editorial Board or at the invitation of a scholarly journal, publisher, or professional organization)

(The above list is not all-inclusive and the order in which an item appears on the list does not indicate its position in a hierarchy.)

Levels of performance in the area of service:

The Department recognizes three levels of service, *each of which builds on the level, or levels, below it*. In order to receive tenure or promotion, the candidate's service record must at least meet the department's definition of Level 1. Since allowance for individual differences must be made, these levels are to serve as guidelines and should not be rigidly interpreted. In all cases, it is the spirit rather than the letter of the level descriptions that should prevail.

Level 1 - In order to attain this level, the candidate must have a record of reliable and efficient performance of responsibilities assigned by the Chair, or by the faculty when the candidate is elected to positions and committees at a level beyond the department. Generally this will involve at least one specific area of responsibility and service on permanent or ad hoc committees.

Level 2 - The candidate who attains this level will have shown initiative in service by the assumption of tasks beyond those assigned, or by effectively carrying out assigned duties of great responsibility. Service on major university committees, the development of new service

techniques (such as improved advisement systems, more efficient course coordination, etc.) and the initiation of new directions in service will be considered favorably in the determination of Level 2 service. It is not the mere performance of the task but the effectiveness of the service that will be the determining factor. Additionally, the candidate may have begun a record of professional service to regional, national and/or international associations.

Level 3 - The candidate who attains this level will present a consistent record of high- quality service, which will include major contributions to the life of the Department, College, University, community and/or profession. While the Department encourages high-level service of this sort as a means of maintaining a high visibility and reputation for the Department on campus and in the profession, it does not require Level 3 service for any level of promotion or tenure.

Approval Signatures (Provide all that apply, depending upon level of unit responding.)

Department Chair	Date
Dean	Date
VP Academic Affairs or VP Health Affairs	Date

Departmental Criteria for Promotion

Last updated: 5/2/2015

Overview

The following descriptions are general requirements for a "typical" candidate. However, the needs of the department and the strengths of the individual are more important than any specific guidelines. It is the spirit of this document that matters, and that spirit is to have faculty who will meet the needs of our students in their quest for the best higher education that the State of Tennessee can provide, faculty who will through their service meet the needs of the university, and faculty who through their research, scholarly and creative activities will advance the disciplines of mathematics and statistics.

The Department of Mathematics and Statistics' guidelines for the evaluation of faculty for promotion are based on each individual's Faculty Activity Report (FAR) data and the percentage of effort in the Faculty Workload (as determined by the Chair) during the years prior to the personnel action. These criteria may vary from individual to individual. For example, consider two faculty members, one whose Faculty Workload requires that 22.5% of their time should be devoted to research and that they teach 18 credit hours per year, and another whose Faculty Workload requires 45% of their time devoted to research and that they teach 12 credit hours per year. Excellent teaching and research are expected of both, but the quantity of research expected of the faculty member with the heavier teaching load may be less.

Workload and FAR documents should be taken into consideration when evaluating the candidate. In all cases, the criteria of "staffing needs of the department or institution" and "ability to work effectively with colleagues" are applied as preliminary filters. Because a certain amount of cooperation within the department is necessary, collegiality is a requirement.

All candidates for promotion to senior ranks (associate professor and professor) must meet approved departmental, college, and university criteria for achievement in each of the three areas of teaching; research, scholarly and creative activities; and service. Promotion in rank carries the implication of attainment of criteria as well as increasing levels of achievement in the discipline. Candidates for promotion to senior ranks are expected to demonstrate both a higher quality and a greater cumulative quantity of achievement in each of the three areas than are candidates for promotion to lower rank.

Candidates may present evidence of continuing professional development. Much of that evidence will be submitted in the sections on teaching, service, research, and scholarly and creative activity as indicated above. Additional evidence related to professional growth may include courses taken for credit, courses audited, seminars attended, and independent study activities. The candidate may present evidence, in the FAR, of contributions to institutional as well as to individually established goals in teaching, service, research, scholarly and creative activities.

The department looks favorably on candidates that are active and successful in supervising undergraduate and graduate research. Moreover, efforts by faculty members targeting student research, retention, graduation, under-represented minority participation, and student professional development are considered as valuable assets for promotion.

Teaching

Teaching is a fundamental activity for a faculty member at East Tennessee State University (ETSU). To apply for promotion, the faculty member is required to submit an application demonstrating that they are an effective teacher. Evaluation of instruction shall be based on the following criteria. Deficiencies in some criteria may be counterbalanced by superiority in others.

- No consistent concern based on student comments.
- Positive and supportive peer evaluations through class visits.
- Positive and supportive comments from knowledgeable students.
- How the candidate has improved teaching based on comments from peer evaluations.
- Command of subject matter.
- Ability to organize and present subject matter in a logical and meaningful way.
- Ability to motivate students.
- Curriculum and/or program development.
- Development of instructional techniques or teaching methods, including development of on-line teaching methods and/or courses.
- Mentoring of undergraduate, graduate or post-graduate students:
 - promote student research, scholarship, and creative activities.
 - successful direction in thesis or independent research projects.
 - effective research leadership of research projects intended in part to train students in research techniques.
- Books/published material in the area of teaching.
- Honors or other recognition for contributions to teaching.
- Considerations should include total number of preparations per semester, the number of courses per academic year, level of difficulty of the courses, the number of students assigned to the classes, and time and location of courses.

Research, Scholarly, and Creative Activities

Research is an essential requirement for promotion, except in the rare case where a faculty member has been hired with the understanding that their primary responsibility is teaching. Typically, publication in peer-reviewed journals is the best evidence of research. However, any of the following should be given credit:

- Publications: textbooks, books or chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews, and other related items. Self-published books are given credit pending on review letters of experts on the field (evaluating the relevance and contribution of such books). However, books under contract with a publishing company and articles in refereed journals, reviewed by recognized scholars, are looked upon more favorably than those that are not subjected to such rigorous examination.
- The Department of Mathematics and Statistics looks more favorably on publications in high quality journals than those without such high standards.

- Development of open-source materials (e.g. software, books, manuals, tutorials, etc.).
- Ownership of patents, trademark, servicemark, or copyright.
- Actively presenting work at professional conferences. Invited talks (especially plenary or keynote addresses) are looked upon more favorably than other talks.
- Ongoing research as evidenced by submitted papers and papers in preparation.
- Active writing and submission of grant proposals. The Department of Mathematics and Statistics looks more favorably on funded grants.
- Review by outside experts may also be used.
- Honors or other recognition for contributions to research.

Service

Service is necessary for the department, university, and the profession to run smoothly. This being the case, evidence of service at least at the departmental level (including but not limited to formal or informal advisement of students) is expected. In addition, college or university service is strongly encouraged. Service to the discipline will also be recognized.

Expectations for Assistant Professor

- Must have a terminal degree.
- Adequately trained in the discipline.
- Ethical conduct.
- Collegiality.
- Teaching effectiveness.
- Promise of productive research, scholarly, and creative activity.
- Willingness to serve the needs of the department, school, and university.

Expectations for Associate Professor

Evidence of (a) high quality professional productivity which may lead to national recognition in the academic discipline or (b) high quality professional productivity that is consistent with the goals of ETSU. In addition, the following criteria are to be considered in the evaluation:

- Must have a terminal degree.
- Minimum experience: Tennessee Board of Regents Policy (<https://policies.tbr.edu/policies/faculty-promotion-universities>) will be followed.
- Teaching effectiveness.
- Demonstrated service to the department and college.
- Productivity in the area of research as well as evidence of continuing scholarly activity. Typically, this is represented by the candidate publishing in peer-reviewed journals since they were hired. However, grant writing, writing a textbook, professional presentations, and other activities listed under Research should be given credit.
- Collegiality within the department is important.
- Professional and Ethical Conduct is expected.

Expectations for Professor

Evidence of teaching excellence and superior contribution to student development, superior scholarly or creative activity, and superior professional service will contribute to the positive record of the candidate for advancement to the rank of professor. In addition, the following criteria are to be considered in the evaluation:

- Must have a terminal degree.
- A faculty member may apply for promotion to professor after having completed five full years in the rank of associate professor, provided that exceptions to the years-in-rank requirement may be made by the president under special circumstances.
- Teaching effectiveness.
- Significant productivity in the area of research. Typically, this is represented by the candidate publishing in peer-reviewed journals since they were promoted to associate professor. However, grant writing, writing a textbook, professional presentations, and other activities listed under Research should be given credit.
- Professional service: Must be a leader in the profession. Evidence of this includes but is not limited to: invitation to be a plenary speaker at a regional, national or international conference.
- Collegiality and leadership within the department are important.
- Service at the departmental, college, and university level is required.
- Ethical conduct: evidence of good character, mature attitude, and professional integrity, and a high degree of academic maturity and responsibility.
- In addition, the candidate's body of work as a whole as well as their professional reputation should be taken into account.

Departmental Criteria for Tenure

Last updated: 5/2/2015

Overview

The following descriptions are general requirements for a "typical" candidate. However, the needs of the department and the strengths of the individual are more important than any specific guidelines. It is the spirit of this document that matters, and that spirit is to have faculty who will meet the needs of our students in their quest for the best higher education that the State of Tennessee can provide, faculty who will through their service meet the needs of the university, and faculty who through their research, scholarly and creative activities will advance the disciplines of mathematics and statistics.

The Department of Mathematics and Statistics' guidelines for the evaluation of faculty for tenure are based on each individual's Faculty Activity Report (FAR) data and the percentage of effort in the Faculty Workload (as determined by the Chair) during the years prior to the personnel action. These criteria may vary from individual to individual. For example, if a faculty member and the Chair have agreed that 22.5% of his/her time should be devoted to research (Note: this corresponds to 18 credits of teaching per year), then the research factor in the evaluation should count 22.5%. In this case, the evaluation of the quantity and quality of research will reflect the percentage allocated to the research component. Using this scheme it is possible for a faculty member with less research than another to be evaluated higher in the research component. For example, if a person whose research component was 22.5% published one paper in a peer-reviewed journal, submitted a paper in a peer-reviewed journal, and gave an invited talk at a conference during a year, he/she could get an "excellent" research rating, whereas someone with 45% indicated for research might only get a "very good" for the same results. In addition, the Faculty Workload documents, FAR documents and Mid-tenure review should be taken into consideration when evaluating the candidate.

In all cases, the criteria of "staffing needs of the department or institution" and "ability to work effectively with colleagues" are applied as preliminary filters. In this sense, if the granting of tenure to an individual is detrimental to the future of the department or university, then regardless of the performance of the individual, it is doubtful that the department would support such an action. Because a certain amount of cooperation within the department is necessary, collegiality is a requirement.

All candidates for tenure must meet approved departmental, college, and university criteria for achievement in each of the three areas of teaching; research, scholarly and creative activities; and service.

Candidates may present evidence of continuing professional development. Much of that evidence will be submitted in the sections on teaching, service, research, and scholarly and creative activity as indicated above. Additional evidence related to professional growth may include courses taken for credit, courses audited, seminars attended, and independent study activities. The candidate may present evidence, in the FAR, of contributions to institutional as well as to individually established goals in teaching, service, research, scholarly and creative activities.

The department looks favorably on candidates that are active and successful in supervising undergraduate and graduate research. Moreover, efforts by faculty members targeting student research, retention, graduation, under-represented minority participation, and student professional development are considered as valuable assets for tenure.

Teaching

Teaching is a fundamental activity for a faculty member at East Tennessee State University (ETSU). To apply for tenure, the faculty member is required to submit an application demonstrating that they are an effective teacher. Evaluation of instruction shall be based on the following criteria. Deficiencies in some criteria may be counterbalanced by superiority in others.

- No consistent concern based on student comments.
- Positive and supportive peer evaluations through class visits.
- Positive and supportive comments from knowledgeable students.
- How the candidate has improved teaching based on comments from peer evaluations.
- Command of subject matter.
- Ability to organize and present subject matter in a logical and meaningful way.
- Ability to motivate students.
- Curriculum and/or program development.
- Development of instructional techniques or teaching methods, including development of on-line teaching methods and/or courses.
- Mentoring of undergraduate, graduate or post-graduate students:
 - promote student research, scholarship, and creative activities.
 - successful direction in thesis or independent research projects.
 - effective research leadership of research projects intended in part to train students in research techniques.
- Books/published material in the area of teaching.
- Honors or other recognition for contributions to teaching.
- Considerations should include total number of preparations per semester, the number of courses per academic year, level of difficulty of the courses, the number of students assigned to the classes, and time and location of courses.

Research, Scholarly, and Creative Activities

Research is an essential requirement for tenure, except in the rare case where a faculty member has been hired with the understanding that their primary responsibility is teaching. Typically, publication in peer-reviewed journals is the best evidence of research. However, any of the following should be given credit:

- Publications: textbooks, books or chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews, and other related items. Self-published books are given credit pending on review letters of experts on the field (evaluating the relevance and contribution of such books). However, books under contract with a publishing company and articles in refereed journals, reviewed by recognized scholars, are looked upon more favorably than those that are not subjected to such rigorous examination.
- The Department of Mathematics and Statistics looks more favorably on publications in

high quality journals than those without such high standards.

- Development of open-source materials (e.g. software, books, manuals, tutorials, etc.).
- Ownership of patents, trademark, servicemark, or copyright.
- Actively presenting work at professional conferences. Invited talks (especially plenary or keynote addresses) are looked upon more favorably than other talks.
- Ongoing research as evidenced by submitted papers and papers in preparation.
- Active writing and submission of grant proposals. The Department of Mathematics and Statistics looks more favorably on funded grants.
- Review by outside experts may also be used.
- Honors or other recognition for contributions to research.

Service

Service is necessary for the department, university, and the profession to run smoothly. This being the case, evidence of service at least at the departmental level (including but not limited to formal or informal advisement of students) is expected. In addition, college or university service is strongly encouraged. Service to the discipline will also be recognized.

Department of Mass Communication Criteria for Promotion

(Revised from Department of Communication document 7.8.05)

Discipline-Specific Expectations

The department values colleagues who participate fully and candidly in the life of the department. To encourage such participation, we adopt the following view of collegiality. Candidates for promotion do not bear the initial burden of proof in documenting their collegiality. Collegiality will be assumed unless evidence to the contrary exists. Lack of collegiality means continued unwillingness to perform appropriate work assignments or to work cooperatively with other faculty.

Faculty member's responsibility for documentation and communication

Candidates shall use the dossier to present a well-organized and well-supported case that their teaching, research/creative activity, and service warrant promotion. They shall provide the most reliable evidence available to document the quality of their teaching, research/creative activity, and service.

The department tenure and promotion committee and the department chair may seek additional information beyond what is presented in an applicant's dossier, but they are not obliged to do so (if, for instance, the dossier is poorly documented). If those evaluating an application gain relevant information not in the dossier, they will share it in writing with the applicant, who may respond orally and in writing. If subsequent discussion warrants, both the information and the applicant's response will be included in the dossier.

General expectation for promotion to senior ranks

Because the department seeks to create an environment of mutual support and cooperation between faculty, we do not want to employ methods of faculty evaluation that imply competition among faculty.

Basic Expectations for rank of assistant professor

The disciplines represented within the department hold that professional career accomplishments could be substituted for academic preparation for promotion. Thus exceptions to the traditional degree requirements for promotion should be considered and allowed when sufficient evidence of professional experience can be presented.

In the department, the appropriate terminal degree for performance faculty is the MFA. The Ph.D. is the appropriate terminal degree for others. An Ed.D. is also acceptable if the body of course work was completed in the disciplines own content area.

Clarification of criteria pertaining to teaching as they relate to consideration for promotion in rank

The department maintains that the burden of proof rests with applicants for promotion to document their effectiveness in teaching, research/creative activity, and service.

To be recommended for promotion candidates must demonstrate their mastery of relevant subject matter, their competence as teachers, and their commitment to teaching as a central element of the academic life.

While a variety of subjects are taught in the department, some elements define the quality of teaching regardless of subject matter. The department values teaching methods that:

- a. intellectually challenge students of all ability levels
- b. require students to use and develop critical thinking skills
- c. require students to use and develop oral communication skills
- d. require students to use and develop writing skills
- e. require students to use and develop creative skills
- f. require students to use and develop research skills
- g. require students to use and develop computer or technology skills
- h. help students apply skills and concepts outside the classroom
- i. challenge students to assume responsibility for their own learning behavior
- j. are informed by thorough and up to date knowledge of the subject
- k. present material in a clear, well organized manner
- l. display the instructor's enthusiasm for the subject matter
- m. display instructor work habits that can serve as a model for students
- n. are responsive to relevant feedback from students or peers
- o. are shared with colleagues to help them improve their teaching

It is expected that an applicant will accomplish some, but not all, of these elements of good teaching.

The following teaching activities are considered useful to the department and university, although they do not necessarily reflect the quality of teaching and some may hurt it:

- a. teaching large classes
- b. teaching more than two preparations per term
- c. teaching new preparations
- d. assuming extra teaching duties
- e. supervising interns, independent studies, labs, or practica
- f. directing graduate work (theses, etc.), serving on graduate committees, teaching graduate courses
- g. teaching night courses and off-campus courses

- h. teaching Internet and ITV sections
- i. teaching honors courses or courses that support the core
- j. cutting costs of teaching

Candidates must document teaching effectiveness by citing the following kinds of evidence:

- a. samples of syllabi, assignments, tests used
- b. chair evaluations of teaching in the FAS
- c. Student Assessment of Instruction (SAI) results.
- d. peer evaluation of teaching, preferably based on multiple visits to classes, examination of teaching materials, and interviews with currently enrolled students or with alumni
- e. reports of teaching workloads

In addition, candidates may further document teaching effectiveness by citing the following kinds of evidence:

- a. examples of lecture notes and other teaching materials
- b. copies of written or other assignments by students, showing quality of student work and level of feedback provided by instructor
- c. exit interviews with students or alumni, conducted by the chair or other appointed faculty
- d. testimonials from students, former students and others acquainted with the candidate's teaching
- e. evidence of achievements by recent graduates of the program, demonstrating the quality of the training they received
- f. attendance at professional conferences and other teaching workshops, noting skills or material learned
- g. dissemination of teaching methods through workshops, publications, etc.
- h. written student comments on SAIs, especially when included by the chair, noting that all comments for a given class are included in the dossier

The more kinds of evidence a candidate provides, the less critical any one kind of evidence becomes.

Regarding the use of SAIs in promotion decisions, SAIs will be used primarily to determine whether students respond "favorably" or "unfavorably" to an instructor's methods. The department will not make fine tuned judgments about the quality of teaching based on SAI scores. Furthermore, the department acknowledges that even superior instructors may not receive unanimously favorable ratings, and that unanimous popularity is not necessarily evidence of teaching quality.

Clarification of criteria pertaining to research, scholarly, and creative activities as they relate to consideration for promotion in rank

Expectations for research/creative activity rise in promotion cases as the rank rises from lecturer to assistant professor, associate professor, and professor.

The department stresses the quality of research and/or creative efforts over the quantity when making recommendations about promotion.

In the department, research is defined as the development and validation of new knowledge. Research involves significant humanistic or scientific studies of communication using historical, philosophical, economic, political, sociological, psychological and technological perspectives.

Criteria considered when evaluating the quality of research include:

- a. originality of study
- b. actual or likely impact of the work
- c. difficulty or complexity of the subject matter
- d. the significance of subject matter covered
- e. thoroughness of analysis
- f. clarity of expression

In the department, creative achievement is understood to mean significantly original or imaginative accomplishment in the arts or professions. Creative achievement may take a variety of forms, including (but not limited to) journalistic writing or broadcasts, photographic presentations or graphic designs, theatrical productions, documentaries, scripts, stage design, acting performances, and discipline specific computer programs.

Creative achievement should be of such nature as to lead to new understandings of a field and/or to break new ground in modes of expression in a field. While columns or brief articles or broadcasts in the mass media will be evaluated under professional service, works involving a thorough examination of a problem or issue based on investigative research and presented in any mass medium may be considered for evaluation as scholarship or creative activity.

To qualify as research or creative achievement, the results of the endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question.

The following list outlines some of the specific forms scholarly and creative achievement to be considered for review may take:

- a. books
- b. chapters in books
- c. commissions or awards resulting from competitive peer review

- d. editing projects
- e. exhibitions
- f. grants obtained
- g. invited lectures, seminars, or artist-or scholar-in-residences
- h. journal articles
- i. memoranda or briefs of law
- j. monographs
- k. presentations at state, regional, national, or international meetings
- l. published abstracts or proceedings
- m. published book reviews and reviews of others' work
- n. theatrical and radio/television and film productions, including acting, direction, script, and stage design.
- o. Videotapes or films in distribution

Refereed, juried or invited work should carry more weight than non-refereed work.

In addition to evaluation of the quality of individual publications and presentations, the faculty member's total production will be judged with consideration of the following criteria:

- a. regularity of publication or presentation
- b. creative and intellectual development over time
- c. development of the work into a program of research or creative endeavor
- d. reputation in the field

By way of further clarification, the following factors will also influence evaluations of the quality of research/creative activity:

- a. prestige of the medium of dissemination will be considered
- b. refereed/juried publications or creative projects will normally receive more weight than nonrefereed/nonjuried publications or creative projects, but prestige will be a moderating factor
- c. publication in appropriate academic or professional journals will normally carry more weight than presentations before professional meetings

Candidates shall provide evidence not only of research/creative activity, but also of the quality of this activity. To this end, candidates for tenure or promotion are strongly urged to request external peer reviews of their research/creative activity, to be conducted following the guidelines of the College of Arts and Sciences. Other evidence of the quality of research/creative activity may include:

- a. rejection rates of publications and similar evidence for juried creative activities
- b. requests for reprints for research or for dissemination of creative work
- c. honors or awards for research/creative activity
- d. chair evaluations of research/creative activity in the FAS
- e. citations of research or creative achievements by others in the field

The department encourages its faculty to remain current in their disciplines and maintain close working ties with practitioners in the field. Accordingly, we value faculty development activities such as participating in temporary professional assignments or internships and attending professional conferences. Applicants for tenure may cite such activities in at least two parts of their dossiers--teaching (insofar as the activities are shown to contribute to improved teaching) and research/creative activity (as evidence of applicants' regional/national reputation in their discipline). To receive full credit for such activities, candidates shall provide evidence of the prestige or importance of the assignment and evidence of the quality of work performed. If specific research or creative accomplishments occur during internships or other professional development activities, these may be cited in the usual manner.

Clarification of criteria pertaining to professional service as they relate to consideration for promotion in rank

The department values service to students, colleagues, the university, the discipline or profession, the community, and the region. It does not value some levels of service more than others. To be recommended for promotion, faculty must engage in some form of service, but not necessarily all kinds. Junior, tenure-track faculty are expected to provide some service to the department, university, or external groups, but given expectations that these faculty should develop their teaching skills and research/creative programs, they are not expected or advised to devote major portions of their time to service activities.

To receive full credit for service, candidates shall document the quality of their service. The following kinds of evidence may be used to do so:

- a. documentation of tasks performed as an adviser of a student organization, and of organizational accomplishments the advisor helped achieve
- b. documentation of attendance and tasks performed as a member of departmental or university committees
- c. evaluations by superiors and subordinates of administrative performance
- d. descriptions of professionally relevant service to community, discipline or profession
- e. documentation of duties and achievements when serving as an officer or member of a professional organization
- f. chair evaluations of service in the FAS

Professional service will be valued more highly if candidates can document how such work has enhanced their teaching, resulted in original research/creative activity, or otherwise directly benefited the university (e.g., through creation of internships for students).

Demonstrate willingness and ability to advise students when necessary.¹

¹ Added May 2015 per College of A&S request

Department of Mass Communication Criteria for Tenure

(Revised from Department of Communication document 7.8.05)

The department holds that the burden of proof rests with applicants for tenure to document their effectiveness in teaching, research/creative activity, and service.

To be recommended for tenure candidates must demonstrate their mastery of relevant subject matter, their competence as teachers, and their commitment to teaching as a central element of the academic life.

While a variety of subjects are taught in the department, some elements define the quality of teaching regardless of subject matter. The department values teaching methods that:

- a. intellectually challenge students of all ability levels
- b. require students to use and develop critical thinking skills
- c. require students to use and develop oral communication skills
- d. require students to use and develop writing skills
- e. require students to use and develop creative skills
- f. require students to use and develop research skills
- g. require students to use and develop computer or technology skills
- h. help students apply skills and concepts outside the classroom
- i. challenge students to assume responsibility for their own learning behavior
- j. are informed by thorough and up to date knowledge of the subject
- k. present material in a clear, well organized manner
- l. display the instructor's enthusiasm for the subject matter
- m. display instructor work habits that can serve as a model for students
- n. are responsive to relevant feedback from students or peers
- o. are shared with colleagues to help them improve their teaching

It is expected that an applicant will accomplish some, but not all, of these elements of good teaching.

The following teaching activities are considered useful to the department and university, although they do not necessarily reflect the quality of teaching and some may hurt it:

- a. teaching large classes
- b. teaching more than two preparations per term
- c. teaching new preparations
- d. assuming extra teaching duties
- e. supervising interns, independent studies, labs, or practica
- f. directing graduate work (theses, etc.), serving on graduate committees, teaching graduate courses
- g. teaching night courses and off-campus courses
- h. teaching Internet and ITV course sections

- i. teaching honors courses or courses that support the core
- j. increasing the efficiency of teaching

Candidates must document teaching effectiveness by citing the following kinds of evidence:

- a. samples of syllabi, assignments, tests used
- b. chair evaluations of teaching in the FAS
- c. Student Assessment of Instruction (SAI) results.
- d. peer evaluation of teaching, preferably based on multiple visits to classes, examination of teaching materials, and interviews with currently enrolled students or with alumni
- e. reports of teaching workloads

In addition, candidates may further document teaching effectiveness by citing the following kinds of evidence:

- a. examples of lecture notes and other teaching materials
- b. copies of written or other assignments by students, showing quality of student work and level of feedback provided by instructor
- c. exit interviews with students or alumni, conducted by the chair or other appointed faculty
- d. testimonials from students, former students and others acquainted with the candidate's teaching
- e. evidence of achievements by recent graduates of the program, demonstrating the quality of the training they received
- f. attendance at professional conferences and other teaching workshops, noting skills or material learned
- g. dissemination of teaching methods through workshops, publications, etc.
- h. written student comments on SAIs, especially when included by the chair, noting that all comments for a given class are included in the dossier

The more kinds of evidence a candidate provides, the less critical any one kind of evidence becomes.

Regarding the use of SAIs in tenure decisions, SAIs will be used primarily to determine whether students respond "favorably" or "unfavorably" to an instructor's methods. The department will not make fine tuned judgments about the quality of teaching based on SAI scores. Furthermore, the department acknowledges that even superior instructors may not receive unanimously favorable ratings, and that unanimous popularity is not necessarily evidence of teaching quality.

Effectiveness in other academic assignments

Candidates shall use the dossier to present a well-organized and well-supported case that their teaching, research/creative activity, and service warrant tenure or promotion. They shall provide the most reliable evidence available to document the quality of their teaching, research/creative activity, and service.

The department tenure and promotion committee and the department chair may seek additional information beyond what is presented in an applicant's dossier, but they are not obliged to do so (if, for instance, the dossier is poorly documented). If those evaluating an application gain relevant information not in the dossier, they will share it in writing with the applicant, who may respond orally and in writing. If subsequent discussion warrants, both the information and the applicant's response will be included in the dossier.

Professional degrees, awards, and achievements

The importance of degrees, awards, and achievements increases in direct relationship to the prestige of the specific honor. Thus national honors are rated more influential than regional awards.

Service of a professional nature to the institution, the community, and the state

The department values service to students, colleagues, the university, the discipline or profession, the community, and the region. It does not value some levels of service more than others. To be recommended for tenure, candidates must engage in some form of service, but not necessarily all kinds.

To receive full credit for service, candidates shall document the quality of their service. The following kinds of evidence may be used to do so:

- a. documentation of tasks performed as an adviser of a student organization, and of organizational accomplishments the advisor helped achieve
- b. documentation of attendance and tasks performed as a member of departmental or university committees
- c. evaluations by superiors and subordinates of administrative performance
- d. descriptions of professionally relevant service to community, discipline or profession
- e. documentation of duties and achievements when serving as an officer or member of a professional organization
- f. chair evaluations of service in the FAS

Professional service will be valued more highly if candidates can document how such work has enhanced their teaching, resulted in original research/creative activity, or otherwise directly benefited the university (e.g., through creation of internships for students).

Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit.

Demonstrate willingness and ability to advise students when necessary.¹

¹ Added May 2015 per College of A&S request

The department values colleagues who participate fully and candidly in the life of the department. To encourage such participation, we adopt the following view of collegiality. Candidates for tenure do not bear the initial burden of proof in documenting their collegiality. Collegiality will be assumed unless evidence to the contrary exists. Lack of collegiality means continued unwillingness to perform appropriate work assignments or to work cooperatively with other faculty.

Research, scholarly and creative activity

To be recommended for tenure, faculty must conduct and disseminate original research or creative activity that contributes to the development of their respective disciplines. Candidates for tenure must demonstrate success in producing research or creative projects that have met the test of review by experts in the field, as well as promise for future growth.

The department stresses the quality of research and/or creative efforts over the quantity when making recommendations about promotion.

In the department, research is defined as the development and validation of new knowledge. Research involves significant humanistic or scientific studies of communication using historical, philosophical, economic, political, sociological, psychological and technological perspectives.

Criteria considered when evaluating the quality of research include:

- a. originality of study
- b. actual or likely impact of the work
- c. difficulty or complexity of the subject matter
- d. the significance of subject matter covered
- e. thoroughness of analysis
- f. clarity of expression

In the department, creative achievement is understood to mean significantly original or imaginative accomplishment in the arts or professions. Creative achievement may take a variety of forms, including (but not limited to) journalistic writing or broadcasts, photographic presentations or graphic designs, theatrical productions, documentaries, scripts, design, acting performances, and discipline specific computer programs.

Creative achievement should be of such nature as to lead to new understandings of a field and/or to break new ground in modes of expression in a field. While columns or brief articles or broadcasts in the mass media will be evaluated under professional service, works involving a thorough examination of a problem or issue based on investigative research and presented in any mass medium may be considered for evaluation as scholarship or creative activity.

To qualify as research or creative achievement, the results of the endeavor must be disseminated and subject to critical peer evaluation and/or professional acceptance in a manner appropriate to the field in question.

The following alphabetized list outlines some of the specific forms scholarly and creative achievement to be considered for review may take. This list is illustrative and not exhaust and contains:

- books
- chapters in books
- commissions or awards resulting from competitive peer review
- editing projects
- exhibitions
- grants obtained
- invited lectures, seminars, or artist-or scholar-in-residences
- journal articles
- memoranda or briefs of law
- monographs
- presentations at state, regional, national, or international meetings
- published abstracts or proceedings
- published book reviews and reviews of others' work
- theatrical and radio/television and film productions, including, but not limited to, acting, directing, writing, producing, managing, choreographing, and designing.
- Videotapes or films in distribution

Refereed, juried or invited work should carry more weight than non-refereed work.

In addition to evaluation of the quality of individual publications and presentations, the faculty member's total production will be judged with consideration of the following criteria:

- a. regularity of publication or presentation
- b. creative and intellectual development over time
- c. development of the work into a program of research or creative endeavor
- d. reputation in the field

By way of further clarification, the following factors will also influence evaluations of the quality of research/creative activity:

- a. prestige of the level of dissemination will be considered
- b. refereed/juried publications or creative projects will normally receive more weight than nonrefereed/nonjuried publications or creative projects, but prestige will be a moderating factor
- c. publication in appropriate academic or professional journals will normally carry more weight than presentations before professional meetings

Candidates shall provide evidence not only of research/creative activity, but also of the quality of this activity. To this end, candidates for tenure or promotion are strongly urged to request external peer reviews of their research/creative activity, to be conducted following the guidelines of the College of Arts and Sciences. Other evidence of the quality of research/creative activity may include:

- a. rejection rates of publications and similar evidence for juried creative activities
- b. requests for reprints for research or for dissemination of creative work
- c. honors or awards for research/creative activity
- d. chair evaluations of research/creative activity in the FAS
- e. citations of research or creative achievements by others in the field

The department encourages its faculty to remain current in their disciplines and maintain close working ties with practitioners in the field. Accordingly, we value faculty development activities such as participating in temporary professional assignments or internships and attending professional conferences. Applicants for tenure may cite such activities in at least two parts of their dossiers — teaching (insofar as the activities are shown to contribute to improved teaching) and research/creative activity (as evidence of applicants' regional/national reputation in their discipline). To receive full credit for such activities, candidates shall provide evidence of the prestige or importance of the assignment and evidence of the quality of work performed. If specific research or creative accomplishments occur during internships or other professional development activities, these may be cited in the usual manner.



East Tennessee State University

Department of Music

Clarification & Weighting of Criteria for Promotion

Updated: April 2015

The Department of Music provides specialized training in music to prepare students for professional work, advanced study, and teaching. The varied functions of music in today's world present many opportunities, such as teaching, performance, conducting, and composing. The Department of Music seeks to provide the best possible environment for music training, one that fosters an understanding of the arts and an attitude of respect for their potential contribution to society. The curriculum of the Department is designed to present the learning of music as an integrated whole. Solo and ensemble performance, theoretical and historical studies, concert attendance, and electives are intended to provide a balanced education.

In addition to preparation for the various professions of music, the department provides general music studies and performing opportunities for the non-music major, for the University, and for the community.

The faculty and students of the Department of Music are active in the musical affairs of the region, state and nation. The faculty share their expertise with local, regional, and state constituencies, as well as contributing to workshops, performances, publications, adjudication, and leadership in professional organizations.

The Department of Music adheres to all university policies for tenure and promotion. The information presented herein represents only those policies for which the Department has specific guidelines. University policy numbers are cited for reference purposes.

Basic Expectations for Rank of Assistant Professor

2.4.7 Those faculty members promoted to or hired at the rank of Assistant Professor should meet the following criteria:

2.4.7.1 Ph.D; D.M.A.; D.M.; D.M.Ed. are considered terminal degrees in music; M.M. or M.A. may be considered terminal in a performance area.

Each faculty member needs to be evaluated as an individual without regard to degree attainment; however, in place of the doctorate the faculty member must be judged by his/her peers to have achieved Doctoral Equivalency in the profession and/or educational world. Equivalency is considered to be extensive successful performance and teaching experience judged by the faculty to be equal in experience to doctoral study.

Basic Expectations for Rank of Associate Professor

2.4.8 Those faculty members promoted to or hired at the rank of Associate Professor should meet the following criteria:

2.4.8.1 Ph.D; D.M.A.; D.M.; D.M.Ed. are considered terminal degrees in music; M.M. or M.A. may be considered terminal in a performance area.

Each faculty member needs to be evaluated as an individual without regard to degree attainment; however, in place of the doctorate the faculty member must be judged by his/her peers to have achieved Doctoral Equivalency in the profession and/or educational world. Equivalency is considered to be extensive successful performance and teaching experience judged by the faculty to be equal in experience to doctoral study.

Basic Expectations for Rank of Professor

2.4.9 Those faculty members promoted to or hired at the rank of Professor should meet the following criteria:

2.4.9.1 Ph.D; D.M.A.; D.M.; D.M.Ed. are considered terminal degrees in music; M.M. or M.A. may be considered terminal in a performance area.

Each faculty member needs to be evaluated as an individual without regard to degree attainment; however, in place of the doctorate the faculty member must be judged by his/her peers to have achieved Doctoral Equivalency in the professional and/or educational world. Equivalency is considered to be extensive successful performance and teaching experience judged by the faculty to be equal in experience to doctoral study.

Clarification of Criteria pertaining to Teaching as they relate to Consideration for Promotion in Rank

2.4.4.1 This will be evaluated by peer review.

2.4.4.2 This will be evaluated by peer review.

2.4.4.3 This will be evaluated by peer review.

2.4.4.4 Evaluated by departmental document review committee (this may be the peer review committee). This section should include use of new technology in teaching.

2.4.4.5 Includes successful direction of student recital, membership on student recital committees, observations of student teachers, and the supervision of graduate assistants.

2.4.4.6 See 2.4.5.1 for hierarchy of importance.

2.4.4.7 This will be evaluated by peer review and student evaluation.

2.4.4.10 Includes consideration of teaching classes with □intensive□designations (technology, oral communication, writing), development of new courses, substantial revision of existing courses, development of new repertoire (for use with students), participating in proficiency and jury examinations.

Clarification of Criteria pertaining to Research, Scholarly, and Creative Activities

as they relate to Consideration for Promotion in Rank

2.4.5.1 Publications: Text (ranked from highest to lowest)

- Book
- Textbooks
- Chapters in books
- Articles in refereed journals
- Articles in non-refereed journals
- Monographs
- Refereed conference proceedings
- Non-refereed conference proceedings
- Book reviews; Performance reviews; Recording reviews; Score reviews - all for refereed journals

2.4.5.1.2 Publications: Compositions (ranked from highest to lowest)

- Authenticated publication of a composition
- Authenticated publication of an arrangement

2.4.5.1.3 Publications: Recordings (ranked from highest to lowest)

- Authenticated recording of a performance by the candidate;
- Authenticated recording of a group conducted by the candidate;
- Authenticated recording of a group coached by the candidate

2.4.5.1.4 Publications: others (ranked from highest to lowest)

- Invited pre-publication reviewer for a textbook or other published document
- Authenticated on-line publications (the scope of this may merit it being placed higher in the ranking)

2.4.5.2 Papers presented. The significance of the content and selection process should be considered in the process of reviewing such presentations (ranked in order, highest to lowest)

- Papers presented at an international professional meeting
- Paper presented at a national professional meeting
- Papers presented at a regional professional meeting
- Papers presented at a state professional meeting
- Papers presented at a local professional meeting
- Research presented at a conference poster session
- Serving as a panelist or moderator for a conference

2.4.5.3 Performances: (Ranked in order, highest first) Performances may be given by the candidate, conducted by the candidate, or given by a group coached by the candidate.

- Invited by internationally recognized members or groups within the discipline
- Invited by nationally recognized members or groups within the discipline
- Invited by regionally recognized members or groups within the discipline
- Local performances. These must be reviewed by an outside expert selected by the department chair.
- Long-term conductorship of a professional ensemble (the scope of the assignment may warrant this category receiving a higher ranking)

2.4.5.5 Published program notes fall within this category.

**Clarification of Criteria pertaining to Professional Service
as they relate to Consideration for Promotion in Rank**

2.4.6.1 This category is split into two groups: group one has a higher weighting than group two.

Group One:

- Participation in University governance
- University committee leadership role
- University committee participation
- College committee leadership role
- College committee participation
- Departmental committee leadership role
- Departmental committee participation
- Recruitment activities
- Advisement of students

Group Two:

- Administrative service
- Service to student organizations

2.4.6.2 Service to one's discipline or to the teaching profession.

- Leadership in professional organizations at
 - International
 - National
 - Regional
 - State level
- Chairing a session at a conference
- Adjudication
- Conducting master classes and workshops
- Membership in professional organization at
 - International
 - National
 - Regional
 - State level

2.4.6.3 Outreach or public service.

- Making presentations related to one's discipline
- Providing service performances (e.g. playing for the Rotary Club)
- Providing professional advice and counsel to groups or individuals
- Providing other types of service, particularly in the University's service area



East Tennessee State University

Department of Music

Clarification & Weighting of Criteria for Tenure

Updated April 2015

The Department of Music provides specialized training in music to prepare students for professional work, advanced study, and teaching. The varied functions of music in today's world present many opportunities, such as teaching, performance, conducting, and composing. The Department of Music seeks to provide the best possible environment for music training, one that fosters an understanding of the arts and an attitude of respect for their potential contribution to society. The curriculum of the Department is designed to present the learning of music as an integrated whole. Solo and ensemble performance, theoretical and historical studies, concert attendance, and electives are intended to provide a balanced education.

In addition to preparation for the various professions of music, the department provides general music studies and performing opportunities for the non-music major, for the University, and for the community.

The faculty and students of the Department of Music are active in the musical affairs of the region, state and nation. The faculty share their expertise with local, regional, and state constituencies, as well as contributing to workshops, performances, publications, adjudication, and leadership in professional organizations.

The Department of Music adheres to all university policies for tenure and promotion. The information presented herein represents only those policies for which the Department has specific guidelines. University policy numbers are cited for reference purposes.

2.3.8.2 Teaching These will all be evaluated through the use of: (ranked in order of importance)

- Peer Review
- Faculty Activities System data
- Student Assessment of Instruction

2.3.8.3 This will be evaluated through the use of: (ranked in order of importance)

- Departmental Document Review committee (this may be the same as the Peer Review committee).
- Faculty Activities System data
- Student Assessment of Instruction

In addition the following items may be considered as appropriate:

Direction of projects: (Ranked in order)

- Successful direction of dissertations
- Successful direction of theses

- Successful direction of independent research projects (such as honors theses); successful direction of student recitals; supervision of student teachers; supervision of graduate assistants; membership on student recital committees; membership on dissertation and thesis committees

Development and Revision of Courses (ranked in order, highest first)

- Development of new courses with intensive (oral, writing, technology) designations
- Development of other new courses
- Substantial revision of courses with intensive designation
- Substantial revision of other courses

Number of Courses Taught

- Number of preparations per semester
- Level of difficulty of courses taught
- Number of courses taught with intensive designations
- Number of students per class only as this relates to faculty workload

Miscellaneous

- Participation in Proficiency and Jury exams

2.3.8.4 Professional Service

This category is split into two groups: group one has a higher weighting than group two.

Group One:

- Participation in University governance
- University Committee leadership role
- University Committee participation
- College committee leadership role
- College Committee participation
- Departmental Committee leadership role
- Departmental Committee participation
- Recruitment activities
- Advisement of students

Group Two:

- Administrative service
- Service to student organizations
- Leadership in professional organizations at
 - International
 - National
 - Regional
 - State level
- Chairing a session at a conference
- Adjudication
- Conducting master classes and workshops
- Membership in professional organization at
 - International
 - National
 - Regional
 - State level
- Making presentations related to one's discipline
- Providing service performances (e.g. playing for the Rotary Club)
- Providing professional advice and counsel to groups or individuals
- Providing other types of service, particularly in the University's service area

2.3.8.5 Research, scholarly and creative activity

Publications: Text (ranked from highest to lowest)

- Book
- Textbooks
- Chapters in books
- Articles in refereed journals
- Articles in non-refereed journals
- Monographs
- Refereed conference proceedings
- Non-refereed conference proceedings
- Book reviews; Performance reviews; Recording reviews; Score reviews - all for refereed journals

Publications: Compositions (ranked from highest to lowest)

- Authenticated publication or recording of a composition
- Inclusion of a composition or part of a composition in an authenticated anthology
- Authenticated publication or recording of an arrangement
- Inclusion of an arrangement or part of an arrangement in an authenticated anthology

Publications: Performance recordings (ranked from highest to lowest)

- Authenticated recording of a performance by the candidate; Authenticated recording of a group conducted by the candidate; Authenticated recording of a group coached by the candidate

Publications: others (ranked from highest to lowest)

- Invited pre-publication reviewer for a textbook or other published document

Authenticated on-line publications (the scope of this may merit it being placed higher in the ranking)

Papers presented. The significance of the content and selection process should be considered in the process of reviewing such presentations (ranked in order, highest to lowest)

- Papers presented at an international professional meeting
- Paper presented at a national professional meeting
- Papers presented at a regional professional meeting
- Papers presented at a state professional meeting
- Papers presented at a local professional meeting
- Research presented at a conference poster session
- Serving as a panelist or moderator for a conference

Performances: Ranked in order, highest first) Performances may be given by the candidate, conducted by the candidate, given by a group coached by the candidate (this includes composers producing performances of their own works). PREMIERES of works (for both composers and performers) are considered more significant than other performances

- Invited by internationally recognized members or groups within the discipline
- Invited by nationally recognized members or groups within the discipline
- Invited by regionally recognized members or groups within the discipline
- Long-term conductorship of a professional ensemble (the scope of the assignment may warrant this category receiving a higher ranking)
- Local performances. In the absence of performances in any of the above categories, at least two local performances must be reviewed by an outside expert selected by the department chair.

Research in progress: Verification of stages of development is mandatory.

Published program notes should be included in this section.

Department of Communication & Performance Criteria for Promotion

REVISED 5-16-15

Discipline-Specific Expectations

The department values colleagues who participate fully and candidly in the life of the department. To encourage such participation, we adopt the following view of collegiality. Candidates for promotion do not bear the initial burden of proof in documenting their collegiality. Collegiality will be assumed unless evidence to the contrary exists. Lack of collegiality means continued unwillingness to perform appropriate work assignments or to work cooperatively with other faculty.

Faculty member's responsibility for documentation and communication

Candidates shall use the dossier to present a well-organized and well-supported case that their teaching, research/creative activity, and service warrant promotion. They shall provide the most reliable evidence available to document the quality of their teaching, research/creative activity, and service.

The department tenure and promotion committee and the department chair may seek additional information beyond what is presented in an applicant's dossier, but they are not obliged to do so (if, for instance, the dossier is poorly documented). If those evaluating an application gain relevant information not in the dossier, they will share it in writing with the applicant, who may respond orally and in writing. If subsequent discussion warrants, both the information and the applicant's response will be included in the dossier.

General expectation for promotion to senior ranks

Because the department seeks to create an environment of mutual support and cooperation between faculty, we do not want to employ methods of faculty evaluation that imply competition among faculty.

Basic Expectations for rank of assistant professor

2.4.7

The disciplines represented within the department hold that professional career accomplishments could be substituted for academic preparation for promotion. Thus exceptions to the traditional degree

requirements for promotion should be considered and allowed when sufficient evidence of professional experience can be presented.

In the department, the appropriate terminal degree for performance faculty is the MFA. The Ph.D. is the appropriate terminal degree for others. An Ed.D. is also acceptable if the body of course work was completed in the disciplines own content area.

Clarification of criteria pertaining to teaching as they relate to consideration for promotion in rank

2.4.4

The department maintains that the burden of proof rests with applicants for promotion to document their effectiveness in teaching, research/creative activity, and service.

To be recommended for promotion candidates must demonstrate their mastery of relevant subject matter, their competence as teachers, and their commitment to teaching as a central element of the academic life.

While a variety of subjects are taught in the department, some elements define the quality of teaching regardless of subject matter.

The department values teaching methods that:

- a. intellectually challenge students of all ability levels
- b. require students to use and develop critical thinking skills
- c. require students to use and develop oral communication skills
- d. require students to use and develop writing skills
- e. require students to use and develop creative skills
- f. require students to use and develop research skills
- g. require students to use and develop computer or technology skills
- h. help students apply skills and concepts outside the classroom
- i. challenge students to assume responsibility for their own learning behavior
- j. are informed by thorough and up to date knowledge of the subject
- k. present material in a clear, well organized manner
- l. display the instructor's enthusiasm for the subject matter
- m. display instructor work habits that can serve as a model for students
- n. are responsive to relevant feedback from students or peers
- o. are shared with colleagues to help them improve their teaching

It is expected that an applicant will accomplish some, but not all, of these elements of good teaching.

The following teaching activities are considered useful to the department and university, although they do not necessarily reflect the quality of teaching and some may hurt it:

- a. teaching large classes
- b. teaching more than two preparations per term
- c. teaching new preparations
- d. assuming extra teaching duties
- e. supervising interns, independent studies, labs, or practica
- f. directing graduate work (theses, etc.), serving on graduate committees, teaching graduate courses
- g. teaching night courses and off-campus courses
- h. teaching Internet and ITV sections
- i. teaching honors courses or courses that support the core
- j. cutting costs of teaching

Candidates must document teaching effectiveness by citing the following kinds of evidence:

- a. samples of syllabi, assignments, tests used
- b. chair evaluations of teaching in the FAS
- c. Student Assessment of Instruction (SAI) results.
- d. peer evaluation of teaching, preferably based on multiple visits to classes, examination of teaching materials, and interviews with currently enrolled students or with alumni
- e. reports of teaching workloads

In addition, candidates may further document teaching effectiveness by citing the following kinds of evidence:

- a. examples of lecture notes and other teaching materials
- b. copies of written or other assignments by students, showing quality of student work and level of feedback provided by instructor
- c. exit interviews with students or alumni, conducted by the chair or other appointed faculty
- d. testimonials from students, former students and others acquainted with the candidate's teaching
- e. evidence of achievements by recent graduates of the program, demonstrating the quality of the training they received
- f. attendance at professional conferences and other teaching workshops, noting skills or material learned
- g. dissemination of teaching methods through workshops, publications, etc.
- h. written student comments on SAIs, especially when included by the chair, noting that all comments for a given class are included in the dossier

The more kinds of evidence a candidate provides, the less critical any one kind of evidence becomes.

Regarding the use of SAIs in promotion decisions, SAIs will be used primarily to determine whether students respond "favorably" or "unfavorably" to an instructor's methods. The department will not make fine tuned judgments about the quality of teaching based on SAI scores. Furthermore, the department acknowledges that even superior instructors may not receive unanimously favorable ratings, and that unanimous popularity is not necessarily evidence of teaching quality.

Clarification of criteria pertaining to research, scholarly, and creative activities as they relate to consideration for promotion in rank
2.4.5

Expectations for research/creative activity rise in promotion cases as the rank rises from lecturer to assistant professor, associate professor, and professor.

The department stresses the quality of research and/or creative efforts over the quantity when making recommendations about promotion.

In the department, research is defined as the development and validation of new knowledge. Research involves significant humanistic or scientific studies of communication using historical, philosophical, economic, political, sociological, psychological and technological perspectives.

Criteria considered when evaluating the quality of research include:

- a. originality of study
- b. actual or likely impact of the work
- c. difficulty or complexity of the subject matter
- d. the significance of subject matter covered
- e. thoroughness of analysis
- f. clarity of expression

In the department, creative achievement is understood to mean significantly original or imaginative accomplishment in the arts or professions. Creative achievement may take a variety of forms, including (but not limited to) journalistic writing or broadcasts, photographic presentations or graphic designs, theatrical productions, documentaries, scripts, stage design, acting performances, and discipline specific computer programs.

Creative achievement should be of such nature as to lead to new understandings of a field and/or to break new ground in modes of expression in a field. While columns or brief articles or broadcasts in the mass media will be evaluated under professional service, works involving a thorough examination of a problem or issue based on investigative research and presented in any mass medium may be considered for evaluation as scholarship or creative activity.

To qualify as research or creative achievement, the results of the endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question.

The following list outlines some of the specific forms scholarly and creative achievement to be considered for review may take:

- a. books
- b. chapters in books
- c. commissions or awards resulting from competitive peer review
- d. editing projects
- e. exhibitions
- f. grants obtained
- g. invited lectures, seminars, or artist-or scholar-in-residences
- h. journal articles
- i. memoranda or briefs of law
- j. monographs
- k. presentations at state, regional, national, or international meetings
- l. published abstracts or proceedings
- m. published book reviews and reviews of others' work
- n. theatrical and radio/television and film productions, including acting, direction, script, and stage design.
- o. videotapes or films in distribution

Refereed, juried or invited work should carry more weight than non-refereed work.

In addition to evaluation of the quality of individual publications and presentations, the faculty member's total production will be judged with consideration of the following criteria:

- a. regularity of publication or presentation
- b. creative and intellectual development over time
- c. development of the work into a program of research or creative endeavor
- d. reputation in the field

By way of further clarification, the following factors will also influence evaluations of the quality of research/creative activity:

- a. prestige of the medium of dissemination will be considered

- b. refereed/juried publications or creative projects will normally receive more weight than nonrefereed/nonjuried publications or creative projects, but prestige will be a moderating factor
- c. publication in appropriate academic or professional journals will normally carry more weight than presentations before professional meetings

Candidates shall provide evidence not only of research/creative activity, but also of the quality of this activity. To this end, candidates for tenure or promotion are strongly urged to request external peer reviews of their research/creative activity, to be conducted following the guidelines of the College of Arts and Sciences. Other evidence of the quality of research/creative activity may include:

- a. rejection rates of publications and similar evidence for juried creative activities
- b. requests for reprints for research or for dissemination of creative work
- c. honors or awards for research/creative activity
- d. chair evaluations of research/creative activity in the FAS
- e. citations of research or creative achievements by others in the field

The department encourages its faculty to remain current in their disciplines and maintain close working ties with practitioners in the field. Accordingly, we value faculty development activities such as participating in temporary professional assignments or internships and attending professional conferences. Applicants for tenure may cite such activities in at least two parts of their dossiers--teaching (insofar as the activities are shown to contribute to improved teaching) and research/creative activity (as evidence of applicants' regional/national reputation in their discipline). To receive full credit for such activities, candidates shall provide evidence of the prestige or importance of the assignment and evidence of the quality of work performed. If specific research or creative accomplishments occur during internships or other professional development activities, these may be cited in the usual manner.

Clarification of criteria pertaining to professional service as they relate to consideration for promotion in rank

2.4.6

The department values service to students, colleagues, the university, the discipline or profession, the community, and the region. It does not value some levels of service more than others. To be recommended for promotion, faculty must engage in some form of service, but not necessarily all kinds. Junior, tenure-track faculty are expected to provide some service to the department, university, or

external groups, but given expectations that these faculty should develop their teaching skills and research/creative programs, they are not expected or advised to devote major portions of their time to service activities.

To receive full credit for service, candidates shall document the quality of their service. The following kinds of evidence may be used to do so:

- a. documentation of tasks performed relating to student academic advising including methods, numbers, and quality of student advisement
- b. documentation of tasks performed as an adviser of a student organization, and of organizational accomplishments the advisor helped achieve
- c. documentation of attendance and tasks performed as a member of departmental or university committees
- d. evaluations by superiors and subordinates of administrative performance
- e. descriptions of professionally relevant service to community, discipline or profession
- f. documentation of duties and achievements when serving as an officer or member of a professional organization
- g. chair evaluations of service in the FAS

Professional service will be valued more highly if candidates can document how such work has enhanced their teaching, resulted in original research/creative activity, or otherwise directly benefited the university (e.g., through creation of internships for students).

Department of Communication & Performance Criteria for Tenure

revised 5/6/15

2.3.8.2

The department holds that the burden of proof rests with applicants for tenure to document their effectiveness in teaching, research/creative activity, and service.

To be recommended for tenure candidates must demonstrate their mastery of relevant subject matter, their competence as teachers, and their commitment to teaching as a central element of the academic life.

While a variety of subjects are taught in the department, some elements define the quality of teaching regardless of subject matter. The department values teaching methods that:

- a. intellectually challenge students of all ability levels
- b. require students to use and develop critical thinking skills
- c. require students to use and develop oral communication skills
- d. require students to use and develop writing skills
- e. require students to use and develop creative skills
- f. require students to use and develop research skills
- g. require students to use and develop computer or technology skills
- h. help students apply skills and concepts outside the classroom
- i. challenge students to assume responsibility for their own learning behavior
- j. are informed by thorough and up to date knowledge of the subject
- k. present material in a clear, well organized manner
- l. display the instructor's enthusiasm for the subject matter
- m. display instructor work habits that can serve as a model for students
- n. are responsive to relevant feedback from students or peers
- o. are shared with colleagues to help them improve their teaching

It is expected that an applicant will accomplish some, but not all, of these elements of good teaching.

The following teaching activities are considered useful to the department and university, although they do not necessarily reflect the quality of teaching and some may hurt it:

- a. teaching large classes
- b. teaching more than two preparations per term
- c. teaching new preparations

- d. assuming extra teaching duties
- e. supervising interns, independent studies, labs, or practica
- f. directing graduate work (theses, etc.), serving on graduate committees, teaching graduate courses
- g. teaching night courses and off-campus courses
- h. teaching Internet and ITV course sections
- i. teaching honors courses or courses that support the core
- j. increasing the efficiency of teaching

Candidates must document teaching effectiveness by citing the following kinds of evidence:

- a. samples of syllabi, assignments, tests used
- b. chair evaluations of teaching in the FAS
- c. Student Assessment of Instruction (SAI) results.
- d. peer evaluation of teaching, preferably based on multiple visits to classes, examination of teaching materials, and interviews with currently enrolled students or with alumni
- b. reports of teaching workloads

In addition, candidates may further document teaching effectiveness by citing the following kinds of evidence:

- a. examples of lecture notes and other teaching materials
- b. copies of written or other assignments by students, showing quality of student work and level of feedback provided by instructor
- c. exit interviews with students or alumni, conducted by the chair or other appointed faculty
- d. testimonials from students, former students and others acquainted with the candidate's teaching
- e. evidence of achievements by recent graduates of the program, demonstrating the quality of the training they received
- f. attendance at professional conferences and other teaching workshops, noting skills or material learned
- g. dissemination of teaching methods through workshops, publications, etc.
- h. written student comments on SAIs, especially when included by the chair, noting that all comments for a given class are included in the dossier

The more kinds of evidence a candidate provides, the less critical any one kind of evidence becomes.

Regarding the use of SAIs in tenure decisions, SAIs will be used primarily to determine whether students respond "favorably" or "unfavorably" to an instructor's methods. The department will not make fine tuned judgments

about the quality of teaching based on SAI scores. Furthermore, the department acknowledges that even superior instructors may not receive unanimously favorable ratings, and that unanimous popularity is not necessarily evidence of teaching quality.

Effectiveness in other academic assignments

2.3.8.3

Candidates shall use the dossier to present a well-organized and well-supported case that their teaching, research/creative activity, and service warrant tenure or promotion. They shall provide the most reliable evidence available to document the quality of their teaching, research/creative activity, and service.

The department tenure and promotion committee and the department chair may seek additional information beyond what is presented in an applicant's dossier, but they are not obliged to do so (if, for instance, the dossier is poorly documented). If those evaluating an application gain relevant information not in the dossier, they will share it in writing with the applicant, who may respond orally and in writing. If subsequent discussion warrants, both the information and the applicant's response will be included in the dossier.

Professional degrees, awards, and achievements

The importance of degrees, awards, and achievements increases in direct relationship to the prestige of the specific honor. Thus national honors are rated more influential than regional awards.

Service of a professional nature to the institution, the community, and the state

2.3.8.4

The department values service to students, colleagues, the university, the discipline or profession, the community, and the region. It does not value some levels of service more than others. To be recommended for promotion, faculty must engage in some form of service, but not necessarily all kinds.

To receive full credit for service, candidates shall document the quality of their service. The following kinds of evidence may be used to do so:

- a. documentation of tasks performed relating to student academic advising including methods, numbers, and quality of student advisement

- b. documentation of tasks performed as an adviser of a student organization, and of organizational accomplishments the advisor helped achieve
- c. documentation of attendance and tasks performed as a member of departmental or university committees
- d. evaluations by superiors and subordinates of administrative performance
- e. descriptions of professionally relevant service to community, discipline or profession
- f. documentation of duties and achievements when serving as an officer or member of a professional organization
- g. chair evaluations of service in the FAS

Professional service will be valued more highly if candidates can document how such work has enhanced their teaching, resulted in original research/creative activity, or otherwise directly benefited the university (e.g., through creation of internships for students).

Professional service will be valued more highly if candidates can document how such work has enhanced their teaching, resulted in original research/creative activity, or otherwise directly benefited the university (e.g., through creation of internships for students).

Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit

The department values colleagues who participate fully and candidly in the life of the department. To encourage such participation, we adopt the following view of collegiality. Candidates for tenure do not bear the initial burden of proof in documenting their collegiality. Collegiality will be assumed unless evidence to the contrary exists. Lack of collegiality means continued unwillingness to perform appropriate work assignments or to work cooperatively with other faculty.

Research, scholarly and creative activity

2.3.8.5

To be recommended for tenure, faculty must conduct and disseminate original research or creative activity that contributes to the development of their respective disciplines. Candidates for tenure must demonstrate success in producing research or creative projects that have met the test of review by experts in the field, as well as promise for future growth.

The department stresses the quality of research and/or creative efforts over the quantity when making recommendations about promotion.

In the department, research is defined as the development and validation of new knowledge. Research involves significant humanistic or scientific studies of communication using historical, philosophical, economic, political, sociological, psychological and technological perspectives.

Criteria considered when evaluating the quality of research include:

- a. originality of study
- b. actual or likely impact of the work
- c. difficulty or complexity of the subject matter
- d. the significance of subject matter covered
- e. thoroughness of analysis
- f. clarity of expression

In the department, creative achievement is understood to mean significantly original or imaginative accomplishment in the arts or professions. Creative achievement may take a variety of forms, including (but not limited to) journalistic writing or broadcasts, photographic presentations or graphic designs, theatrical productions, documentaries, scripts, design, acting performances, and discipline specific computer programs.

Creative achievement should be of such nature as to lead to new understandings of a field and/or to break new ground in modes of expression in a field. While columns or brief articles or broadcasts in the mass media will be evaluated under professional service, works involving a thorough examination of a problem or issue based on investigative research and presented in any mass medium may be considered for evaluation as scholarship or creative activity.

To qualify as research or creative achievement, the results of the endeavor must be disseminated and subject to critical peer evaluation and/or professional acceptance in a manner appropriate to the field in question.

The following alphabetized list outlines some of the specific forms scholarly and creative achievement to be considered for review may take. This list is illustrative and not exhaust and contains:

- a. books
- b. chapters in books
- c. commissions or awards resulting from competitive peer review
- d. editing projects
- e. exhibitions
- f. grants obtained

- g. invited lectures, seminars, or artist-or scholar-in-residences
- h. journal articles
- i. memoranda or briefs of law
- j. monographs
- k. presentations at state, regional, national, or international meetings
- l. published abstracts or proceedings
- m. published book reviews and reviews of others' work
- n. theatrical and radio/television and film productions, including, but not limited to, acting, directing, writing, producing, managing, choreographing, and designing.
- o. videotapes or films in distribution

Refereed, juried or invited work should carry more weight than non-refereed work.

In addition to evaluation of the quality of individual publications and presentations, the faculty member's total production will be judged with consideration of the following criteria:

- a. regularity of publication or presentation
- b. creative and intellectual development over time
- c. development of the work into a program of research or creative endeavor
- d. reputation in the field

By way of further clarification, the following factors will also influence evaluations of the quality of research/creative activity:

- a. prestige of the level of dissemination will be considered
- b. refereed/juried publications or creative projects will normally receive more weight than nonrefereed/nonjuried publications or creative projects, but prestige will be a moderating factor
- c. publication in appropriate academic or professional journals will normally carry more weight than presentations before professional meetings

Candidates shall provide evidence not only of research/creative activity, but also of the quality of this activity. To this end, candidates for tenure or promotion are strongly urged to request external peer reviews of their research/creative activity, to be conducted following the guidelines of the College of Arts and Sciences. Other evidence of the quality of research/creative activity may include:

- a. rejection rates of publications and similar evidence for juried creative activities
- b. requests for reprints for research or for dissemination of creative work
- c. honors or awards for research/creative activity

- d. chair evaluations of research/creative activity in the FAS
- e. citations of research or creative achievements by others in the field

The department encourages its faculty to remain current in their disciplines and maintain close working ties with practitioners in the field. Accordingly, we value faculty development activities such as participating in temporary professional assignments or internships and attending professional conferences. Applicants for tenure may cite such activities in at least two parts of their dossiers — teaching (insofar as the activities are shown to contribute to improved teaching) and research/creative activity (as evidence of applicants' regional/national reputation in their discipline). To receive full credit for such activities, candidates shall provide evidence of the prestige or importance of the assignment and evidence of the quality of work performed. If specific research or creative accomplishments occur during internships or other professional development activities, these may be cited in the usual manner.

Tenure and Promotion Requirements for the Department of Philosophy and Humanities East Tennessee State University

Introduction

In order to contribute to the mission of a regional public university, we recognize that evidence of excellence in both teaching and research will be necessary for tenure and promotion in the Department of Philosophy and Humanities. Service to the department, college, university, profession, or community is also expected.

Teaching

Our aim as philosophy teachers is to foster in students the desire, knowledge, and skills needed for clear and careful thinking and dialogue. It is the responsibility of the instructor to cultivate an atmosphere conducive to student engagement. Peer evaluations of teaching will be used as the primary measures of teaching effectiveness. The department regards SAIs (student assessment of instruction) as a valuable tool for instructors to measure their successes and challenges with student engagement; decisions about the granting of tenure and promotion, however, are not based upon student evaluations as such. We expect instructors to be refining and improving their courses in light of ongoing research in the content area of courses, and in light of best practice in teaching methods and the uses of instructional technology. All faculty are expected to supervise undergraduates with their senior theses, contribute fully to the diversity and number of courses that the department offers each year, and make themselves available to review their peers' teaching effectiveness.

Research

All members of the department are expected to be actively engaged in a coherent program of research. Creativity and original thinking cannot be forced, though it should be ongoing, beyond goals and awards of tenure and/or promotion. Submission of work for peer review and presentation at professional conferences is considered relevant as evidence of ongoing scholarly activity. We expect that: (1) a candidate for tenure and promotion to associate professor will have at least three quality peer-reviewed publications (articles, books, book chapters) accepted for publication between the beginning of one's first contract and the due date for submitting an application for tenure and promotion; (2) a candidate for promotion from associate professor to professor will clearly exceed the expectations in research for promotion to associate professor, for example, by publishing a greater number of quality articles, book chapters, etc., or by publishing in more prestigious and competitive venues, or by otherwise achieving a more noteworthy publication record. For promotion and tenure, the department requires external review of research by a minimum of two faculty (or persons of equivalent professional standing) in the candidate's field.

Service

All the members of the department are expected to share in service responsibilities. These include but are not limited to: chairing or serving on departmental, college, or university committees, service to the profession, contributing to routine departmental academic audits and reviews, serving as a faculty advisor for an academic program, serving as an advisor to a campus student organization, or contributing to the intellectual life of the campus or community.

Review of Departmental Weighted Criteria for Promotion

Department of Physics and Astronomy East Tennessee State University

Overview

Evaluation for promotion will be given in the areas of teaching, research and service. It is clear that these areas are not entirely separable. Teaching often includes discussing the importance and limitations of research in the fields of physics and astronomy. Also, research at the undergraduate level, particularly with the Honors-in-Discipline students, involves instruction in physical principles and research techniques. The Department considers that research is one of the best forms of instruction available. It is important to the Department that candidates for promotion demonstrate effective teaching, produce quality research, and participate in service activities. For evaluation, the relative importance of these three activities are taken in the order of teaching > research > service.

Candidates for promotion must demonstrate a continuing program of scholarly activity and must supply documentation supporting their levels of accomplishment in all areas. In teaching, this would include good student and peer evaluations, development of new teaching methods and or materials, or publications in education journals. In research this would include a number of papers published in peer reviewed journals. Here one is looking for a continuing program of accomplishments. Finally for service, participation in departmental activities, service on college and/or university committees, service to the profession, and participation in public outreach programs are expected to achieve promotion.

Teaching

Applicants to be considered for promotion are required to submit a dossier demonstrating that they are effective teachers. Effectiveness must be documented. Documentation is supplied mainly by quantifying student assessments. Student evaluations are sought from both lower-level and upper-level undergraduate courses. The University requires peer review of instructors. Faculty attend the candidate's lectures, and written evaluations of these visits are included in the third-year reviews. Those performing the peer reviews look at the development of new teaching methods, testing materials, and the incorporation of new technologies in teaching. Peer review of faculty is also conducted by the faculty at presentations of seminars through the regular weekly departmental seminars.

Research

The Department has high expectations for faculty to have productive research careers. The Department places an emphasis on seeking external funding. There are expectations that faculty seeking promotion will be actively writing external grant proposals. Faculty

seeking promotion must also have publications in nationally and internationally recognized peer-reviewed journals. The Department does not quantify this expectation. The Department looks favorably on candidates with five refereed publications in their promotion to associate professor dossiers. For promotion to full professor, the Department looks favorably on candidates with at least an additional five refereed publications.

Service

The Department expects all of their tenured and tenure-track faculty to carry out service activities. Activities related to service to the Department include the advising of Physics majors/minors, Astronomy minors, and students involved in the Honors-in-Discipline program. Additional departmental service activities include service on search committees, editor of the departmental web pages, serving as seminar coordinator, and the recruitment of students to the major. Serving on college-level or university-level committees are also a useful service activity to achieve promotion. Service to the profession include such activities as reviewing grant proposals for NSF, NASA, or NIH; reviewing manuscripts submitted to publication to national journals; committee work for national/international organizations; or working on arranging topical conferences. Finally, our faculty are expected to assist in the departmental public outreach programs such as presenting a talk and/or participating at the Astronomy Open Houses at the ETSU Observatory, presenting planetarium shows, presenting talks at local schools, or interacting with the local media.

Review of Departmental Weighted Criteria for Tenure

Department of Physics and Astronomy East Tennessee State University

Pre-Tenure Mentoring of Faculty

The Department uses two formal methods of Mentoring of pre-Tenure Faculty. First is the evaluation portion of the Faculty Activities System. This provides annual feedback in the areas of teaching, research and service for faculty. The Department also conducts an internal departmental review of progress during the third year of the faculty member's probationary period, to provide guidance for the faculty. For this step, the faculty member submits a document patterned on a normal tenure folder. After the document is read by the tenured members of the Department, a written report is sent to the candidate and to the Chair of the Department.

Overview

Evaluation for tenure will be given in the areas of teaching, research and service. It is clear that these areas are not entirely separable. Teaching often includes discussing the importance and limitations of research in the fields of physics and astronomy. Also, research at the undergraduate level, particularly with the Honors-in-Discipline students, involves instruction in physical principles and research techniques. The Department considers that research is one of the best forms of instruction available. It is important to the Department that candidates for tenure demonstrate effective teaching, produce quality research, and participate in service activities. For evaluation, the relative importance of these three activities are taken in the order of teaching > research > service.

Candidates for tenure must demonstrate a continuing program of scholarly activity and must supply documentation supporting their levels of accomplishment in all areas. In teaching, this would include good student and peer evaluations, development of new teaching methods and or materials, or publications in education journals. In research this would include a number of papers published in peer-reviewed journals. Here one is looking for a continuing program of accomplishments. Finally for service, participation in departmental activities, service on college and/or university committees, service to the profession, and participation in public outreach programs are expected to achieve tenure.

Teaching

To apply for tenure, the faculty member is required to submit an application demonstrating that he/she is an effective teacher. Effectiveness must be documented. Documentation is supplied mainly by quantifying student assessments. Student evaluations are sought from both lower-level and upper-level undergraduate courses. The University requires peer review of instructors. Faculty attend a candidate's lectures, and written evaluations of these visits are included in the third-year reviews. Those

performing the peer reviews look at the development of new teaching methods, testing materials, and the incorporation of new technologies in teaching. Peer review of tenure-track faculty is also conducted by the faculty at presentations of seminars through the regular weekly departmental seminars.

Research

Research is the single most important activity after teaching to be considered for faculty applying for tenure in the Department. The Department goes out of its way to provide release time for new faculty, and therefore there are expectations for demonstrating a productive research effort. Faculty place an emphasis on looking for new faculty who will seek external funding. There are expectations therefore that faculty seeking tenure will be actively writing external grant proposals. Faculty seeking tenure must also have publications in nationally and internationally recognized peer-reviewed journals.

Service

The Department expects all of their tenured and tenure-track faculty to carry out service activities. Activities related to service to the Department include the advising of Physics majors/minors, Astronomy minors, and students involved in the Honors-in-Discipline program. Additional departmental service activities include service on search committees, editor of the departmental web pages, serving as seminar coordinator, and the recruitment of students to the major. Serving on college-level or university-level committees are useful service activities to achieve tenure. Service to the profession include such activities as reviewing grant proposals for NSF, NASA, or NIH; reviewing manuscripts submitted to publication to national journals; committee work for national/international organizations; or working on arranging topical conferences. Finally, our faculty are expected to assist in the departmental public outreach programs such as presenting a talk and/or participating at the Astronomy Open Houses at the ETSU Observatory, presenting planetarium shows, presenting talks at local schools, or interacting with the local media.

ETSU DEPARTMENT OF POLITICAL SCIENCE, INTERNATIONAL AFFAIRS & PUBLIC ADMINISTRATION

GUIDELINES FOR PROMOTION

ASSISTANT PROFESSOR

The Department of Political Science guidelines for promotion to or hiring at the rank of Assistant Professor are as follows:

- Possession of an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline
- Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty
- Evidence of effective teaching or promise for such teaching
- Evidence of published research or of publishable research in progress

ASSOCIATE PROFESSOR

The Department of Political Science, International Affairs & Public Administration general guidelines for promotion to the rank of Associate Professor are as follows:

- Possession of an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline
- Five years of full-time teaching at the rank of assistant professor □ exceptions may be made for extraordinary performance and overall years of full-time teaching experience

Regarding performance in the three traditional areas of teaching, research and scholarly activity, and service, successful candidates for promotion to this rank should be judged good in two areas and excellent in at least one area.

Teaching: Evidence that validates teaching ability may come from: Student evaluations, class observations carried out by members of the Department faculty, and peer evaluations of teaching materials. Candidates for promotion must demonstrate:

- Command of the subject matter
- Ability to organize and present subject matter effectively
- Ability to motivate students

Evidence of effectiveness in academic assignments other than teaching in the Department of Political Science shall include materials and information that are pertinent to the assignment in question. This may include course development, guest lectures, direction of student theses, direction of independent studies, and other relevant activities.

Research: Documented evidence of scholarly productivity in research endeavors within the discipline may include:

- Publications such as articles in refereed and non-refereed journals, books, textbooks, and chapters in edited books. A book-length work supersedes most other publications. Successful research grant proposals will also be considered.

- Scholarly presentations at state, regional, national, and international professional conferences

Specific research expectations will vary depending on the candidate's teaching load. At a minimum, the candidate for tenure must have evidence of:

- Publication of a book OR
- Three publications such as scholarly articles in refereed journals or chapters in edited books
- Plus scholarly presentations at state, regional, national, or international professional association conferences

Service: Evidence of service activities may include:

- Academic advising and mentoring of students
- Participation in departmental governance
- Service on College or University committees
- Reviewing book or article manuscripts or published books; organizing and/or serving on panels at state, regional, national, and international professional conferences; serving as an officer for professional organizations; serving on editorial boards of scholarly journals; participating in scholarly workshops; or consulting in the candidate's field of expertise
- Participation and leadership roles in state, regional, national, and international professional organizations
- Lectures/presentations to community organizations and other types of public service related to the candidate's discipline

PROFESSOR

Successful candidates for the rank of professor should be judged as excellent in at least two of the three areas — teaching, research, service -- and as at least good in the third. Candidates for professor should be expected to have a greater quantity as well as quality of achievement in those three categories than is expected of candidates for the rank of Associate Professor.

The Department of Political Science, International Affairs & Public Administration general guidelines for promotion to the rank of Professor are as follows:

- Possession of an earned terminal degree, as defined by the discipline, from a regionally accredited institution in the instructional discipline
- Six years of academic experience in the rank of associate professor; exceptions may be made for extraordinary performance and overall years of teaching experience.

Teaching: Evidence of teaching effectiveness may come from:

- Peer evaluation of a teaching portfolio, including syllabi, examinations, graded essays, supervised research papers, and other class materials
- Student evaluations
- Creation of new courses and syllabi

Research: Documented evidence of scholarly productivity in research endeavors within the discipline may include:

- Publications such as books, articles in refereed journals, textbooks, and chapters in edited books. Successful research grant proposals will also be considered.
- Research paper presentations at state, regional, national, and international professional conferences.

Specific research expectations will vary depending on the candidate's teaching load. At a minimum, the candidate for promotion to Professor must have evidence of:

- Publication of at least one scholarly, book-length work from a university press or major trade publisher, or publication of several articles in refereed journals
- Publication of additional articles in refereed and non-refereed journals and book chapters.
- Plus research paper presentations at state, regional, national, or international scholarly conferences

Service: Evidence of service activities may include

- Academic advising and mentoring of students
- Participation in departmental governance
- Service on College or University committees
- Reviewing book or article manuscripts or published books; organizing and/or serving on panels at state, regional, national, and international professional conferences; serving as an officer for professional organizations; serving on editorial boards of scholarly journals; participating in scholarly workshops; or consulting in the candidate's field of expertise
- Participation and leadership roles in state, regional, national, and international professional organizations
- Lectures/presentations to community organizations and other types of public service related to the candidate's discipline

Chair of Department of Political Science

Dean, College of Arts and Sciences

ETSU DEPARTMENT OF POLITICAL SCIENCE, INTERNATIONAL AFFAIRS & PUBLIC ADMINISTRATION

GUIDELINES FOR TENURE

Candidates for tenure in the Department of Political Science, International Affairs & Public Administration must hold a doctorate in political science from a regionally accredited institution. They should demonstrate excellence in teaching, research, scholarly activity, and service consistent with departmental expectations. A candidate's achievements in these areas will be assessed by the traditional criteria of teaching effectiveness, research, scholarly and creative activity, and service relevant to the discipline.

TEACHING

Clear evidence of a candidate's teaching effectiveness must be presented to the Department. Data that validate a candidate's teaching ability may come from: Student evaluations, class observations carried out by members of the Department faculty, and peer evaluations of teaching materials. Candidates must demonstrate:

- Command of the subject matter
- Ability to organize and present subject matter effectively
- Ability to motivate students

Evidence of effectiveness in academic assignments other than teaching in the Department of Political Science, International Affairs & Public Administration shall include materials and information that are pertinent to the assignment in question. This may include course development, guest lectures, direction of student theses, direction of independent studies, and other relevant activities.

RESEARCH AND SCHOLARLY ACTIVITIES

Documented evidence of scholarly productivity in research endeavors within the discipline may include:

- Publications such as articles in refereed and non-refereed journals, books, textbooks, and chapters in edited books. A book-length work supersedes most other publications. Successful research grant proposals will also be considered.
- Paper presentations at state, regional, national, and international professional conferences

Specific research expectations will vary depending on the candidate's teaching load. At a minimum, the candidate for tenure must have evidence of:

- Publication of a book OR
- Three publications such as scholarly articles in refereed journals or chapters in edited books
- Plus scholarly presentations at state, regional, national, or international professional association conferences

SERVICE

Evidence of service activities may include:

- Academic advising and mentoring of students

- Participation in departmental governance
- Service on College or University committees
- Reviewing book or article manuscripts or published books; organizing and/or serving on panels at state, regional, national, and international professional conferences; serving as an officer for professional organizations; serving on editorial boards of scholarly journals; participating in scholarly workshops; or consulting in the candidate's field of expertise
 - Participation and leadership roles in state, regional, national, and international professional organizations
 - Lectures/presentations to community organizations and other types of public service related to the candidate's discipline

Chair, Department of Political Science

Dean, College of Arts & Sciences

**DEPARTMENT OF PSYCHOLOGY
EAST TENNESSEE STATE UNIVERSITY**

GUIDELINES FOR PROMOTION

ETSU's policy on faculty promotion considers promotion to be a recognition of a faculty member's past achievements and an expectation of greater accomplishments and responsibilities in the future. Candidates for promotion in the Department of Psychology must provide evidence of achievement in teaching, research, and service. The Department concurs with the University's policy that "Promotion to higher rank is neither an unqualified right nor an automatic occurrence." Although completing a given period of service or performing routine duties (such as carrying a normal course load; advising students; conducting and publishing research; performing professional service to the community, university, or discipline) are factors in the candidate's favor, they do not warrant promotion in and of themselves. Instead, "Candidates for promotion to associate professor or professor are expected to demonstrate both a higher quality and a greater cumulative quantity of achievement in each of the three areas than are candidates for promotion to lower rank" (see Section 2.4.3.3).

The Department of Psychology informs junior faculty of the expectations for promotion through three mechanisms. First, feedback is provided through the vehicle of individually assigned departmental mentors who serve as information conduits between junior faculty and the Department's Professional Development Advisory Committee (on which departmental mentors serve). The Professional Development Advisory Committee is composed of all tenured faculty within the department who meet bi-semesterly to discuss professional issues relevant to junior faculty. Second, consistent with university-wide practices, junior faculty receive feedback annually from the department chair and college dean. Finally, the department conducts a third-year review that shares similarities with the tenure and promotion process. Across all three mechanisms, junior faculty are provided specific feedback on their performance, and are given specific suggestions for successfully earning a positive recommendation for promotion.

ASSOCIATE PROFESSOR

The Department concurs with the university's general expectations for promotion to Associate Professor. Candidates should have documented evidence of either high quality professional productivity which may lead to national recognition in the academic discipline or high quality professional activity that is consonant with the goals of the University or the Department. The Department further specifies that faculty who desire to be promoted to the rank of Associate Professor should show evidence of the following:

1. As with the tenure decision, the candidate must first and foremost have demonstrated a strong commitment to quality instruction and actual teaching effectiveness. Evidence of such commitment and effectiveness will be evaluated by quantitative and qualitative indicators of student evaluations, currency of course content, revision or innovation of teaching methods, development of new courses, results of peer evaluations of teaching (as described in the Department's Guidelines for Tenure), and yearly evaluations of teaching by the department chair and college dean.
2. Scholarly productivity is a nearly equally important criterion for promotion. Success in quality publications is expected for promotion, as is clear evidence that the faculty member has established a fruitful research agenda that shows promise for continued productivity. The hierarchy of types of

scholarly activity specified in the Department's Guidelines for Tenure apply here also.

3. Finally, the candidate is expected to have a record of departmental and university-wide service.

PROFESSOR

Promotion to the rank of Professor will be based on those criteria noted in the Faculty Handbook Section 2.4.9. As the Handbook notes,

“Since there is no higher rank, promotion to professor is taken with great care and requires a level of achievement beyond that required for associate professor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.”

The Department further specifies that the successful candidate for promotion to Professor is expected to show strong evidence of consistently good teaching evaluations as evidenced by quantitative and qualitative indicators of student evaluations and results from peer evaluations as described in the Department's Guidelines for Tenure, important contributions to student development through new or revised courses, other types of curriculum development, and currency in course content. Furthermore, the candidate will be expected to have an international record of high scholarly productivity. Scholarly production criteria are documented in the Department's Guidelines for Tenure. To further clarify possible achievements in professional service, the Department of Psychology will recognize the achievements of receiving grants and contracts to initiate and administer service programs in the university or community.

Chair of Psychology

Dean, College of Arts & Sciences

Created 4/26/06

**DEPARTMENT OF PSYCHOLOGY
EAST TENNESSEE STATE UNIVERSITY**

GUIDELINES FOR TENURE

As noted in ETSU's policy on academic tenure, "tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure" (see Section 2.3.1.1). Of the University's general criteria to be considered in tenure recommendations, the following are considered to be most important to the Department of Psychology: teaching effectiveness; effectiveness in other academic assignments; research, scholarly, and creative activity; service of a professional nature to the institution, the community, and the State; activities, membership, and leadership in professional organizations; demonstrated potential for continuing professional growth and contributions to the department, college, and university; and demonstrated willingness and ability to work effectively with colleagues to support the department, college, and university. Three of these criteria, listed in order of their importance, are essential for tenure in the Department: teaching, scholarship, and service. Additionally, candidates for tenure must possess a terminal degree as defined by the discipline from a regionally accredited institution in their instructional discipline.

The Department of Psychology informs junior faculty of the expectations for tenure through three mechanisms. First, feedback is provided through the vehicle of individually assigned departmental mentors who serve as information conduits between junior faculty and the Department's Professional Development Advisory Committee (on which departmental mentors serve). The Professional Development Advisory Committee is composed of all tenured faculty within the department who meet bi-semesterly to discuss professional issues relevant to junior faculty. Second, consistent with university-wide practices, junior faculty receive feedback annually from the department chair and college dean. Finally, the department conducts a third-year review that shares similarities with the tenure and promotion process. Across all three mechanisms, junior faculty are provided specific feedback on their performance, and are given specific suggestions for successfully earning a positive recommendation for tenure.

TEACHING

In evaluating a faculty member's application for tenure, the Department considers teaching and scholarship to be very near equal in importance, with teaching rated slightly higher. Applicants should demonstrate evidence of teaching effectiveness and a strong commitment to teaching. Evidence of such commitment and effectiveness may be evaluated by quantitative and qualitative indicators of student evaluations, should such evaluations be determined to be valid. Also to be considered are currency of course content, revision or innovation of teaching methods, development of new courses, and results of peer, chair, and dean evaluations of teaching. Consistent with Section 2.3.18.8 of the Faculty Handbook, Departmental peer evaluations of teaching include written feedback from tenured or nontenured faculty, at least once per semester, as assigned by the department chair. Documentation of the findings of peer evaluations should be included in the tenure dossier.

Evidence of effectiveness in academic assignments other than teaching in the Department of Psychology shall include materials and information that are pertinent to the assignment in question. This may include direction of honors or master's theses, supervision of internship or practica placements, and direction of independent studies.

RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITIES

The Department of Psychology considers evidence of scholarly research and publication to be almost as important as effective teaching in evaluating a faculty member's application for tenure. Beyond clear evidence of a research plan or program by the faculty member, in consultation with her or his departmental mentor,

productivity will be evaluated by success in publishing with the following hierarchy of outlets: 1) single or multiple authored journal articles published in peer-reviewed national or international journals; 2) funded grant applications to public or private agencies; 3) single or multiple authored or edited books published by a national or international academic or trade press; 4) single or multiple authored chapters in a book published by a national or international academic or trade press; 5) single or multiple-authored textbooks; 6) refereed book reviews; 7) invited articles, book chapters, or reviews that are evaluated only by the editor; 8) papers or posters presented at professional meetings; and 9) unfunded grant application to public or private agencies. For credit to be provided for scholarship in progress, verification of the stages of scholarly productivity is necessary.

The University's policy regarding research, scholarship, and creative activities requires that candidates for tenure include evidence of a qualified peer's review of their record of research and scholarly activity. Candidates for tenure in the Department of Psychology must provide at least one letter of evaluation pertaining to their scholarship from a qualified peer reviewer in the candidate's discipline. In particular, the department requests letters of support from at least one internal and one external peer.

PROFESSIONAL SERVICE

In the evaluation of a faculty member's application for tenure, professional service is weighted third, behind teaching effectiveness and scholarly productivity. This should not be interpreted to mean that this dimension is unimportant. A candidate for tenure will be expected to show evidence of service to both the department and the institution more generally. Service to the institution can be in the form of either service to college committees or to university-wide committees. Grants and contracts received by the faculty member for the purpose of initiating and/or administering programs that provide services to the university or larger community, or that evaluate such programs, will be considered professional service that is to be weighted positively in the candidate's evaluation. To the extent that advising in the profession or the curriculum is relevant for the candidate's dossier for tenure and/or promotion, it will be evaluated in the category of professional service.

OTHER FACTORS FOR CONSIDERATION

The Department of Psychology will consider efforts of the faculty member to develop professionally-relevant skills in the evaluation of tenure. These efforts may include documented activities to improve teaching skills or research capabilities.

Though weighted as less important than performance in teaching, research, and service activities, collegiality of the faculty member will be evaluated in terms of the tenure decision, particularly in light of the University's policy that faculty be willing and able to work effectively with colleagues to support the Department, College, and University.

In terms of department-level weighting of criteria for tenure, the Department considers long-term staffing plans to be minor in importance.

Chair of Psychology

DEPARTMENT OF SOCIOLOGY & ANTHROPOLOGY

EAST TENNESSEE STATE UNIVERSITY

GUIDELINES FOR PROMOTION

ETSU's policy on faculty promotion considers promotion to be a recognition of faculty members' past achievements and an expectation of greater accomplishments and responsibilities in the future. In order of their importance, candidates for promotion in the Department of Sociology and Anthropology must provide evidence of achievement in teaching, research, and service. The Department concurs with the University's policy that "Promotion to higher rank is neither an unqualified right nor an automatic occurrence." Although completing a given period of service or performing routine duties (such as carrying a normal course load; conducting and publishing research; performing professional service to the community, university, or discipline; advising students) are factors in the candidate's favor, they do not warrant promotion in and of themselves. Instead, "Candidates for promotion to associate professor or professor are expected to demonstrate both a higher quality and a greater cumulative quantity of achievement in each of the three areas than are candidates for promotion to lower rank".

The Department of Sociology and Anthropology will inform junior faculty of the expectations for promotion. This will be accomplished primarily through the annual review process. In addition, for assistant professors, the department conducts a third-year review that provides the assistant professor with specific feedback on their performance up to that point as well.

ASSISTANT PROFESSOR

The Department concurs with the expectations for promotion to assistant professor enumerated in the ETSU Faculty Handbook:

- Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution
- Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty
- Evidence of good character, mature attitude, and professional integrity.
- Evidence of effective teaching if the individual has taught at the college level. If the individual has not taught at the college level, evidence should be obtained that satisfactory teaching performance can reasonably be expected.
- Promise of productive creative and scholarly research and professional service.

ASSOCIATE PROFESSOR

The Department of Sociology and Anthropology concurs with the university's general expectations for promotion to Associate Professor. Candidates should have documented evidence of either high quality professional productivity which may lead to national recognition in the academic discipline or high quality professional activity that is consonant with the goals of the University or the Department. The Department further specifies that faculty who desire to be promoted to the rank of Associate Professor should show evidence of the following:

1. As with the tenure decision, the candidate must first and foremost have demonstrated a strong commitment to quality instruction and actual teaching effectiveness. Evidence of such

commitment and effectiveness will be evaluated by quantitative and qualitative indicators of student evaluations, currency of course content, revision or innovation of teaching methods, development of new courses, results of peer evaluations of teaching (as described in the Department's Guidelines for Tenure), and yearly evaluations of teaching by the department chair. These criteria for teaching will have the greatest weight in the decision regarding promotion to Associate Professor.

2. Research, scholarship, applied, and other professional creative activities are valued and weighted second in importance for promotion. Success in one or more of these areas is expected, as well as clear evidence that the faculty member has established a fruitful professional agenda that shows promise for continued productivity. The types/combinations of publications and professional reports specified in the Department's Guidelines for Tenure also apply here.

- single or multiple-authored book published by an academic or trade press;
- single or multiple-authored article in a refereed journal, with quality of the journal to be evaluated by department faculty in the discipline (sociology or anthropology);
- funded grant or contract applications to public or private agencies;
- single or multiple-authored chapter in a book that has been peer-reviewed;
- applied project reports;
- single or multiple-authored textbook;
- refereed book reviews;
- invited articles, book chapters, or reviews that are evaluated only by the editor;

- papers presented at professional meetings that are not eventually published and non-funded grant applications.

3. The candidate is also expected to have a record of service in at least two of the three areas: university, discipline-specific, and community. All candidates for promotion in the Department are expected to effectively and accurately advise students on curriculum matters. When particular faculty positions have been designated as carrying heavier service commitments or administration of (a) professional project(s), standard expectations for scholarly productivity may not be entirely applicable.

PROFESSOR

Promotion to Professor rank in the Department of Sociology and Anthropology will be based on those criteria noted in the Faculty Handbook. As the Handbook notes,

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

The Department further specifies that the successful candidate for promotion to Professor is expected to show strong evidence of consistently good teaching evaluations through quantitative and qualitative indicators of student evaluations and results from peer evaluations as described in

the Department's Guidelines for Tenure, important contributions to student development through new or revised courses, other types of curriculum development, and currency in course content. Furthermore, the candidate will be expected to have a record of continued productivity in research or applied efforts, or exceptional service contributions to the university, the discipline, or the community. All candidates for promotion in the Department are expected to effectively and accurately advise students on curriculum matters. Productivity criteria are documented in the Department's Guidelines for Tenure and above in the criteria for promotion to Associate Professor.

William N. Duncan

Chair of Sociology & Anthropology

Dean, College of Arts & Sciences

Revised 07/17/2016

DEPARTMENT OF SOCIOLOGY & ANTHROPOLOGY

EAST TENNESSEE STATE UNIVERSITY

GUIDELINES FOR TENURE

As noted in ETSU's policy on academic tenure, "tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure"). Of the University's general criteria to be considered in tenure recommendations, the following are considered to be most important to the Department of Sociology and Anthropology: teaching effectiveness; effectiveness in other academic assignments; research, scholarly, and applied and creative activity; service to the department, university, discipline, and community; demonstrated potential for continuing professional growth and contributions to the Department, College, and University; and demonstrated willingness and ability to work effectively with colleagues to support the Department, College, and University. Three of these criteria, listed in order of their importance, are essential for tenure in the Department: teaching, research, and service. The department conducts a third-year review that provides the tenure-track faculty member with specific feedback on their performance up to that point as well as specific suggestions for earning a positive recommendation for tenure.

TEACHING

In evaluating a faculty member's application for tenure, the Department considers teaching to be the most important activity. Applicants should demonstrate evidence of teaching effectiveness and a strong commitment to teaching. Evidence of such commitment and effectiveness will be evaluated by quantitative and qualitative indicators of student evaluations,

currency of course content, revision or innovation of teaching methods, development of new courses, results of peer evaluations of teaching, and yearly evaluations of teaching by the department chair. Concerning peer evaluations of teaching, the Department uses the University's requirements as stated in the Faculty Handbook:

A separate peer evaluation of teaching effectiveness must...include a review of student evaluations with consideration given to the type of courses involved. In addition, peer reviewers should assess items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular teaching responsibilities. Peer reviewers should also observe the candidate's classroom teaching.

Documentation of the findings of peer evaluations should be included in the tenure dossier. Candidates must request a peer evaluation each year from at least one tenured colleague in the Department; they may also request a peer evaluation from a colleague in another department at ETSU.

RESEARCH, SCHOLARSHIP, APPLIED, AND OTHER PROFESSIONAL CREATIVE ACTIVITIES

The Department of Sociology and Anthropology considers evidence of scholarly research and publication (in theoretical and applied efforts) to be the second-most important criterion for

evaluating a faculty member's application for tenure. Productivity will be evaluated by *some combination* of the following:

- single or multiple-authored book published by an academic or trade press;
- single or multiple-authored article in a refereed journal, with quality of the journal to be evaluated by department faculty in the discipline (sociology or anthropology);
- funded grant or contract applications to public or private agencies;
- single or multiple-authored chapter in a book that has been peer-reviewed;
- applied project reports;
- single or multiple-authored textbook;
- refereed book reviews;
- invited articles, book chapters, or reviews that are evaluated only by the editor;
- papers presented at professional meetings that are not eventually published and non-funded grant applications.

For any research in progress, verification of the stages of development is beneficial.

PROFESSIONAL SERVICE

In the evaluation of a faculty member's application for tenure, professional service is weighted third, behind teaching effectiveness and scholarly productivity. This should not be interpreted to mean that this dimension is unimportant. A candidate for tenure will be expected to show evidence of service activities in at least two of the three types: service to the university, service to the discipline, and service to the community. All candidates for tenure in the Department are expected to effectively and accurately advise students on curriculum matters. Evidence of effectiveness in advising in the Department of Sociology and Anthropology shall

include materials and information that are pertinent to the assignment in question. This may include direction of undergraduate honors theses, graduate students' master's theses or internship placements and reports, or direction of independent studies.

OTHER FACTORS FOR CONSIDERATION

The Department of Sociology and Anthropology will consider efforts of the faculty member to develop professionally-relevant skills in the evaluation of tenure. These efforts may include documented activities to improve teaching skills or research capabilities.

William N. Duncan

Chair of Sociology & Anthropology

Dean, College of Arts & Sciences

Revised 07/17/2016



DEPARTMENT *of* SOCIAL WORK

College of Arts & Sciences

EAST TENNESSEE STATE UNIVERSITY

PROMOTION AND TENURE POLICY

PURPOSE AND OVERVIEW

This document governs evaluation of social work faculty for third year review, promotion, and tenure. The criteria outlined in this document are to be used within the department and at other levels of review within the institution.

Candidates for promotion and/or tenure must present evidence of performance in three areas of productivity: teaching, research, and service. The evidence should be objective and documented. Activities should be located in one and only one area of productivity in the document.

ETSU has defined itself first and foremost as a teaching institution; thus all faculty members must be effective and competent teachers to be eligible for tenure and/or promotion. Once this threshold is met, then service and/or scholarship would next become foremost in tenure and/or promotion decisions, as determined by annual Workload Plans, Reports, and Evaluations developed under the guidance of and approved by the department chair. The department's criteria for promotion and tenure are comprehensive in nature, and are consistent with expectations for social work educators.

Promotion and tenure recommendations must carry with them the affirmation that, so far as can be determined, the individual receiving promotion and/or tenure understands the nature of membership in a community of scholars; that s/he adheres to a high standard of integrity and professional ethics; that s/he has the ability and desire to work as a cooperative member of a group while retaining all rights of individual expression; and that s/he evidences a sense of responsibility for the well-being of both students and fellow faculty in the Department, College,

and University. This department expects all faculty members to adhere to the NASW Code of Ethics.

TENURE AND PROMOTION **TEACHING**

The Department of Social Work encourages and rewards excellence in teaching. Teaching communicates knowledge to students, develops in them the desire and skills necessary to continue the quest for professional competence, and trains them to enter into professional and scholarly disciplines and vocational settings.

Criteria for Tenure at all Ranks

Required Activities

- Faithful class attendance or coverage for class when absence is necessary
- Availability to students and timely feedback on assignments
- Positive peer reviews with average scores of 3 (adequate) or higher on all indicators of the peer evaluation form (Spring 2015 version, appended), for each of the three years preceding application for tenure and/or promotion. If any peer evaluation has a score of less than 3 on any indicator then the applicant must include a response or a plan of remediation.
- Evidence of continuous updating of course materials
- A majority of SAI instructor subscale ratings of 26 or higher (total of items 4-11).

Illustrative Activities

Below is a list of illustrative examples of teaching activities (neither prescriptive nor exhaustive) that can be used to support the applicant's teaching record.

- Evidence of quality, relevance, scholarship, and currency of course content
- Evidence of rigor in assignments
- Evidence of appropriate technology in teaching
- Evidence of creative approaches to teaching content, such as designing class activities, engaging students in social action activities, and so on
- Evidence of collaborative work with students on publications, presentations, theses, or dissertations
- Interdisciplinary/interprofessional teaching or curriculum development
- Field instruction and liaison work
- Teaching awards
- Ongoing professional development as evidenced through conference, seminar, and workshop attendance or licensure renewal

Criteria for Promotion to Associate Professor

Required Activities

- Faithful class attendance or coverage for class when absence is necessary
- Availability to students and timely feedback on assignments

- Positive peer reviews with average scores of 4 or higher on all indicators on peer evaluation form revised version Spring 2015 (see appendix), at least once per year, for 3 years preceding application for tenure and/or promotion
- Evidence of continuous updating of course materials
- A majority of SAI instructor subscale ratings of 26 or higher (total of items 4-11)
- Seeking to attain full understanding of the program's overall curriculum

Illustrative Activities

Below is a list of illustrative examples of teaching activities (neither prescriptive nor exhaustive) that can be used to support the applicant's teaching record.

- Evidence of quality, relevance, scholarship, and currency of course content
- Evidence of rigor in assignments
- Evidence of appropriate technology in teaching
- Evidence of creative approaches to teaching content, such as designing class activities, engaging students in social action activities, and so on
- Evidence of collaborative work with students on publications, presentations, theses, or dissertations
- Interdisciplinary/interprofessional teaching or curriculum development
- Field instruction and liaison work
- Teaching awards
- Ongoing professional development as evidenced through conference, seminar, and workshop attendance or licensure renewal

Criteria for promotion to Professor

Required Activities

- Faithful class attendance or coverage for class when absence is necessary
- Availability to students and timely feedback on assignments
- Positive peer reviews with average scores of 4 or higher on all indicators on peer evaluation form revised version Spring 2015 (see appendix), at least once per year, for 3 years preceding application for tenure and/or promotion
- Evidence of continuous updating of course materials
- A majority of SAI instructor subscale ratings of 26 or higher (total of items 4-11)
- Seeking to attain full understanding of the program's overall curriculum
- Contribute to the development or maintenance of the program's overall curriculum

Illustrative Activities

Below is a list of illustrative examples of teaching activities (neither prescriptive nor exhaustive) that can be used to support the applicant's teaching record.

- Evidence of quality, relevance, scholarship, and currency of course content
- Evidence of rigor in assignments

- Evidence of appropriate technology in teaching
- Evidence of creative approaches to teaching content, such as designing class activities, engaging students in social action activities, and so on
- Evidence of collaborative work with students on publications, presentations, theses, or dissertations
- Interdisciplinary/interprofessional teaching or curriculum development
- Field instruction and liaison work
- Teaching awards
- Ongoing professional development as evidenced through conference, seminar, and workshop attendance or licensure renewal

Instructor Peer Review

Review Date: _____

Instructor Information

Name: _____

Number of Years Teaching at College Level _____

Tenure Status: Non-Tenure Track Tenured Pre-Tenure (years toward tenure: _____)

Course Information

Title of Class: _____

Class Level: BSW MSW

Reviewer Information

Name: _____

Number of Years Teaching at College Level _____

Tenure Status: Non-Tenure Track Tenured Pre-Tenure (years toward tenure: _____)

Instructor Evaluation

1=Needs Improvement, 2=Somewhat Lacking, 3=Adequate, 4=Better Than Adequate, 5=Exemplary

If a category does not apply or you cannot render a rating in a given context, please note this in the Comments section and provide an explanation.

Category	Rating	Comments
Preparedness	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Organization	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Professionalism	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Knowledge of Content	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Appropriate Encouragement of Student Interaction (Given the Topic/Course)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Responsiveness to Comments/Questions	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	

Classroom Management	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Appropriateness of Level of Teaching (e.g., teaching at or above level/skills of students)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Appropriateness of Creativity (Given the Topic/Course)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Personal Dynamics (e.g., projection/modulation of voice, animated/gestures)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	
Overall Impression of Teaching Abilities	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	

Strengths:

Specific Issues to Address:

Additional Comments:

TENURE AND PROMOTION ² SERVICE

Service is an important aspect of being a social work educator, and ethical obligations require social workers to provide service. Faculty members provide service to the department, college, university, their professions, and the community through their talent, technical expertise, and professional skills. Service falls into two broad categories: service to the university and to the profession of social work. Promotion and tenure requires evidence of fulfilling required responsibilities and engaging in additional service activities.

Criteria for Tenure at all Ranks

Required Activities for Tenure

- Consistent attendance at faculty and committee meetings
- Timely completion of required departmental tasks, including tasks associated with accreditation of program
- Community (public and University) and professional service activities
- Committee assignments and involvement at the departmental level
- Active academic advisement of students.

Illustrative public and professional service activities for Tenure

Suggested demonstrations may include but are not limited to:

- Membership on and contributions to professional boards or committees
- Consultation external to the department
- Clinical service and supervision provided as *pro bono* or at a nominal fee
- Legislative advocacy
- Social action activities
- Leadership and/or leadership positions in local, regional, and national groups, agencies, and/or organizations, including committee work for such groups
- Presentation of workshops to practitioners
- Organizing a conference or series of workshops
- CSWE site visitor activities
- Grant participation
- Service Awards
- Peer review of referred publications

Illustrative service to the University activities for Tenure

Suggested demonstration may include but are not limited to:

- Grant administration
- Committee assignments and involvement (department, college, and/or university levels)
- Mentoring junior faculty
- Participation on theses and dissertation committees outside of the department

- Special assignments and activities, administrative or other (e.g., recruitment, organizing a conference or series of workshops, developing a policy, writing a manual, developing a set of procedures)
- Participation in providing or offering department sponsored meetings, activities, and events
- Advisor to student organization and active in that role
- Contributions to self-study documents
- Service awards
- Curricular processes, such as the CPS system

Promotion to Associate Professor

Required Activities for Promotion to Associate Professor

Quality of service is indicated by the impact of the activity, extent of the faculty member's contribution, the recognition given to the faculty member or department as a result of the activity, evidence of leadership roles, evidence of improving the functioning of the department or University, evidence that the goals and aims of the profession were affected, and so on.

Demonstrated leadership at any level is highly valued, but promotion requires activity outside of the department. Active and ongoing academic advisement of students is required. Candidates for promotion to associate professor must present clear demonstration of *both* public and professional service activities as well as service to the University, all comparable to Associate Professors in the department over the last two (2) years.

Illustrative public and professional service activities

Suggested demonstrations for promotion to **Associate Professor** may include but are not limited to:

- Membership on and contributions to professional boards or committees
- Consultation external to the department
- Clinical service and supervision provided as *pro bono* or at a nominal fee
- Legislative advocacy
- Social action activities
- Leadership and/or leadership positions in local, regional, and national groups, agencies, and/or organizations, including committee work for such groups
- Presentation of workshops to practitioners
- Organizing a conference or series of workshops
- CSWE site visitor activities
- Grant participation
- Service Awards
- Peer review of referred publications

Illustrative service to the University activities

Suggested demonstration for promotion to **Associate Professor** may include but are not limited to:

- Grant administration
- Committee assignments and involvement (department, college, and/or university levels)
- Mentoring junior faculty
- Participation on theses and dissertation committees outside of the department
- Special assignments and activities, administrative or other (e.g., recruitment, organizing a conference or series of workshops, developing a policy, writing a manual, developing a set of procedures)
- Participation in providing or offering department sponsored meetings, activities, and events
- Advisor to student organization and active in that role
- Contributions to self-study documents
- Service awards
- Curricular processes, such as the CPS system

Promotion to Full Professor

Required Activities for Promotion to Full Professor

Candidates for promotion to full professor must present clear demonstration of *both* public and professional service activities as well as service to the University, all comparable to Full Professors in the department over the last two (2) years.

Illustrative public and professional service activities

Additional suggested demonstrations for promotion to **Full Professor** may include but are not limited to:

- Leadership roles in community and professional service activities;
- Leadership and/or leadership positions in national groups, agencies, and/or organizations;
- Presentation of workshops to practitioners for CEU[s]; and,
- Key role in CSWE site visitor activities.

Illustrative services to the University activities

Additional suggested demonstrations for rank of **Full Professor** should include but are not limited to:

- Key role in committee assignments and involvement (department, college, and/or university levels); and
- Significant contributions to self-study documents such as
 - Major conceptual written products
 - Major quantitative contributions for program outcome study

Evaluation of service activities includes assessments of the extent of the faculty member's contribution and the degree to which the service yields important benefits to the University, the profession, or the public at large. Service activities are significant when they result in improved, ongoing, or new services to clients; when they make a substantial contribution to a professional organization; or when they increase the visibility of the department and/or University. Significant professional service requires more than organizational membership and attendance. Examples of significant service include that done by an officer of a professional organization or a member of the editorial staff of a journal. Demonstrated leadership at any level is highly valued, but promotion would require visibility, achievement, and/or leadership in professional-community levels beyond local. Thus, appraisal of a candidate's local, regional, and national stature should be evaluated.

TENURE AND PROMOTION ⁷ SCHOLARSHIP AND RESEARCH

Research and scholarly activity that builds and expands the knowledge base in social work is an accreditation requirement, an ethical expectation, as well as a fundamental responsibility of a social work faculty member. Research and scholarship productivity in the Department of Social Work is demonstrated by the generation of products that are part of an *ongoing and sustained* program that represents individual or collaborative activity resulting in the construction, discovery, or integration of knowledge. It is expected that developing scholars should produce and disseminate both significant scholarly products and other products that provide additional evidence of committed efforts in research and scholarship. A scholarly product is most valued when it is characterized by methodological and/or conceptual soundness, creativity, innovation, demonstrated relevance to the field, and/or constitutes other knowledge-building efforts.

The greatest weight for research and scholarship will be given to scholarly products of the First Tier, which include:

- Peer-reviewed journal articles that are published or accepted and in-press
- Book chapters that have been peer-reviewed
- Books and peer-reviewed monographs relevant to social work practice/academia published by other than vanity presses
- Funding of competitive internal and external large grants
- Published papers in peer-reviewed conference proceedings

Weighting of multiple authorships is as follows:

- No distinction is made between sole author, coauthor, or third author. Scholarly products where the candidate is in one of these positions counts as 1 product.
- Authorship in the fourth position or higher is considered to count at half (1/2) the weight of the above.

Other scholarly products of the Second Tier that provide supportive evidence of a faculty member's ⁸ performance in the areas of research and scholarship, as well as scholarly reputation, but do NOT substitute for significant scholarly products (First Tier), include:

- Refereed research and scholarly papers presented at well-known, major professional conferences (e.g., NASW, CSWE, BPD, SSWR)
- Editorials in professional, refereed journals
- Submission of large grant requests
- Funding of competitive internal and external small grants
- Development of new policy proposals
- Article, book, or grant proposal review
- Design, testing, implementation, evaluation, and reporting of programs, services, or practice innovations
- Non-peer-reviewed literature
- Published abstracts or book reviews
- Newsletters
- Applied social science materials

- Review of manuscripts for journals or book publishers
- Presentation of non-juried original work at other scholarly or professional meetings
- Non peer-reviewed monographs

Third Tier activities provide additional evidence of the scholarly reputation of a faculty member. These activities also do not substitute for significant scholarly products, but represent a complement to such products. Such activities include:

- Invited presentations in area(s) of expertise
- Educational panels of local or regional professional organizations
- Other research and scholarly efforts
- Evidence of research or scholarship in progress; verification of stages of development is mandatory
- Submission of scholarly papers for publication
- Submission of externally and competitively funded grant requests
- Substantial posts to professional websites. *It is the candidate's responsibility to provide evidence of the site's professional nature and links to the post.*
- Blog posts related to professional social work. *It is the candidate's responsibility to provide evidence of the site's professional nature and links to the post.*

Criteria for Tenure at all Ranks

A faculty member receiving tenure would be expected to provide evidence of two (2) First Tier scholarly products (one of which must have been completed and accepted since hire) with substantial supportive evidence in the other categories.

Promotion to Associate Professor

Applicants for Associate Professor will show evidence of an *ongoing and sustained body of work* that includes three (3) First Tier scholarly products (two of which must have been completed and accepted since hire) and two of which must be refereed journal articles, with substantial supportive evidence in the other categories. Applicants for Associate Professor will also show continued substantive merit in teaching and service as defined by the required and supportive activities.

Promotion to Full Professor

Applicants for Professor will show evidence of an *ongoing and sustained body of work* that includes an additional two refereed journal articles since promotion to Associate Professor (five First-Tier products total), in addition to at least three scholarly products in the supportive areas. A full professor also should have attained national recognition in an area of expertise, as evidenced by refereed scholarly products, invited scholarly presentations, election to national boards of directors, serving as editor or reviewer for national professional journals, published books or book chapters, or other publications. Applicants for full Professor will also show continued substantive merit in teaching and service as defined by the required and supportive activities.

College of Business & Technology Tenure and Promotion Criteria

Accountancy

Tenure || Promotion

Computer and Information Sciences

Tenure || Promotion

Economics and Finance

Tenure || Promotion

Engineering Technology, Surveying, and Digital Media

Tenure || Promotion

Management and Marketing

Tenure || Promotion

College or Department Level Promotion/Tenure Criteria

College Business & Technology
Department Accountancy Tenure and Promotion Criteria
Approved 11-08-2016



Department of Accountancy Promotion and Tenure Guidelines

Teaching

The ETSU Faculty Handbook requires that candidates for **Tenure** present clear evidence of “teaching ability” and “potential for continued development.” For **promotion to the ranks of Assistant Professor and Associate Professor**, candidates must provide evidence of “teaching effectiveness.” In addition to providing evidence of “teaching effectiveness,” candidates for **promotion to Professor** must provide evidence of “teaching excellence.”

Evidence of “teaching ability,” “potential for continued development,” “teaching effectiveness,” and “teaching excellence” must be demonstrated in two ways.

Currency and Competency

First, candidates must demonstrate competency and currency in the subject matter of their courses. Such evidence can appear in a variety of forms including, **but not limited to**, the following:

- Practicing the pedagogical art at a high level by utilizing a variety of advanced techniques to enhance the learning experience for students.
- Staying current and relevant by incorporating the latest research, business practice and environmental exigencies into his or her lectures, exercises, case studies and projects.
- Teaching multiple preparations, covering a wide variety of classes, developing new experimental classes to include online, Webex, and ITV, and teaching written, oral and technologically intensive classes.
- Maintaining rigorous standards and requiring and expecting a high level of performance by students.

Effective delivery of course content

Second, candidates must demonstrate effective delivery of course content. Such evidence **must** include student assessment of instruction and input and evaluations from peers or chairpersons. In addition, evidence can appear in a variety of forms including, **but not limited to**, the following:

- Recognized college, university or organizational awards for teaching excellence.
- Student performance on professional examinations or other accepted outcome measures associated with the faculty’s teaching responsibilities.
- Performance of students in subsequent classes.
- A preponderance of favorable comments on senior exit surveys, written student evaluations, alumni surveys or employer surveys.
- Unsolicited letters or statements from past students describing teaching effectiveness.

College or Department Level Promotion/Tenure Criteria



College Business & Technology
Department Accountancy Tenure and Promotion Criteria
Approved 11-08-2016

Research and Scholarly Activity

The ETSU Faculty Handbook requires that candidates for **promotion to the rank of Assistant Professor** provide evidence of “promise of productive creative and scholarly research.” **Tenure** candidates must provide evidence of peer reviewed “research, scholarship and/or creative activities.” Candidates for **promotion to Associate Professor** must provide evidence of “high quality professional productivity,” and candidates for promotion to **Professor** must show evidence of “*sustained* high quality scholarly or creative activity.”

ETSU policy emphasizes that candidates provide “clear evidence of the quality” of their work and that it be peer-reviewed. In addition, the Faculty Handbook clearly states that “quality is more important than quantity.” Finally, the candidates must identify their contributions to co-authored work and must verify the stages of development of all research in progress.

Research and Scholarly Activity in the Accountancy Department

Consistent with the mission of the Department of Accountancy, the goals of the department’s research and scholarly activity are the production of Applied Research that benefits accounting practitioners and the production of Pedagogical Research that improves the quality and effectiveness of accounting instruction.

Indicators of Research Quality

Publications of articles in academic and professional journals are of primary importance. Articles appearing in peer-reviewed journals are valued more than in non-refereed journals. Similarly, publication in higher-quality journals is valued more than in lesser-quality journals. Indicators of journal quality may include, *but are not limited to*, the journal acceptance rates and size of journal circulation. Similarly, evidence of the quality of individual articles may be indicated by factors including, *but not limited to*, the number of times the article has been cited by subsequent articles, the reprinting of the article in other journals, and the quality of citing article.

Typically, papers presented at professional meetings carry less weight than journal articles. On the other hand, a paper presented at a peer-reviewed national or international meeting could be considered a more significant contribution than an article published in a non-refereed journal. Papers presented at national and international professional meetings are valued higher than those presented at regional, state, and local professional meetings. The significance of content and selection process should be considered when reviewing such presentations.

College or Department Level Promotion/Tenure Criteria



College Business & Technology
Department Accountancy Tenure and Promotion Criteria
Approved 11-08-2016

Service

The ETSU Faculty Handbook requires that candidates for **promotion to the rank of Assistant Professor** provide evidence of “promise of professional service.” **Tenure** candidates must provide documented evidence of contributions in Public, University, and/or Professional service. Candidates for **promotion to Associate Professor** must provide evidence of service activities of a “significant nature,” and candidates for promotion to **Professor** must show evidence of service activities of an “outstanding nature.”

Indicators of Public Service

Public service primarily involves sharing professional expertise to benefit the community and society at large. Public service by the Accountancy faculty would include activities such as, *but not limited to*:

- Service as treasurer or member of the finance board of a church or civic organization
- Serving as coordinator of the VITA program

Indicators of University Service

University service includes, *but is not limited to*, serving on departmental committees and participating in college and university committees and student advising. University service by the Accountancy faculty would include activities such as, *but not limited to*:

- Leadership roles on university, college, and departmental committees and task forces.
- Serving as faculty advisor to Beta Alpha Psi.
- Participation on university, college, and departmental committees and task forces.

Indicators of Professional Service

Professional service refers to the work done for organizations related to one's discipline or to the teaching profession generally. Service to the profession includes association leadership, journal editorships, articles and grant proposal review, guest lecturing on other campuses, and other appropriate activities.

Professional service by the Accountancy faculty would include activities such as, *but not limited to*:

- Leadership roles on professional organizations such as the TSCPA or the IMA.
- Presentations at the annual Accounting, Auditing, and Tax Updating Conference that is provided to local practitioners by the Department of Accountancy.

College or Department Level Promotion/Tenure Criteria



College Business & Technology
Department Computer and Information Sciences Tenure and Promotion Criteria
Approved 08-17-2005

Guidelines for Tenure and Promotion Department of Computer and Information Sciences

Revised 8.17.2005

We are in concert with the promotion and tenure guidelines established by ETSU. The following addendums should be made specific to our program:

Tenure

In the area of Research, Scholarly and Creative activity:

Computer Science is a very dynamic discipline. Learning new methodology, skills, and technology will be considered as part of the candidate's research agenda.

Due to the scarcity of Ph.D.s in the field of computer science, candidates with a master's degree will be considered for tenure providing they have shown evidence of the ability to do scholarly research in the discipline.

Promotion

In the area of Discipline – Specific Expectations:

Computer Science is a very dynamic discipline. Learning new methodology and technology will be considered as part of the candidate's research agenda.

In the area of Basic Expectations for Rank of Assistant Professor, Associate Professor, and Professor:

Due to the scarcity of Ph.D.s in the field of computer science, exceptions can be made for candidates with a master's degree.

College or Department Level Promotion/Tenure Criteria

College Business & Technology
Department Economics and Finance
Approved 03-06-2015



Promotion Criteria

I. Preamble

The Promotion criteria contained herein should be thought of as helpful guidelines rather than strict rules. They are intended to assist, not to replace, a careful professional evaluation of a candidate's performance in the areas of Teaching, Research, Service and Professional Conduct.

II. Promotion

In addition to being in full compliance with all TBR and university requirements associated with promotion, faculty of the College of Business and Technology must demonstrate excellence in teaching and the appropriate level of achievement in research, scholarly and/or creative activity and service for the rank to which they are being promoted. Given the information at hand, it is incumbent upon the candidate seeking promotion to provide evidence demonstrating his/her achievements in each area.

A. Teaching

Excellence in teaching requires that the candidate successfully demonstrate competency and currency in the subject matter and effectiveness in its delivery. Candidates for promotion will be judged excellent if *both* of the following criteria are met:

1. Criterion 1: Demonstration of *competence and currency* with validated accomplishments in at least two areas such as:
 - a. Practicing the pedagogical art at a high level by utilizing a variety of advanced techniques to enhance the learning experience for students.
 - b. Staying current and relevant by incorporating the latest research, business practice and environmental exigencies into his or her lectures, exercises, case studies and projects.
 - c. Teaching multiple preparations, covering a wide variety of classes, developing new experimental classes, and teaching written, oral and technologically intensive classes.
 - d. Maintaining rigorous standards and requiring and expecting a high level of performance by students.
2. Criterion 2: Demonstration of effective delivery of content. TBR and ETSU policy state that SAIs and peer evaluations of teaching **MUST** be included in applications for tenure or promotion. It may also include other evidence of effective delivery of content, such as:
 - a. Recognized college, university or organizational awards for teaching excellence.
 - b. Student performance on professional examinations or other accepted outcome measures associated with the faculty's teaching responsibilities.

College or Department Level Promotion/Tenure Criteria



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- c. A preponderance of favorable comments on senior exit surveys, written student evaluations, alumni surveys or employer surveys.
- d. Input and evaluations from chairpersons.
- e. Unsolicited letters or statements from past students describing teaching effectiveness.
- f. Utilization of ITV, Internet, and/or other technology to deliver instructional material.
- g. Utilization of extended campus and/or other outreaches to deliver instructional material.
- h. The preparation of text books, tutorials, and other instructional resources.

B. Research and Scholarly Activity:

The candidate must present a *consistent stream* of scholarly activity that meets the performance expectations for promotion to the rank of associate professor or full professor. Both the *quantity and quality* of contributions should be considered. Appendix Bⁱ provides summary guidance as to scholarly contributions of faculty qualifying for promotion over the past three years.

1. In addition, in both categories, research and scholarly activities should be exhibited in outlets such as: refereed journal articles, editorially reviewed journals, conference proceedings, presentation at academic conference meetings, and publication through web-based outlets.
2. Allowances can and should be made to reflect the quality of the journal in which an item is published. Thus, an article published in a top-tier journal that brings recognition to the department, college, and university can be considered as equivalent to articles published in less prestigious research outlets. Similarly, those evaluating a candidate's research efforts can consider the publication of a highly acclaimed monograph or textbook as equivalent to some number of journal articles. Authorship of chapters in a book might be considered as equivalent to a journal article. The research effort involved in a sole authored journal article might be viewed as comparative to that for more than one co-authored articles. In the case of co-authored works, the candidate must demonstrate his/her contributions to the work. In short, the evaluation of a candidate's research performance is to be more than a counting process; it should reflect sound academic judgment as well as common sense.

Consistent with the mission of the Department of Economics and Finance to:

“.. cultivate an environment that stresses ethical values, leadership, and multidisciplinary participation in meeting the needs of business, government, and the community,”

a Funded External Grant (FEG) is considered the equivalent of a PRJ. FEGs at the state and national level have a much lower probability of acceptance and can be given a higher weight than a single PRJ. High dollar amount FEGs have a much lower probability of acceptance and can be given a higher weight than a single PRJ. An Economic Impact Study (EIS) is considered the equivalent of a PRJ a more complex EIS can be given a higher weight than a single PRJ.

College or Department Level Promotion/Tenure Criteria



College Business & Technology
Department Economics and Finance
Approved 03-06-2015

The Department considers the following criteria when evaluating research and scholarly output:

- *Peer-review*
- *Acceptance rate*
- *Citations in other publications*
- *Google scholar metrics*
- *Academia.edu metrics*
- *Reader response*
- *SSRN Downloads*

C. Service

The candidate must present a service record that should include participation in organizations and on committees although more significance will be attached to leadership roles therein. Requirements in service will depend on the rank at the time of promotion and will be weighed relative to considerations for teaching and research, scholarly and/or creative activities. Among the criteria on which the evaluation of service should be based are effectiveness with which the service is performed, its relation to the general welfare of the university, and its effect on the development of students and other faculty members. Superior service would demonstrate a record of performance over time that included leadership of institutional service efforts, and/or regional or national reputation in activities pursuant to the individual's discipline.

1. Promotion to the rank of associate professor:

The candidate should demonstrate continued activity in service at the departmental, college, and university level. Such service activity will be improved with the demonstration of leadership. Additionally, service to the profession and in the community is expected and will strengthen the candidate's service record.

2. Promotion to the rank of professor:

The candidate will demonstrate a record of continued leadership in institutional service activities or, alternatively, will demonstrate an outstanding record of professional service or community service, which will make the individual regionally or nationally known in the discipline.

3. Service Indicators

a. Service to the University and to affiliated institutions:

This category includes departmental, college/school, and university committee participation and leadership roles therein; participation in university governance; administrative service; advisement of students; recruitment activities; service to student organizations; willingness in meeting special needs that may arise within the university;

College or Department Level Promotion/Tenure Criteria



College Business & Technology
Department Economics and Finance
Approved 03-06-2015

reputation for cooperation by colleagues; university-wide respect and recognition earned for the College through service activities; and other related activities.

b. Service to one's profession:

This category includes memberships as well as leadership roles in professional organizations at international, national, regional, state and/or local levels; attendance at international, national regional state and/or local professional meetings; serving as a program chair, reviewer, and/or discussant at international, national, regional state and/or local professional meetings; respect among colleagues at international, national, regional, state and/or local professional organizations as demonstrated by frequent opportunities to serve as a committee chair or officer, service as a reviewer on the editorial board of a journal or proceedings; reviewer of books or manuscripts for professional publishers; discipline related training; and other related activities.

c. Service in the community:

This category includes membership or leadership in civic and community organizations; making presentations related to one's discipline to these organizations; providing professional advice and counsel to groups or individuals; providing discipline-related continuing education workshops and programs; production and distribution of discipline-related, service-oriented publications; dissemination of information to the broadcast and print media; and other types of service particularly in the University's service area.

D. Exceptions

When exceptions to these criteria are deemed to be appropriate, the reasons for doing so should be thoroughly explained by all those involved in the decision process, including the candidate, the department committee, the department chair, the college committee, and the dean.

III. Professional Conduct

In addition to the promotion requirements in II above, promotion candidates are expected to maintain high professional standards and behavior consistent with professional ethics. The candidate must also demonstrate willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit.

IV. Implementation Issues

A. Faculty Hired with Credit for Prior Service with or without Advanced Standing

Faculty hired with credit for prior service with or without advanced standing in rank are required to demonstrate a *consistent stream* of scholarly activity while a member of the faculty at East Tennessee State University and meet the performance expectations for promotion described in sections II and III of this document.

College or Department Level Promotion/Tenure Criteria

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Approved 03-06-2015



B. Revisions

1. Minor Revisions:

The college's Promotion and Tenure Committee may recommend minor revisions to the promotion and tenure criteria annually. Such revisions are subject to ratification at the next regularly scheduled faculty meeting.

2. Major Revisions and Review:

The Strategic Planning Committee may propose major revisions to the criteria reflecting changes in the priorities and values of the college. Revision and review of the Promotion and Tenure Criteria may be requested by a majority vote of the faculty of the college or the dean at any time. Without a vote or request by the dean, the Strategic Planning Committee will be asked to review the criteria every five years, providing the faculty of the college with their recommendations for action. Revisions are subject to ratification at the next regularly scheduled faculty meeting.

ⁱ Appendix B is available in the Dean's Office of the College of Business and Technology.

College or Department Level Promotion/Tenure Criteria

College Business & Technology
Department Economics and Finance
Approved December 2001



Tenure Criteria

I. Preamble

The Promotion and Tenure criteria contained herein should be thought of as helpful guidelines rather than strict rules. They are intended to assist, not to replace, a careful professional evaluation of a candidate's performance in the areas of Teaching, Research, Service and Professional Conduct.

II. Tenure

In addition to being in full compliance with all TBR and university requirements associated with tenure, faculty of the College of Business and Technology must demonstrate excellence in teaching and the appropriate level of achievement in research, scholarly and/or creative activity, and service for the rank at which they are being tenured. Given the information at hand, it is incumbent upon the candidate seeking tenure to provide evidence demonstrating his/her achievements in each area.

A. Teaching

Excellence in teaching requires that the candidate successfully demonstrate competency and currency in the subject matter and effectiveness in its delivery. Candidates for tenure will be judged excellent if *both* of the following criteria are met:

1. Criterion 1: Demonstration of *competence and currency* with validated accomplishments in at least two areas such as:
 - a. Practicing the pedagogical art at a high level by utilizing a variety of advanced techniques to enhance the learning experience for students.
 - b. Staying current and relevant by incorporating the latest research, business practice and environmental exigencies into his or her lectures, exercises, case studies and projects.
 - c. Teaching multiple preparations, covering a wide variety of classes, developing new experimental classes, and teaching written, oral and technologically intensive classes.
 - d. Maintaining rigorous standards and requiring and expecting a high level of performance by students.
2. Criterion 2: Demonstration of effective delivery of content. TBR and ETSU policy state that SAIs and peer evaluations of teaching **MUST** be included in applications for tenure or promotion. Additional evidence of effective delivery of content may include, but not be limited to:
 - a. Recognized college, university or organizational awards for teaching excellence.
 - b. Student performance on professional examinations or other accepted outcome measures associated with the faculty's teaching responsibilities.

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Approved December 2001

- c. A preponderance of favorable comments on senior exit surveys, written student evaluations, alumni surveys or employer surveys.
- d. Input and evaluations from chairpersons.
- e. Unsolicited letters or statements from past students describing teaching effectiveness.
- f. Utilization of ITV, Internet, and/or other technology to deliver instructional material.
- g. Utilization of extended campus and/or other outreaches to deliver instructional material.
- h. The preparation of text books, tutorials, and other instructional resources.

B. Research and Scholarly Activity:

The candidate must present a *consistent stream* of scholarly activity, meeting the performance expectations for tenure. Both the *quantity and quality* of contributions should be considered. Appendix Aⁱ provides summary guidance as to scholarly contributions of faculty qualifying for tenure over the past three years.

1. Research and scholarly activities should be exhibited in outlets such as: refereed journal articles, editorially refereed journals, conference proceedings, presentations at academic conference meetings, and publication through web-based outlets.
2. Allowances can and should be made to reflect the quality of the journal in which an item is published. Thus, an article published in a top-tier journal that brings recognition to the department, college, and university can be considered as equivalent to multiple articles published in less prestigious research outlets. Similarly, those evaluating a candidate's research efforts can consider the publication of a highly acclaimed monograph or textbook as equivalent to some number of journal articles. Authorship of chapters in a book might be considered as equivalent to a journal article. The research effort involved in a sole authored journal article might be viewed as comparative to that for more than one co-authored articles. In the case of co-authored works, the candidate must demonstrate his/her contributions to the work. In short, the evaluation of a candidate's research performance is to be more than a counting process; it should reflect sound academic judgment as well as common sense.

Consistent with the mission of the Department of Economics and Finance to:

".. cultivate an environment that stresses ethical values, leadership, and multidisciplinary participation in meeting the needs of business, government, and the community,"

a Funded External Grant (FEG) is considered the equivalent of a PRJ. FEGs at the state and national level have a much lower probability of acceptance and can be given a higher weight than a single PRJ. High dollar amount FEGs have a much lower probability of acceptance and can be given a higher weight than a single PRJ. An Economic Impact Study (EIS) is considered

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the equivalent of a PRJ a more complex EIS can be given a higher weight than a single PRJ.

The Department considers the following criteria when evaluating research and scholarly output:

- *Peer-review*
- *Acceptance rate*
- *Citations in other publications*
- *Google scholar metrics*
- *Academia.edu metrics*
- *Reader response*
- *SSRN Downloads*

C. Service

The candidate must present a service record that should include participation in organizations and on committees although more significance will be attached to leadership roles therein. Requirements in service will depend on the rank at the time of tenure and will be weighed relative to considerations for teaching and research, scholarly and/or creative activities. Among the criteria on which the evaluation of service should be based are effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of students and other faculty members. Superior service would demonstrate a record of performance over time that included leadership of institutional service efforts and/or regional or national reputation in activities pursuant to the individual's discipline.

1. Tenure at the rank of assistant professor:

The candidate should demonstrate activity in service at the departmental, college, or university level with promise for continued activity and leadership roles. Service to the profession and in the community is also encouraged.

2. Tenure at the rank of associate professor:

The candidate should demonstrate continued activity in service at the departmental, college, and university level. Such service activity will be improved with the demonstration of leadership. Additionally, service to the profession and in the community is expected and will strengthen the candidate's service record.

3. Tenure at the rank of professor:

The candidate will demonstrate a record of continued leadership in institutional service activities or, alternatively, will demonstrate an outstanding record of professional service or community service, which will make the individual regionally or nationally known in the discipline.

4. Service Indicators

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a. Service to the University and to affiliated institutions:

This category includes departmental, college/school, and university committee participation and leadership roles therein; participation in university governance; administrative service; advisement of students; recruitment activities; service to student organizations; willingness in meeting special needs that may arise within the university; reputation for cooperation by colleagues; university-wide respect and recognition earned for the College of Business through service activities; and other related activities.

b. Service to one's profession:

This category includes memberships as well as leadership roles in professional organizations at international, national, regional, state and/or local levels; attendance at international, national regional state and/or local professional meetings; serving as a program chair, reviewer, and/or discussant at international, national, regional state and/or local professional meetings; respect among colleagues at international, national, regional, state and/or local professional organizations as demonstrated by frequent opportunities to serve as a committee chair or officer, service as a reviewer on the editorial board of a journal or proceedings; reviewer of books or manuscripts for professional publishers; discipline related training; and other related activities.

c. Service in the community:

This category includes membership or leadership in civic and community organizations; making presentations related to one's discipline to these organizations; providing professional advice and counsel to groups or individuals; providing discipline-related continuing education workshops and programs; production and distribution of discipline-related, service-oriented publications; dissemination of information to the broadcast and print media; and other types of service particularly in the University's service area.

D. Exceptions

When exceptions to these criteria are deemed to be appropriate, the reasons for doing so should be thoroughly explained by all those involved in the decision process, including the candidate, the department committee, the department chair, the college committee, and the dean.

III. Professional Conduct

In addition to the promotion requirements in II above, tenure candidates are expected to maintain high professional standards and behavior consistent with professional ethics. The candidate must also demonstrate willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit.

IV. Implementation Issues

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A. Faculty Hired with Credit for Prior Service with or without Advanced Standing

Faculty hired with credit for prior service with or without advanced standing in rank are required to demonstrate a consistent stream of scholarly activity while a member of the faculty at East Tennessee State University and meet the performance expectations for tenure described in sections II and III of this document.

B. Revisions

1. Minor Revisions:

The college's Promotion and Tenure Committee may recommend minor revisions to the promotion and tenure criteria annually. Such revisions are subject to ratification at the next regularly scheduled faculty meeting.

2. Major Revisions and Review:

The college's Strategic Planning Committee may propose major revisions to the criteria reflecting changes in the priorities and values of the college. Revision and review of the Promotion and Tenure Criteria may be requested by a majority vote of the faculty of the college or the dean at any time. Absent such requests the Strategic Planning Committee will review the criteria every five years, providing the faculty of the college with its recommendations for action. Revisions are subject to ratification at the next regularly scheduled faculty meeting.

¹ Appendix A is available in the Dean's Office of the College of Business And Technology.

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Departmental Criteria to be Considered in Tenure Recommendations

The Definitions for Teaching / Research/ Service listed in ETSU/TBR policy for tenure shall be used with the following additions:

For the Teaching Area:

Engineering Technology, Surveying and Digital Media faculty will also show continued course and materials development to meet demanding technological changes.

Varying loads as a function of administrative / advising / graduate supervision / mentoring shall be considered as a function of total workload for the teaching area.

Developing laboratory material when applicable to support program requirements shall be counted toward total workload for the teaching area.

For the Research/Scholarship/Creative Activities Area:

Discipline related projects, which result in externally or internally funded research or development, shall be counted toward the area of Research/Scholarship/Creative Activities.

For the Service Area:

The definition for service shall include funded and pro bono consulting in the discipline area.

Collegiality of applicants shall be considered based on the following definition:

The ability to work well with colleagues is a vital faculty attribute and should be assessed in the context of the faculty member's responsibilities including the areas of scholarship, teaching and service. Faculty members should be assessed in the context of their demonstrated abilities to collaborate and constructively cooperate in all aspects of teaching, research/scholarship and service, including issues of departmental governance. Collegiality and student advising should also be viewed as an aspect of a faculty member's performance as it contributes to the growth and well-being of the department or academic program unit, and to the accomplishment of their respective missions.

Also each Candidate shall provide at the end of the third year a draft tenure document for review by the departmental tenured faculty or departmental tenure review committee. The Tenure documents shall be reviewed by a minimum of one external reviewer in a similar discipline area or an internal reviewer in a different department. The tenure committee will work with the candidate to select this reviewer and the tenure committee can consider the external reviewers comments in its deliberations.

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Departmental Criteria to be Considered in Promotion Recommendations

The Definitions for Teaching / Research/ Service listed in ETSU/TBR policy for tenure shall be used with the following additions:

- Discipline related projects, which result in externally or internally funded research or development, shall be counted toward the area of Research/Scholarship/Creative Activities.
- Creative endeavors in the discipline area that reflect intellectual growth shall be counted toward the area of Research / Scholarship / Creative Activities.
- The definition for service shall include funded and pro bono consulting in the discipline area.
- Collegiality as defined in the tenure section above shall be an additional area considered at the department level for promotion.
- For the Associate Professor the terminal degree for the area will be defined by the appropriate accreditation body (eg. ABET).
- For promotion to Professor documented evidence of sustained high quality professional productivity and national or regional recognition in the academic discipline.

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TENURE

A. Teaching:

Excellence in teaching requires that the candidate successfully demonstrate competency and currency in the subject matter and effectiveness in its delivery. Candidates for tenure will be judged excellent if both of the following criteria are met:

1. Criterion 1: Demonstration of competence and currency with validated accomplishments in several of the following areas:
 - a. Practicing the pedagogical art at a high level by utilizing a variety of advanced techniques to enhance the learning experience for students.
 - b. Staying current and relevant by incorporating the latest research, business practice and environmental exigencies into his or her lectures, exercises, case studies and projects.
 - c. Teaching multiple preparations, covering a wide variety of classes, developing new experimental classes to include online, Webex, and ITV, and teaching written, oral and technologically intensive classes.
 - d. Maintaining rigorous standards and requiring and expecting a high level of performance by students.
2. Criterion 2: Demonstration of effective delivery of content. It is incumbent upon the candidate seeking tenure to provide evidence demonstrating the achievement of this criterion. Such evidence must include, but not be limited to:
 - a. Recognized college, university or organizational awards for teaching excellence.
 - b. Student performance on professional examinations or other accepted outcome measures associated with the faculty's teaching responsibilities.
 - c. Performance of students in subsequent classes.
 - d. A preponderance of favorable comments on senior exit surveys, written student evaluations, alumni surveys or employer surveys.
 - e. Student assessment of instruction
 - f. Input and evaluations from peers or chairpersons.

B. Research and Scholarly Activity:

The candidate must present a consistent stream of scholarly activity, meeting the following performance

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expectations. Both the quantity and quality of contributions should be considered. In the case of co-authored works, the candidate must demonstrate his/her contributions to the work. In all cases, the number of refereed journal articles represents the cumulative number to include from the terminal degree program up to time of tenure review.

1. For tenure at the rank of assistant professor:

A minimum of four refereed journal articles either published or unconditionally accepted for publication. It is the responsibility of the applicant to demonstrate the quality of his/her work through the utilization of a reliable research evaluation tool.

2. For tenure at the rank of associate professor:

A minimum of six refereed journal articles either published or unconditionally accepted for publication. It is the responsibility of the applicant to demonstrate the quality of his/her work through the utilization of a reliable research evaluation tool.

3. For tenure at the rank of professor:

During one's career, a total of 16 or more refereed journal articles or other publications (i.e. books, book chapters, etc.) either published or unconditionally accepted for publication. At least one of these articles must be sole-authored. It is the responsibility of the applicant to demonstrate the quality of his/her work through the utilization of a reliable research evaluation tool.

4. In addition, in all categories above, research and scholarly activities should be exhibited in outlets such as, conference proceedings, editorially reviewed journals, presentations at academic conference meetings, and publication through web-based outlets.

5. Allowances can and should be made to reflect the quality of the journal in which an item is published. Thus, an article published in a top-tier journal that brings recognition to the department, college, and university can be considered as equivalent to multiple articles published in less prestigious research outlets. Similarly, those evaluating a candidate's research efforts can consider the publication of a highly acclaimed monograph or textbook as equivalent to some number of journal articles. Chapters in a book will be judged based on their merit. The research effort involved in a sole authored journal article might be viewed as comparative to that for more than one co-authored articles. However, a candidate who relies solely upon articles published in less prestigious research outlets will require additional articles to demonstrate that he/she has met performance expectations. The evaluation of a candidate's research performance is to be more than a counting process; it will reflect academic judgment.

C. Service:

The candidate must present a service record that should include participation in organizations and on committees although more significance will be attached to leadership roles therein. Requirements in service will depend on the rank at the time of tenure and will be weighed relative to considerations for teaching and research, scholarly and/or creative activities. Among the criteria on which the evaluation of

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service should be based are effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of students and other faculty members. Superior service would demonstrate a record of performance over time that included leadership of institutional service efforts, and/or regional or national notoriety in activities pursuant to the individual's discipline.

1. Tenure at the rank of assistant professor:

The candidate should demonstrate activity in service at the departmental, college, or university level with promise for continued activity and leadership roles. Service to the profession and in the community is also encouraged.

2. Tenure at the rank of associate professor:

The candidate should demonstrate continued activity in service at the departmental, college, and university level. Such service activity will be improved with the demonstration of leadership. Additionally, service to the profession and in the community is expected and will strengthen the candidate's service record.

3. Tenure at the rank of professor:

The candidate will demonstrate a record of continued leadership in institutional service activities or, alternatively, will demonstrate an outstanding record of professional service or community service, which will make the individual regionally or nationally known in the discipline.

4. Service indicators

a. Service to the University and to affiliated institutions:

This category includes departmental, college/school, and university committee participation and leadership roles therein; participation in university governance; administrative service; advisement of students; recruitment activities; service to student organizations; willingness in meeting special needs that may arise within the university; reputation for cooperation by colleagues; university-wide respect and recognition earned for the College of Business and Technology through service activities; and other related activities.

b. Service to one's profession:

This category includes memberships as well as leadership roles in professional organizations at international, national, regional, state and/or local levels; attendance at international, national regional state and/or local professional meetings; serving as a program chair, reviewer, and/or discussant at international, national, regional state and/or local professional meetings; respect among colleagues at international, national, regional, state and/or local professional organizations as demonstrated by frequent opportunities to serve as a committee chair or officer, service as a reviewer on the editorial board of a journal or proceedings; reviewer of books or manuscripts for professional publishers; discipline related training; and other related activities.

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c. Service in the community:

This category includes membership or leadership in civic and community organizations; making presentations related to one's discipline to these organizations; providing professional advice and counsel to groups or individuals; providing discipline related continuing education workshops and programs; production and distribution of discipline related, service-oriented publications; dissemination of information to the broadcast and print media; and other types of service particularly in the University's service area.

PROMOTION

A. Teaching

Excellence in teaching requires that the candidate successfully demonstrate competency and currency in the subject matter and effectiveness in its delivery. Candidates for promotion will be judged excellent if both of the following criteria are met:

1. Criterion 1: Demonstration of competence and currency with validated accomplishments in several of the following areas:
 - a. Practicing the pedagogical art at a high level by utilizing a variety of advanced techniques to enhance the learning experience for students.
 - b. Staying current and relevant by incorporating the latest research, business practice and environmental exigencies into his or her lectures, exercises, case studies and projects.
 - c. Teaching multiple preparations, covering a wide variety of classes, developing new experimental classes to include online, Webex, and ITV, and teaching written, oral and technologically intensive classes.
 - d. Maintaining rigorous standards and requiring and expecting a high level of performance by students.
2. Criterion 2: Demonstration of effective delivery of content. It is incumbent upon the candidate seeking promotion to provide evidence demonstrating the achievement of this criterion. Such evidence must include, but not be limited to:
 - a. Recognized college, university or organizational awards for teaching excellence.
 - b. Student performance on professional examinations or other accepted outcome measures associated with the faculty's teaching responsibilities.
 - c. Performance of students in subsequent classes.

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- d. A preponderance of favorable comments on senior exit surveys, written student evaluations, alumni surveys or employer surveys.
- e. Student assessment of instruction
- f. Input and evaluations from peers or chairpersons.
- g. Unsolicited letters or statements from past students describing teaching effectiveness.

B. Research and Scholarly Activity:

The candidate must present a consistent stream of scholarly activity, meeting the following performance expectations. Both the quantity and quality of contributions should be considered. In the case of co-authored works, the candidate must demonstrate his/her contributions to the work. In all cases, the number of refereed journal articles represents the cumulative number to include from the terminal degree program up to time of promotion review.

1. For promotion to the rank of associate professor

A minimum of six refereed journal articles in journals either published or unconditionally accepted for publication. It is the responsibility of the applicant to demonstrate the quality of his/her work through the utilization of a reliable research evaluation tool.

2. For promotion to the rank of professor:

During one's career, a total of 16 or more refereed journal articles or other publications (i.e. books, book chapters, etc.) either published or unconditionally accepted for publication. At least one of these articles must be sole-authored. It is the responsibility of the applicant to demonstrate the quality of his/her work through the utilization of a reliable research evaluation tool.

3. In addition, in all categories above, research and scholarly activities should be exhibited in outlets such as, conference proceedings, editorially reviewed journals, presentations at academic conference meetings, and publication through web-based outlets.

4. Allowances can and should be made to reflect the quality of the publication outlet in which an item is published. Thus, an article published in a top-tier journal that brings recognition to the department, college, and university can be considered as equivalent to multiple articles published in less prestigious journals. Similarly, those evaluating a candidate's research efforts can consider the publication of a highly acclaimed monograph or textbook as equivalent to some number of journal articles. Chapters in a book and conference-sponsored publications (journals and/or proceedings) will be judged based on their merit. The research effort involved in a sole authored journal article might be viewed as comparative to that for more than one co-authored articles. However, a candidate who relies solely upon articles published

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in less prestigious research outlets will require additional articles to demonstrate that he/she has met performance expectations. The evaluation of a candidate's research performance is to be more than a counting process; it will reflect academic judgment.

C. Service:

The candidate must present a service record that should include participation in organizations and on committees although more significance will be attached to leadership roles therein. Requirements in service will depend on the rank at the time of promotion and will be weighed relative to considerations for teaching and research, scholarly and/or creative activities. Among the criteria on which the evaluation of service should be based are effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of students and other faculty members. Superior service would demonstrate a record of performance over time that included leadership of institutional service efforts, and/or regional or national notoriety in activities pursuant to the individual's discipline.

1. Promotion to the rank of associate professor:

The candidate should demonstrate continued activity in service at the departmental, college, and university level. Such service activity will be improved with the demonstration of leadership. Additionally, service to the profession and in the community is expected and will strengthen the candidate's service record.

2. Promotion to the rank of professor:

The candidate will demonstrate a record of continued leadership in institutional service activities or, alternatively, will demonstrate an outstanding record of professional service or community service, which will make the individual regionally or nationally known in the discipline.

3. Service indicators

a. Service to the University and to affiliated institutions:

This category includes departmental, college/school, and university committee participation and leadership roles therein; participation in university governance; administrative service; advisement of students; recruitment activities; service to student organizations; willingness in meeting special needs that may arise within the university; reputation for cooperation by colleagues; university-wide respect and recognition earned for the College of Business and Technology through service activities; and other related activities.

b. Service to one's profession:

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This category includes memberships as well as leadership roles in professional organizations at international, national, regional, state and/or local levels; attendance at international, national regional state and/or local professional meetings; serving as a program chair, reviewer, and/or discussant at international, national, regional state and/or local professional meetings; respect among colleagues at international, national, regional, state and/or local professional organizations as demonstrated by frequent opportunities to serve as a committee chair or officer, service as a reviewer on the editorial board of a journal or proceedings; reviewer of books or manuscripts for professional publishers; discipline related training; and other related activities.

c. Service in the community:

This category includes membership or leadership in civic and community organizations; making presentations related to one's discipline to these organizations; providing professional advice and counsel to groups or individuals; providing discipline related continuing education workshops and programs; production and distribution of discipline related, service-oriented publications; dissemination of information to the broadcast and print media; and other types of service particularly in the University's service area.

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Allied Health Sciences

[Tenure](#) || [Promotion](#) || [Workload Policy](#)

Audiology and Speech-Language Pathology

[Tenure](#) || [Promotion](#) || [Workload Policy](#)

Physical Therapy

[Tenure](#) || [Promotion](#) || [Workload Policy](#)

Department of Allied Health Sciences
Evaluative Criteria for Tenure/Promotion/Merit
May 27, 2014
DRAFT #7

The foundation of East Tennessee State University's academic programs are based on the effectiveness of its faculty. Annual faculty evaluation for tenure, promotion, or merit serve as an indicator of each faculty member's abilities in assisting the University in achieving its goals and objectives. Each faculty member will be evaluated based on his or her accomplishments in the areas of teaching, scholarly activities, and service.* Below listed are the Departmental expectations in each area.

Tenure: A candidate should complete the following (total 200 points) by the end of their fifth year:

- Demonstrate excellence in **teaching** by earning no less than 100 points from the Departmental approved teaching activities.
- Be active in **scholarly/creative/clinical activities** by earning no less than 50 points from the Departmental approved scholarship activities.
- Be active in **service** by earning no less than 50 points from the Departmental approved service activities.

NOTE: A faculty member can request that the tenure clock be stopped and also negotiate years toward tenure during their hire process.

Promotion to Associate Professor: A candidate should possess a terminal degree and hold a current academic rank of Assistant Professor and demonstrate excellence in teaching and one other area of evaluation (scholarly/creative/clinical activities or service) and be active in the third (no less than 50 points) (total 250 points).

- Demonstrate excellence in **teaching** by earning no less than 125 points from the Departmental approved teaching activities.
- Demonstrate excellence in **scholarly/creative/clinical activities** by earning no less than 75 points from the Departmental approved scholarship activities. Candidates seeking promotion to associate professor are highly encouraged to demonstrate research productivity that includes peer reviewed publications, and/or grants, and/or presentations at the national level.

OR

- Demonstrate excellence in **service** by earning no less than 75 points from the Departmental approved service activities.

Promotion to Professor: A candidate should hold a current academic rank of Associate Professor and demonstrate excellence in all three areas by completing the following activities since becoming an Associate Professor (total **300** points):

- Demonstrate excellence in **teaching** by earning no less than **150** points from the Departmental approved teaching activities.
- Demonstrate excellence in **scholarly/creative/clinical activities** by earning **75** points from the Departmental approved scholarship activities. Candidates seeking promotion to full professor are highly encouraged to demonstrate research productivity that includes peer reviewed publications, and/or grants, and/or presentations at the national level.
- Demonstrate excellence in **service** by earning **75** points from the Departmental approved service activities.

Clinical Track: Faculty hired that do not possess a terminal degree are considered clinical track appointees. Clinical track faculty may apply for promotion after holding their current rank for a minimum of 5 years. Based upon the current needs of the college and university and at the discretion of the chair and dean, faculty who earn a terminal degree may be eligible to be converted to a tenure/track appointment. The tenure clock would start at the date of the tenure/track appointment. Credit toward tenure from the clinical track appointment, may be awarded after consultation with the chair and dean of the college when the faculty member transfers to a tenure track appointment.

*Simply meeting the number of points outlined above does not guarantee tenure or promotion. For tenure or promotion to associate professor: Evidence of good character, mature attitude, and professional integrity. For promotion to full professor: Evidence of good character, mature attitude, and professional integrity, and a high degree of academic maturity and responsibility. Details can be found in section 2 of the Faculty Handbook at <http://www.etsu.edu/senate/facultyhandbook/section2.aspx#b>.

Department of Allied Health Sciences
Promotion and Tenure
May 2014

Teaching Activity

Category I (5 points)	Category II (3 points)	Category III (1 point)
Presents a faculty development workshop at state, national, or international level	Presents a local faculty development workshop	Attends a faculty development workshop (local, state, national, or international levels)
Receives a notable teaching award (state or national).	Receives a notable teaching award (college or university).	Nominated for a notable teaching award
	Offers greater than 50% of all courses as web enhanced	Offers 50% of all courses as web enhanced
Teaches greater than 50% of courses online	Teaches up to 50% of courses online	
Teaches writing intensive course	Teaches oral intensive course	Teaches technology intensive course
Develops a new concentration or program	Develops a new course in an existing program	
Complete FTL program		
		Teaches an existing course for the first time in five years and/or performs major curriculum revisions to an existing course
		Develops rotational schedules for students and supervises preceptors/faculty at clinical sites
	Develops new affiliation contract/agreements with clinical site	
National/clinical board pass rate greater than 10% of the national average	National/clinical board pass rate up to 10% higher than the national average	National/clinical board pass rates are equal to national average
SAI results are ranked within the top 10% in the department	SAI results are ranked within the top 20% in the department	SAI results are ranked within the top 40% in the department
Develops new, innovative teaching strategies that are incorporated into a course and negotiated with program director	Develops new, innovative teaching strategies that are incorporated into a course and negotiated with program director	Develops new, innovative teaching strategies that are incorporated into a course and negotiated with program director
Additional items negotiated with chair prior to review	Additional items negotiated with chair prior to review	Additional items negotiated with chair prior to review

Department of Allied Health Sciences
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Scholarly/Creative/Clinical Activity

Category I (5 points)	Category II (3 points)	Category III (1 point)
Publishes in a or serves as a peer reviewer in a peer-reviewed journal	Submits in a peer-reviewed journal or publication of book review in peer reviewed journal	Publishes in non-peer-reviewed publication or submits an abstract
Receives an external grant award.	Receives an intramural grant award	Submits an intramural or extramural grant
Authors /edits a book or authors a chapter published by a national publishing house.	Reviews textbook for publication	Reviews chapters for a text- book
Serves as chair of graduate or undergraduate committee	Serves as committee member of graduate or undergraduate committee	Obtains graduate faculty status
Directs, collaborates and publishes student research project or presentation at national, state, or regional level with verification from chair.	Directs and collaborates student research project or presentation with verification from chair.	
Gives presentation at a national or international meeting.	Gives presentation at a state or regional meeting	Gives presentation at local meeting.
Gives poster presentation at a national or international meeting.	Gives presentation at a state, regional, or local meeting	Participation in a poster session
Responsible for program self-study	Makes significant contribution to program self-study	Makes minimal contribution to program self-study
Develops a workbook, lab manual or ancillary material for classroom and/or lab instruction that is adopted by department faculty published and distributed regionally and/or nationally	Develops or makes major revisions in a workbook, lab manual or ancillary material for classroom and/or lab instruction that is adopted by department faculty	Updates clinical documents and procedures or develops new clinical evaluation mechanism for outcome assessment
	Submission and completion of documents necessary for program annual accreditation report	
Receives a notable scholarship or research award (state or national).	Receives a notable scholarship or research award (college or university).	Nominated for a notable scholarship or research award
	Approval of a non-exempt or a full IRB review	Approval of an exempt IRB review
Coordinates clinical faculty/preceptor inter-rater reliability (more than 5 faculty)	Coordinates clinical faculty/preceptor inter-rater (3 -5 faculty)	Coordinates clinical faculty/preceptor inter-rater reliability (1-2 faculty)
Pursuit of terminal degree by successful completion of 12 or more doctoral credits per year	Pursuit of terminal degree by successful completion of 7-11 doctoral credits per year	Pursuit of terminal degree by successful completion of 3-6 doctoral credits per year
	Obtains advanced credential in professional field that is	

	nationally/internationally recognized	
Additional items negotiated with Chair and Dean of college prior to review	Additional items negotiate with Chair and Dean of college prior to review.	Additional items negotiate with Chair and Dean of college prior to review.

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Service Activity

Category I (5 points)	Category II (3 points)	Category III (1 point)
Serves on a college or university committee with significant commitment as approved by the program director and department chair	Serves on a college or university committee	Serves on a department or program committee
Chairs a college or university committee with significant commitment as approved by the program director and department chair	Chairs a college or university committee or chairs a department committee with significant commitment as approved by the program director and department chair	Chairs a department or program committee
Establishes department, college, or university web page; or program ☐ blackboard	Manages department, college, or university web page; or program ☐ blackboard	
	Organizes student community service project that requires significant commitment as approved by the program director and department chair	Serves as advisor for student organization
	Organizes community education events at state/regional level	Organizes community education events at local level
		Represents ETSU with local communities such as: recruiting events, rural health fair, junior day, career day, local off-campus service club activity
Serves on a professional committee at the national level	Serves on a professional committee at the state level; or as an officer on the local level	Attends local, state, regional, or national meetings
Serves as an admissions coordinator		Interviews students at annual program intake
Organizes/hosts a conference concerning allied health issues or teaching at the state level	Organizes/hosts a conference concerning allied health issues or teaching at the local level	
Serves effectively as a clinical course coordinator or academic coordinator for a three-year term		
	Advises students at college orientation (more than 3 orientations)	Advises students at college orientation (1 ☐ 3 orientations)
Receives a notable service award (state or national).	Receives a notable service award (college or university).	Nominated for a notable service award
Additional items negotiated with chair prior to review	Additional items negotiated with chair prior to review	Additional items negotiated with chair prior to review

Department of Allied Health Sciences
Workload Policy
October 22, 2014

The College of Clinical and Rehabilitative Health Science's mission is to foster innovative collaborations that support learning, scholarship and service, and that meet the clinical and rehabilitative health needs of our patients, clients, and communities. The programs within the Allied Health Department have developed this workload policy with the college mission in mind. Because the programs within the department have unique accreditation guidelines, as well as varying needs, the criteria for faculty workloads has to include some flexibility in application. The faculty workload is developed after consultation with the chair of the department and provides a basis for each faculty member to establish a teaching, research, and service agenda for the academic year. The policy is also in line with the university workload policy, providing sufficient flexibility that it allows the department to draw upon each faculty member's unique ability to contribute. This policy also follows the established promotion and tenure guidelines for the department and provides the faculty member with the ability to develop a successful dossier for promotion and/or tenure. These workload principles are flexible and may require change based on departmental staffing needs and/or budgetary concerns.

The Chair of the Department will develop the schedule/workloads according to the following General Principles:

1. The department faculty workload of 15 hours a semester is a maximum for the fall and spring semester for undergraduate courses and 12 hours for graduate courses. For 12-month faculty the faculty workload for summer is 6 hours maximum as negotiated with the chair of the department. (See TBR Policy 5:01:00:00, II, E.)
2. Traditional didactic classes will have equal workloads (3 credit class = 3 instructional hours).
3. Dental hygiene clinical hours for which faculty have direct patient/student contact for the duration of the clinic time are calculated at a 2/3 rate based on contact hours. (Example: For a clinic with 12 contact hours per week, the faculty member would be given 2/3 of the contact hours for 8 workload hours).

4. For other clinical supervision hours, workload hours are calculated at a 2/3 rate based on credit hours. (Example: 2 workload hours for 3 credit hours).
5. For laboratory classes, the workload is based on credit hours. (Example: 1 hour workload for 1 credit hour).
6. Program directors will be given 2 workload hours of release during each of the fall and spring semesters to perform their duties.
7. Program, clinical, and graduate coordinators on 12-month contracts will be given one workload hour during the fall and spring semesters. Program, clinical, and graduate coordinators who are on 9-month contracts will be given a total of 3 workload hours during the academic year to continue their duties during the summer.
8. Other workload hours can be negotiated with the chair. Examples include, but are not limited to, distribution of on-line hours, intensive courses, program development, service, and research. See note below about course caps.
 - a. The establishment of course caps will be set by the chair in consultation with course instructors. Adjustments to course caps (such as permitting additional students into a course must be approved by the instructor affected by the adjustment.
9. If the chair and faculty member cannot reach agreement on the semester workload, then the faculty member may file an appeal with the departmental workload review committee. The workload review committee will be made up of one tenured faculty, one clinical-track faculty, and one tenure-track faculty. At least one of the committee members must be from the faculty member's program. After hearing the appeal, the committee will make a recommendation to the chair and dean. The chair and dean will make the final decision and report to the faculty member, within 10 business days, after receiving the workload review committee's recommendation. The appeal process must be completed 60 days prior to the start of each semester.
 - a. Summer workloads will be established by February 28th
 - b. Fall workloads will be established by March 31st
 - c. Spring workloads will be established by October 31st

Teaching Effectiveness Criteria for Tenure & Promotion Documentation Materials (Quantitative and Qualitative)

Table 1: Documentation Materials

Criteria	Quantitative	Qualitative
1. Student Evaluations	<ul style="list-style-type: none"> - Computer SAI summary sheets from all classes - Summary table of scores from all classes in the areas of Course, Content, and Instructor 	<ul style="list-style-type: none"> - Typed summary of handwritten comments from SAIs - Copies of summaries from informal evaluations - Copies of letters/thank yous/cards from students and community members
2. Chair Evaluations	<ul style="list-style-type: none"> - Effectiveness rating (on Chair's scale of 1-5) 	<ul style="list-style-type: none"> - Description/analysis of written teaching evaluations from the chair
3. Mentoring Committee Evals.	<ul style="list-style-type: none"> - Written evaluation from Mentoring Committee (based on review of syllabi, course materials, grading process, course topics & schedules, classroom visits, review of SAIs, and other relevant documents) 	<ul style="list-style-type: none"> - Description/analysis of written evaluation from Mentoring Committee (based on review of syllabi, course materials, grading process, course topics & schedules, classroom visits, review of SAIs, and other relevant documents)
4. Philosophy of Education	Not applicable	<ul style="list-style-type: none"> - Clear statement of philosophy of education and illustrations of the stated philosophy's application
5. Course Load Information	<ul style="list-style-type: none"> - Course load forms - Summary table of courses taught - Summary table of new preparations 	Not applicable

<p>6. Other Teaching Documentation</p>	<ul style="list-style-type: none"> - Articles on teaching - Presentations/workshops on teaching - Guest lectures - Attendance at teaching classes, workshops, conferences, seminars - Participation in seminars/courses focused on enhancement of technology in the classroom - Development of new courses - Revision of existing courses, particularly with regard to new technology - Teaching awards - Instruction Development Grants, Presidential Grants-in-Aid as related to instruction 	<ul style="list-style-type: none"> - Articles on teaching (quality of journal(s)) - Presentations/workshops on teaching (evaluations, quality, venue) - Guest lectures (evaluations, informal assessments) - Attendance at teaching classes, workshops, conferences, seminars (comparison of internal versus external events) - Teaching innovations (technology, non-technological) - Teaching awards
<p>7. Advising of Students</p>	<ul style="list-style-type: none"> - Students are provided all resources required to matriculate through respective program courses and clinic placements (internal and external; externships and CFYs) 	<ul style="list-style-type: none"> - All students complete all required and elective coursework, and all clinical requirements for ASHA certification

NOTE: Faculty have the choice of counting academic advising as Service or Teaching

Table 2: Specific Criteria

Criteria	Quantitative Evaluation			Qualitative Evaluation		
	Below Expectations	Meets Expectations	Exceeds Expectations	Below Expectations	Meets Expectations	Exceeds Expectations
1a. Student Evaluations of Classroom Teaching	Frequent SAI-Ins. ratings of Very poor or Poor	Consistent SAI-Ins. ratings of Average or Good	Consistent SAI-Ins. ratings of Good or Very Good	Frequent negative written comments	Frequent positive written comments from students	Consistently positive comments/unsolicited notes of thanks
1b. Student Evaluations of Clinic Teaching	Frequent SAI-Ins. ratings of Very poor or Poor	Consistent SAI-Ins. ratings of Average or Good	Consistent SAI-Ins. ratings of Good or Very Good	Frequent negative written comments	Frequent positive written comments from students	Consistently positive comments/unsolicited notes of thanks
2a. Chair/Dean Evaluations of Classroom Teaching	Overall effectiveness rating of <4.0	Overall effectiveness rating 4.0-4.5	Overall effectiveness rating \geq 4.5	Frequent negative evaluations from Chair/Dean	Frequent positive written comments from Chair/Dean	Consistently positive written comments from Chair/Dean
2b. Chair/Dean Evaluations of Clinic Teaching	Overall effectiveness rating of <4.0	Overall effectiveness rating 4.0-4.5	Overall effectiveness rating \geq 4.5	Frequent negative evaluations from Chair/Dean	Frequent positive written comments from Chair/Dean	Consistently positive written comments from Chair/Dean
3a. Mentoring Committee Evals. of Classroom Teaching	Overall effectiveness rating of <4.0	Overall effectiveness rating 4.0-4.5	Overall effectiveness rating \geq 4.5	Frequent negative evaluations from mentoring comm.	Frequent positive written comments from mentoring comm.	Consistently positive written comments from mentoring comm.
3b. Mentoring Committee Evals. of Clinical Teaching	Overall effectiveness rating of <4.0	Overall effectiveness rating 4.0-4.5	Overall effectiveness rating \geq 4.5	Frequent negative evaluations from mentoring comm.	Frequent positive written comments from mentoring comm.	Consistently positive written comments from mentoring comm.

4. Philosophy of Teaching	Not Applicable			No Philosophy of Education	Clearly stated Philosophy of Education	Philosophy of Education with clear indication of how philosophy is applied
5a. Course Load Information	No new course preparations or revisions	Develops new courses or completes revision of courses every three years	Develops new courses or completes revision of courses every other year	<ul style="list-style-type: none"> • Updates to current edition of text and other assigned readings • Utilizes new technology (e.g., power point, internet resources) • Other (incorporating student/peer/chair/dean evaluative comments) 		
5b. Course Load Information	No new clinic sections or revisions	Develops new clinics or completes revision of clinics every three years	Develops new clinics or completes revision of clinics every other year	<ul style="list-style-type: none"> • Development of new assessment/treatment protocol • Addition of new treatment components • Modify treatment delivery (i.e., individual versus group) • Implement new supervisory protocol (i.e., interaction analysis systems) 		
6. Other Teaching Documentation (see Table 1; #6)	Less than 2 categories completed	Evidence of at least 3 different categories	Greater than or equal to 4 categories completed	<p>Minimum expectations would not be set for this category from a Qualitative standpoint, given the number of different options available, but criteria that could be considered include: quality of article or publication; quality of journal, book, etc., that the publication is in; evaluations from workshops or presentations; conference or forum at which the presentation was done; refereed presentation or invited presentation; written evaluation or thanks from guest lectures; description of utilization of innovative teaching strategies (technological and non-technological); type of teaching award won.</p>		

Collegiality in Teaching

Contributions to the department as demonstrated by:

- a. Course collaboration (i.e., review syllabus, design projects, participate in class activities)
- b. Guest Lecturing
- c. Sharing course-related materials
- d. Consulting regarding clinic activities
- e. Colloquium speaker
- f. Availability to students as demonstrated in activities in student-sponsored events and organizations, office hours, letters from students, etc.

Scholarly Activity Criteria for Tenure and Promotion Documentation Materials (Quantitative and Qualitative)

Note: Table 3 presents the materials to be drawn upon for analysis in Table 4 or Table 5.

Table 3: Scholarship Documentation Materials for Terminal Degree Holders

Criteria	Quantitative	Qualitative
1. Defined Research and Scholarly Activities Plan	Not applicable	Clear statement of research and scholarly activities plan, complete with a focus on what kind of contribution the person wishes to make to her or his field.
2. Letters of Support (3 total)	<ul style="list-style-type: none"> - Internal - External 	Address the quality of scholarship and contribution to the discipline
3. Publications	<ul style="list-style-type: none"> - Published articles - Authored/edited book - Chapter in book - Monograph - Conference Proceedings - Evidence/data-based research or clinic protocol 	<u>Category I</u> <ul style="list-style-type: none"> - Juried - National/international journal - Published by national publishing house - Published by national association, agency, or journal <u>Category II</u> <ul style="list-style-type: none"> - Non-juried journals/newsletters - State journal - Published by state association, agency, or journal
4. Presentations	<ul style="list-style-type: none"> - Competitively Selected - Invited 	<u>Category II</u> <ul style="list-style-type: none"> - Regional, National, or International Conferences
5. Grants	<ul style="list-style-type: none"> - Funded Intramural - Funded Extramural - Submitted, but not funded 	<u>Category I</u> <ul style="list-style-type: none"> - State, national, or private foundation (in excess of \$10,000) <u>Category II</u> <ul style="list-style-type: none"> - Major RDC grant or Small RDC Grant - Submitted, but not funded
6. Unpublished Manuscripts	<ul style="list-style-type: none"> - Manuscripts - Book chapters - Protocols - Evidence/data-based research or clinic protocol 	<u>Category II</u> <ul style="list-style-type: none"> - submitted, but rejected - never submitted

7. Inventions	<ul style="list-style-type: none"> - Clinic protocol - Videotape - Software 	<p style="text-align: center;"><u>Category I</u></p> <ul style="list-style-type: none"> - Copywrited/patented - Nationally marketed
8. Journal Editor	<ul style="list-style-type: none"> - Editor - Associate Editor - Special Issue Editor - Guest Associate Editor - Newsletter Editor 	<p style="text-align: center;"><u>Category I</u></p> <ul style="list-style-type: none"> - Peer reviewed journal <p style="text-align: center;"><u>Category II</u></p> <ul style="list-style-type: none"> - National/International Newsletter
9. Works in Progress	<ul style="list-style-type: none"> - Manuscripts - Book - Chapter 	<p style="text-align: center;"><u>Category II</u></p> <ul style="list-style-type: none"> - Submitted - Under revision - In Progress

Table 4: Specific Criteria for Terminal Degree Holders (Scholarly Activity):
From Assistant to Associate Professor

Meets Requirements	<ul style="list-style-type: none"> • 2 peer reviewed publications - 1 can be replaced with either a published monograph or published conference proceedings • 2 presentations (VSP) - 1 can be replaced with an invited presentation • 2 funded intramural grants (1 small RDC; 1 Major RDC) - an extramural grant (\geq \$10,000) can be substituted for 2 funded intramural grants
Displays Excellence	<ul style="list-style-type: none"> • Additional activities from above; and/or, • Activities above for “meets requirements” + any of the activities listed in numbers 3-9; or • Publications as first author on publications

Table 5: Specific Criteria for Terminal Degree Holders (Scholarly Activity):
From Associate to Full Professor

Displays Excellence	<ul style="list-style-type: none"> • Additional activities from “Meets Requirements” category above; and/or, • Activities above for “meets requirements” + any of the activities listed in numbers 3-9; or • Publications as first author on publications
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Collegiality in Scholarship

Contributions to the department as demonstrated by:

- Reviewing manuscripts for colleagues
- Reviewing grant proposals for colleagues
- Submitting training grants on behalf of the department
- Consulting on grants
- Assisting with data analysis

Note: Table 6 presents the materials to be drawn upon for analysis in Table 7.

Table 6: Scholarship Documentation Materials for Non-Terminal Degree Holders

Criteria	Quantitative	Qualitative
1. Defined Research and Scholarly Activities Plan	Not applicable	Clear statement of research and scholarly activities plan, complete with a focus on what kind of contribution the person wishes to make to her or his field.
2. Letters of Support	<ul style="list-style-type: none"> - Internal - External 	Address the quality of scholarship and contribution to the discipline.
3. Presentations	<ul style="list-style-type: none"> - Clinical Workshops - Presentations 	<ul style="list-style-type: none"> - Competitively selected - Invited - Regional, State, or National
4. Grants/ Contracts	<ul style="list-style-type: none"> - Intramural - Extramural - Submitted, but not funded 	<ul style="list-style-type: none"> - Major RDC Grant - Small RDC Grant - Civic Organizations - Clinic Contracts
5. Publications	<ul style="list-style-type: none"> - Published case reports - Clinical-based articles - Evidence/Data-Based Clinic Protocol 	<ul style="list-style-type: none"> - State peer reviewed journal - National/international peer reviewed journal
6. Inventions	<ul style="list-style-type: none"> - Clinic Protocol - Clinical Programs or Materials 	<ul style="list-style-type: none"> - Dissemination of information at local, regional, or national conferences
7. Manuals	<ul style="list-style-type: none"> - Unpublished evidence/data-based clinic protocol 	<ul style="list-style-type: none"> - Program (SLP or AUD)

Table 7: Specific Criteria for Non-Terminal Degree Holders (Scholarly Activity)

Meets Requirements	<ul style="list-style-type: none"> • 1 state/national presentation (VSP) • 1 invited presentation (regional/local) • 1 grant/contract (≥ \$5000)
Displays Excellence	<ul style="list-style-type: none"> • More of any of the above • The activities above listed for “meets requirements” + activities listed in numbers 5-7

**Service Activity Criteria for Tenure and Promotion
Documentation Materials (Quantitative and Qualitative)**

Note: Table 8 presents the materials to be drawn upon for analysis in Table 9, Table 10, or Table 11.

Table 8: Service Documentation Materials

Criteria	Quantitative	Qualitative
1. Defined Service Plan	Not applicable	Clearly defined service plan, complete with a focus on meeting the needs of the program, department, college, university, and professional discipline.
2. Letters of Support	<ul style="list-style-type: none"> - Internal - External 	Address the quality of service
3. Leadership	<ul style="list-style-type: none"> - University - Professional Organization <p>Note: each counts once per year per appt</p>	<p><u>Category I</u></p> <ul style="list-style-type: none"> - Department, College, or University Committee - Participation or leadership in Faculty Senate - National/International Organizations - Officer of regional, state, national, or international organizations - Planning/Program Committee for national or international organization <p><u>Category II</u></p> <ul style="list-style-type: none"> - Regional or state organizations
4. Membership	<ul style="list-style-type: none"> - University - Professional Organization 	<p><u>Category II</u></p> <ul style="list-style-type: none"> - Department, College, or University Committee (including thesis committees) - National/International Organization Planning Committees
5. Conference Organization	<ul style="list-style-type: none"> - Conferences or Workshops 	<p><u>Category I</u></p> <ul style="list-style-type: none"> - University - State/National <p><u>Category II</u></p> <ul style="list-style-type: none"> - Session moderator for Regional/State National/International Conference

		Sessions
6. Editorial Consultant	<ul style="list-style-type: none"> - Reviewer of journal manuscripts - Reviewer of grant proposals - Reviewer of book manuscripts <p>Note: each counts once per year per review</p>	<p><u>Category I</u></p> <ul style="list-style-type: none"> - National/international journal - National Funding Agency <p><u>Category II</u></p> <ul style="list-style-type: none"> - Publishing Company
Criteria	Quantitative	Qualitative
7. Community and Public Relations	<ul style="list-style-type: none"> - Media - Speaker <p>Note: may count one per year</p>	<p><u>Category I</u></p> <ul style="list-style-type: none"> - TV, Radio, Print Interviews with National Media <p><u>Category II</u></p> <ul style="list-style-type: none"> - Speaker at Local Service, Civic, or Community Organizations - TV, Radio, Print Interviews with Local/Regional Media
8. Recruitment	<ul style="list-style-type: none"> - Students - Faculty 	<p><u>Category II</u></p> <ul style="list-style-type: none"> - Activities related to student (Grad/UG) recruitment - Activities related to national search in faculty recruitment
9. Advisor/Mentor	<ul style="list-style-type: none"> - Student organization - Faculty mentor 	<p><u>Category II</u></p> <ul style="list-style-type: none"> - NSSLHA Faculty Advisor - Assigned Faculty Mentor
10. Advising of Students	<ul style="list-style-type: none"> - Students are provided all resources required to matriculate through respective program courses and clinic placements (internal and external; externships and CFYs) 	<ul style="list-style-type: none"> - All students complete all required and elective coursework, and all clinical requirements for ASHA certification

NOTE: Faculty have the choice of counting academic advising as Service or Teaching Maintenance of licensure, membership in ASHA, and CEU acquisition are required of all faculty.

Table 9: Specific Criteria for Terminal Degree Holders (Service): From Assistant to Associate Professor

Meets Requirements	<ul style="list-style-type: none"> • 1 Leadership (chair) assignment at any level <ul style="list-style-type: none"> - counts 1x/year • 1 Membership assignment on professional organization committee (state/national level) <ul style="list-style-type: none"> - counts 1x/year • 1 Membership assignment on departmental, college, and university committees <ul style="list-style-type: none"> - each committee assignment counts 1x at dept. level; college/univ comm. counts 1x/year
Displays Excellence	<ul style="list-style-type: none"> • More of any of the above; or • The activities above listed for “meets requirements” + activities listed in numbers 6-9

Table 10: Specific Criteria for Terminal Degree Holders (Service): From Associate to Full Professor

Displays Excellence	<ul style="list-style-type: none"> • More of any of the above activities in the “Meets Requirements” category; or • The activities above listed for “meets requirements” + activities listed in numbers 6-9
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Table 11: Specific Criteria for Non-Terminal Degree Holders (Service)

Meets Requirements	<ul style="list-style-type: none"> • 1 Membership assignment on departmental, college, and university committees <ul style="list-style-type: none"> - each committee assignment counts 1x at dept. level; college/univ comm. counts 1x/year • 3 Community and PR activities (local/regional media) • NSSLHA Faculty Advisor
Displays Excellence	<ul style="list-style-type: none"> • More of any of the above • The activities above listed for “meets requirements” + activities listed in numbers 3, 5, 6, 8

Demonstration of Collegiality in Service

Contributions to the Department/College as demonstrated by:

- Completing special assignments as requested by the Chair and/or Dean (e.g., coordinating workshops; assisting on projects; completion of surveys or requested information, etc.)
- Volunteering for activities as needed (presenting special topics to students, faculty, community; availability for undergraduate advising; recruitment activities at health fairs or job fairs, etc.)
- Serving as an observer for student theses
- Availability to colleagues as demonstrated by reviews of manuscripts or proposals; participation in round table discussions on teaching or research; completion of requested information (e.g., student feedback evaluations, surveys, etc.)

Contributions to the Profession as demonstrated by

- Serving as a CFY supervisor

Faculty Workload Policy
Department of Audiology and Speech-Language Pathology

Introduction

The vision and mission statements of the College of Clinical and Rehabilitative Health Sciences underscore the department's focus on addressing academic and community needs related to the communication sciences and disorders. The department strives to serve a dual role in the community; as a conduit for the development healthcare professionals, and as a direct service provider to the community. Consistent with the University and College goals, the department prioritizes opportunities for collaborations that support learning, scholarship and service, and that meet the clinical and rehabilitative health needs of our patients. What follows is a plan for the staffing of Department of Audiology and Speech-Language Pathology (ASLP) that considers the needs related to student matriculation and community involvement. The plan addresses these priorities in the context of our professions' accreditation requirements. Individual faculty workloads will be based upon the frameworks specified below and/or as agreements between the faculty member and the department chair following a consultation that establishes a teaching, research, and service assignment for the academic year. Each faculty's plan will be consistent with university workload policy and will articulate with promotion and tenure guidelines for the department.

Assumptions and General Considerations:

1. Instruction in ASLP is primarily at the graduate level and requires 12 credit-hour workloads through the academic year (fall and spring) and 9 credit-hour workloads during summer sessions.
2. One 3 credit-hour graduate course counts three hours toward the required 12 credit-hour (0.25 FTE), one 3 credit-hour undergraduate course counts as 2.4 credit hours (0.20 FTE). Dual-listed courses are calculated as Graduate courses if there are graduate students enrolled. Classes with 50 or more students are divided into two sections, however such courses are administered for workload purposes as one class. The table below distinguishes didactic/classroom instructional assignments from those delivered via electronic media.
3. eLearning (synchronous or asynchronous) courses count as follows:

Course Credit Hrs.	Online Correction	Undergraduate FTE	Graduate FTE
Didactic Courses	(multiplier)	Note: All current undergraduate courses are offered online only.	
3	NA	0.20	0.25
4	NA	0.26	0.33
Online Courses			
3	x 0.33	0.26	0.33
4	x 0.33	0.34	0.40

4. One three-credit clinic course consists of graduate student supervision in a variety of clinical settings in both professions. The standard clinic assignment is administered as clinic section(s) consisting of 6-hour/week time slots during which faculty supervise diagnosis and/or treatments sessions for two to four students. Five sections of clinic correspond to a full-time clinic position, therefore, a clinic section equals 0.2 FTE. 30 hours of clinic equals 1.0 FTE, for AUD clinic faculty, four half days (16 hours) should count 0.5 FTE.
5. After completion of the course and clinic FTE, the faculty and chair negotiate the balance of the faculty member's assignment in order to capture research, service, and when applicable, administrative activities. Proposed benchmarks for research and service will be negotiated with the chair at the time the FAP is completed and workload percentages entered. FAEs will be evaluated with respect to faculty meeting their stated objectives by the end of the review period.
6. Faculty who assume administrative duties, other than those associated with particular appointments, must negotiate the assignment with the department chair and may be compensated for such activities with a stipend or with course or clinic release.
7. Workload assignments that specify instructional, service, administrative, and research components should be completed at least 45 days prior to the start of the semester in which the workload will be implemented.
8. Workload assignments will be specified on FAP/R/E documents. Faculty will negotiate with the chair the specific

Specific ASLP Workload Assignments:

1. Department Chair:

12 credit hour semester: 6 hrs administration, one 3-unit class, 3 units research. This same distribution of activity would be maintained during the summer sessions with the exception of course instruction, or administrative assignment. In all semesters clinic supervision could be completed in lieu of, or in addition to, class assignment. Department chair is expected to provide service while participating on departmental, college, and University committees.

2. Full-Time Tenure-Track Faculty

12 credit-hour semester: 9 units of class and/or clinic sections, 3 units research. Faculty workloads reflecting greater relative contributions of research, teaching, or administration would be negotiated with the chair. For example, the department requires graduate coordinators for SLP and AUD, a clinic director for SLP and AUD, and a Director of Audiology (the chair serves as the Director of SLP). Administrative assignments necessitating the provision of either a stipend or course release will be negotiated with the chair. All faculty are expected to provide service while participating on departmental, college, and University committees.

3. Clinic Director for both AUD and SLP □currently there is neither stipend nor opportunity for course release time for this position. Therefore, although no faculty serve officially in this capacity at present, current clinical faculty perform all the duties associated with this position without compensation or release from other duties. Workload policy should be designed so that this position is recognized in a reasonable way (ie., by linking the position to administrative release time, stipend, or other consideration as determined by the department chair). At present, the coordinator's assignment includes an additional 0.5 day/week release from clinic sections to facilitate student placements, corresponding with site preceptors, and site visits.

4. Clinical Track Faculty

15-credit hour semester: Four full days of clinic (30 hours) plus one full day (7.5 hours) administration time comprises 1.0 FTE of clinic workload. Assignments include five 3-unit clinic sections each semester and three 3-unit sections in the summer. The specific clinic assignments will be determined by the Department Chair, Clinic Director, and Supervisor based on complexity and needs of client/patient populations. Each clinic section will be established in a manner that satisfies accreditation guidelines for faculty:student as well as student:client. Clinical track faculty are expected to provide service while participating on departmental, college, and University committees.

5. Graduate Coordinator duties are acknowledged with a stipend in lieu of release time from any of the above guidelines.

6. Program Director/Assistant Chair duties are acknowledged with a stipend in lieu of release time from any of the above guidelines.

Appeals Process:

It is incumbent upon the department chair and faculty member to identify an appropriate workload assignment. If the two parties cannot reach agreement, then the faculty member must file an appeal with a college workload review committee. The workload review committee will be made up of one tenured faculty, one clinical-track faculty, and one tenure-track faculty from departments throughout CCRHS. At least one of the committee members must be from the faculty member's program. After hearing the appeal, the committee will make a recommendation to the chair and dean regarding the faculty member's workload assignment. The appeal process must be completed by at least 30 days prior to the start of the semester in which the workload will be implemented.

Department of Physical Therapy ETSU Policy & Procedures-Promotion & Tenure

PURPOSE: To describe the process for tenure-track faculty to apply for promotion and tenure.

POLICY: See the ETSU Faculty Handbook, section 2, for tenure and promotion policies.

PROCEDURE: The Physical Therapy Department has a scoring system used to determine tenure and promotion. All faculty are responsible for maintaining records of their scores for tenure and promotion as noted below.

Determining Scores for Promotion and Tenure

There are three areas of activity: teaching, scholarly activity, and service. Each activity will be weighted based on the distribution each specialty area is assigned on the faculty member's workload from the faculty member's annual faculty activity plans, reports, and evaluations. All faculty are expected to demonstrate excellence in teaching, with demonstrated excellence in either service, or excellence in research (scholarly activity).

Tenure: By the end of their fifth year of service the faculty member should have completed the following:

- Excellence in Teaching:** Demonstrated by earning a minimum number of 25 points.
- Excellence in Scholarly Activity:** Demonstrated by earning a minimum number of 30 points.
- Excellence in Service:** Demonstrated by earning a minimum number of 25 points.

Physical Therapy Scholarly Activities, Fall 2001, Revised 5/15/05

Category I (5 Points)	Category II (3 points)	Category III (1 Point)
Publishes in a peer-reviewed journal (discipline or teaching related)	Publishes in a non-juried journal (discipline or teaching related).	Attends a professional conference or workshop (discipline or teaching related)
Gives an invited presentation/lecture at a regional, national or international meeting.	Presents a paper or lecture at a regional, national or international meeting.	Presents paper or lecture at a local meeting
Receives an extramural grant award. (Points may be dependent on the amount of funding awarded)	Submits a grant to extramural funding source.	Reviews chapter(s) related to teaching responsibilities or specialty area for a textbook.
Authors or edits a book published by a national publishing house.	Services as a manuscript reviewer for a peer review journal.	Reviews software related to clinical or research expertise.
Serves as an editor or guest editor of a peer review journal	Presents a poster at national or state professional meeting	
	Receives an intramural grant award (RDC/IDC).	Submits an intramural grant (RDC/IDC).
Primary investigator and administrator for a federally funded grant such as NIH/NIMH, DOE, etc., or equivalent private grant.	Co-investigator for a federally funded grant such as NIH/NIMH, DOE, etc., or equivalent private grant	
	Serves as a doctoral dissertation committee member.	Serves as a master's thesis committee member.
Supervises students with study results being presented at a national professional meeting or published in a peer review journal	Supervises students with study results being presented at stated/regional professional meeting	
Other category: Additional items/points approved by Chair & Department of Physical Therapy Committee prior to review	Other category: Additional items/points approved by Chair & Department of Physical Therapy Committee prior to review	Other category: Additional items/points approved by Chair & Department of Physical Therapy Committee prior to review

Physical Therapy Teaching Activities, Fall 2001, Revised 5/15/05

Category I (5 Points)	Category II (3 points)	Category III (1 Point)
Presents at faculty development workshop at state, national or international level.	Presents at a local faculty development workshop	Attends a faculty development workshop (local, state, national or international levels)
Receives notable teaching award (College, university, state or national)	Receives Departmental teaching award	
Develops an on-line course that is at least offered as an experimental course	Teaches a newly assigned course.	Demonstrates evidence of having incorporated technology into the classroom (computer, assignment, PowerPoint, etc.,)
Earns peer review rating of excellent	Earns peer review rating of good	Earns peer review rating of average
Earns yearly average between very good and excellent on SAI content, instructor, and course rating scores	Earns yearly average between good and very good on SAI content, instructor, and course rating scores.	Earns yearly average equal to good on SAI content, instructor, and course rating scores.
Develops a new course that is incorporated into department, college or university permanent offerings	Revises course content based on formal/informal feedback from clinical instructors, peers, and/or students.	Incorporates The Guide to PT Practice into lecture and lab content and experiences.
Develops workbook, lab manual, or significant ancillary material for classroom	Organized lab instruction into small sections to provide individual and/or intense instruction for students	Shows evidence of revising and/or keeping course content current.
Passes or receives re-certification of American Board of Physical Therapy Specialties certification related to teaching responsibilities	Receives additional clinical certifications relating to teaching responsibilities as approved by Chair.	Organizes/Hosts out of Class, non-credit workshop or seminar for PT students.
Organizes/Hosts a conference/workshop concerning physical therapy or clinical education		
Develops course related clinical experiences for students relevant to course content.	Presents guest lecture at another college or university outside ETSU.	Presents guest lecture for other classes, departments or colleges at ETSU.
Other category: Additional items/points approved by Chair & Department of Physical Therapy Committee prior to review	Other category: Additional items/points approved by Chair & Department of Physical Therapy Committee prior to review	Other category: Additional items/points approved by Chair & Department of Physical Therapy Committee prior to review

Physical Therapy Service Activities, Fall 2001, Revised 7/22/15*

Category 1 (5 Points)	Category II (3 points)	Category III (1 Point)
Serves as faculty senate officer	Serves as Faculty Senate	Serves on departmental college and university committees with documented outcome.
Manages department college or university web pages		Serves as advisor for students
Serves as a consultant at the national or state level to educational, governmental or health organizations	Writes or reviews questions for the national licensure examination	Participates in a recruiting trip to another college or university
Serves as officer or committee member at the national level or as president at state level or a professional or health organization	Serves as officer at state or local level for national/state professional or health organization	Participates and is a member of national/state professional or health organization with documented activities
Serves on Council of Accreditation for Physical Therapy Education (CAPTE) on site review	Serves on departmental committee preparing for CAPTE review	
Chairs Departmental CAPTE review committee	Involved in clinical practice related to teaching or research interests at least 7.5 hours per week	Participates in a local off-campus service club or activity related to teaching, professional or clinical interests
Other category: Additional items/points approved by Chair & Dept. P&T Committee prior to review	Other category: Additional items/points approved by Chair & Dept. P&T Committee prior to review	Other category: Additional items/points approved by Chair & Dept. P&T Committee prior to review

Department of Allied Health Sciences
Workload Policy
October 22, 2014

The College of Clinical and Rehabilitative Health Science's mission is to foster innovative collaborations that support learning, scholarship and service, and that meet the clinical and rehabilitative health needs of our patients, clients, and communities. The programs within the Allied Health Department have developed this workload policy with the college mission in mind. Because the programs within the department have unique accreditation guidelines, as well as varying needs, the criteria for faculty workloads has to include some flexibility in application. The faculty workload is developed after consultation with the chair of the department and provides a basis for each faculty member to establish a teaching, research, and service agenda for the academic year. The policy is also in line with the university workload policy, providing "sufficient flexibility that it allows the department to draw upon each faculty member's unique ability to contribute." This policy also follows the established promotion and tenure guidelines for the department and provides the faculty member with the ability to develop a successful dossier for promotion and/or tenure. These workload principles are flexible and may require change based on departmental staffing needs and/or budgetary concerns.

The Chair of the Department will develop the schedule/workloads according to the following General Principles:

1. The department faculty workload of 15 hours a semester is a maximum for the fall and spring semester for undergraduate courses and 12 hours for graduate courses. For 12-month faculty the faculty workload for summer is 6 hours maximum as negotiated with the chair of the department. (See TBR Policy 5:01:00:00, II, E.)
2. Traditional didactic classes will have equal workloads (3 credit class = 3 instructional hours).
3. Dental hygiene clinical hours for which faculty have direct patient/student contact for the duration of the clinic time are calculated at a 2/3 rate based on contact hours. (Example: For a clinic with 12 contact hours per week, the faculty member would be given 2/3 of the contact hours for 8 workload hours).

4. For other clinical supervision hours, workload hours are calculated at a 2/3 rate based on credit hours. (Example: 2 workload hours for 3 credit hours).
5. For laboratory classes, the workload is based on credit hours. (Example: 1 hour workload for 1 credit hour).
6. Program directors will be given 2 workload hours of release during each of the fall and spring semesters to perform their duties.
7. Program, clinical, and graduate coordinators on 12-month contracts will be given one workload hour during the fall and spring semesters. Program, clinical, and graduate coordinators who are on 9-month contracts will be given a total of 3 workload hours during the academic year to continue their duties during the summer.
8. Other workload hours can be negotiated with the chair. Examples include, but are not limited to, distribution of on-line hours, intensive courses, program development, service, and research. See note below about course caps.
 - a. The establishment of course caps will be set by the chair in consultation with course instructors. Adjustments to course caps (such as permitting additional students into a course must be approved by the instructor affected by the adjustment.
9. If the chair and faculty member cannot reach agreement on the semester workload, then the faculty member may file an appeal with the departmental workload review committee. The workload review committee will be made up of one tenured faculty, one clinical-track faculty, and one tenure-track faculty. At least one of the committee members must be from the faculty member's program. After hearing the appeal, the committee will make a recommendation to the chair and dean. The chair and dean will make the final decision and report to the faculty member, within 10 business days, after receiving the workload review committee's recommendation. The appeal process must be completed 60 days prior to the start of each semester.
 - a. Summer workloads will be established by February 28th
 - b. Fall workloads will be established by March 31st
 - c. Spring workloads will be established by October 31st

College of Nursing Tenure and Promotion Criteria

College of Nursing
[Tenure](#) || [Promotion](#)

East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800



INTRODUCTION TO PROMOTION AND TENURE GUIDELINES

A major strength of the College of Nursing is its faculty. Faculty members enable the programs of the College to succeed and contribute to the profession and the broader community through their teaching, scholarship, service, and practice. These guidelines are intended to provide direction for faculty members to highlight their accomplishments and to direct the documentation of their extensive expertise in order to assist them in attaining both tenure and promotion.

The document details categories of activities and examples of evidence in the standard areas of teaching, scholarship, service, and practice. It also provides categories and evidence that highlight the practice component of service. It is not intended that faculty members whose role includes structured practice be held to an additional set of criteria, but that their practice contributions be specifically emphasized within the service component of the standard academic role. Up to 20% of your practice component can be designated to service.

The document is not intended to serve as a simple checklist that, if completed, assures either tenure or promotion. Instead it is intended to provide parameters within which individual faculty members can create their own body of work with emphasis on their own unique strengths. The suggested categories and evidence are intended to provide maximum flexibility and choice.

The categories have been created in such a way to indicate developing contributions as a faculty member matures. Maturation is the basis of the one, three, and five point categories. The awarding of tenure recognizes a pattern of scholarly activity. Promotion indicates increasing quality and quantity in a faculty member's contributions across the various faculty roles. In other words tenure is the recognition that a faculty member is projected to provide career-long contributions. Promotion recognizes increased breadth and depth of demonstrated contributions. While the evidence for tenure and promotion may be similar, the emphasis is different.

The guidelines are to be used as a resource to identify specific faculty contributions. Faculty members are expected to provide evidence of a substantial body of work deemed by peers, colleagues and administration to be of high quality. Thus, any suggested evidence within the categories is only an example.

This document acknowledges the importance of the partnership between faculty members and the College administration. It is in this light that the guidelines and requirements provide a framework for administrative decisions regarding workload. In order to support each eligible faculty member in the achievement of tenure and/or promotion.

It is intended that this document be reviewed and revised to reflect faculty accomplishments and the mission and goals of the College and University. Suggested alterations to the guidelines shall be reviewed by the Tenure and Promotion Committee and forwarded for approval to the Academic Council.

Local = tri-city area (Johnson City, Kingsport, and Bristol)

Regional = NE TN; SW VA; NW NC; SE KY

Approved by CON Promotion & Tenure Committee April 4, 2016

Approved by CON Academic Council May 6, 2016

Promotion and Tenure Guidelines
TEACHING

Instructions: Add up the points for each promotion and tenure accomplishment. Any given accomplishment can receive points only once.

Category I Assistant Professor (1 point)	Category II Associate Professor (3 points)	Category III Professor (5 points)
*Develops new lecture/module for course(s)	*Responsible for developing at least three modules	*Solely responsible for developing a new course that is subsequently approved and taught at least one semester
*Collaborates plans and teaches at least one didactic course, demonstrating effectiveness in the classroom and/or clinical setting	*Independently plans and teaches at least one didactic course, demonstrating effectiveness in the classroom and/or clinical setting	*Serves as course coordinator in at least one course.
*Reviews SAI results with a knowledgeable colleague and identifies areas for improvement	*Receives at least one peer teaching evaluation annually and implements appropriate changes	*Ensures all courses taught comply with ETSU quality standards for online or synchronous courses. Example: have ATS of college liaison review courses for compliance
Participates in course revisions with another faculty member.	Develops a plan for course revisions based on evidence of need for change	Make major revisions with documented evidence of the effort
Provides feedback on teaching materials, making recommendations to the developer(s)	Edits and revises teaching materials	Creates new teaching materials
Actively teaches in at least one continuing education program	Collaborates with others to develop at least 50% of a continuing education program	Plans and directs continuing education programs
Provides feedback and significant data for a formal course evaluation	Participates in a formal evaluation of at least two courses annually with documentation of evidence	Conducts a formal evaluation of courses that includes comparing the course with existing standards and developing a formal plan for course revisions and enhancements with appropriate follow-up
Provides students with feedback on their psychomotor, cognitive, and affective performance in didactic/clinical/simulation experiences	Implements strategies to promote students' development of psychomotor, cognitive, and affective performance in didactic/clinical/simulation experiences	Designs curricular changes to promote students' development of psychomotor, cognitive, and affective performance in didactic/clinical/simulation experiences

Category I Assistant Professor (1 point)	Category II Associate Professor (3 points)	Category III Professor (5 points)
Participates in program evaluation by regular attendance and participation in curriculum discussions and meetings	Provides annual data relevant to program evaluation	Contributes to program evaluation by participating in accreditation processes through compiling and creating evidence of achievement of accreditation standards
Provides evaluation data on the performance of clinical agency sites related to the desired educational goals of the program	Formally evaluates the performance of clinical agency sites related to the desired educational goals of the program	Locates and recommends/secures clinical agency site(s).
Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review

*Designates required item.



Instructions: Add up the points for each promotion and tenure accomplishment. Any given accomplishment can receive points only once.

Assistant Professor	Associate Professor	Professor
1 point	3 points	5 points
Research		
*Peer-reviewed podium presentation or poster at local professional conference.	*Delivers peer-reviewed podium presentation at local professional conference as co-authors or state/regional or national conference as first or sole author.	*Presents peer-reviewed paper at state, national, and/or international professional conferences as first or sole author.
Uses research findings to inform their own nursing practice.	Creates/applies research to nursing practice/knowledge.	Creates/applies research findings to interprofessional health care practice/knowledge.
Identifies one or two key research interests and completes at least one thorough review of the literature for that topic	Has initiated a program of research and completed a thorough review of the literature.	Has a well-established program of research and is recognized as a regional, national, and/or international expert.
Identifies potential team members in their research interest area	Actively participates as a team member in another investigators program of research.	Serves as PI or Co-I in an active program of research.
Presents at local professional conference with supervised student as an author.	Presents at state/regional professional conference with supervised student as an author.	Presents at national/international professional conference with supervised student as an author.
Local podium presentation (Non peer-reviewed)	State/regional podium presentation	National/international podium presentation
Funding or Sponsored Projects		
*Submits internal/external grant application within 3 years of appointment	*Secures internal/external research funding for grant as PI/PD	*Secures internal/external competitive grant award as PI/PD or Co-I collaboratively as member of team.
Publications		
*Submits and published at least one peer-reviewed scholarly paper every 2 years	*Submits and publishes at least one peer-reviewed scholarly paper per year	*Submits and publishes at least one peer-reviewed scholarly paper per year

Applies research findings in teaching and practice.	Demonstrates pattern of scholarship progression that contributes to the science of nursing, with evidence of increasing expertise.	Demonstrates pattern of scholarship that contributes to the science of nursing, with evidence of increasing expertise, and evidence of leadership in research.
Co-reviews a manuscript with senior faculty	Regularly serves as a peer reviewer for professional journals and/or reviewer for publishers of textbooks	Authors chapter in published book.
Other Scholarly Activity		
Review book chapters related to teaching/research area	Manuscript reviewer for peer reviewed journal	Serves on the editorial board for a journal.
Mentors Honors-in-Discipline student each year	Mentors three or more University Honors Scholars or Midway Honors Scholar student each year Serves on PhD student dissertations or DNP projects each year	Chairs PhD student dissertations or DNP projects each year
Designated reviewer for College of Nursing journal, grant, or book manuscript	Designated reviewer for university journal, grant, or book manuscript	Designated reviewer for external peer-reviewed journal, grant, or book manuscript
Receives a college or local professional award for service	Receives an university, regional, or state professional award or other recognition for service	Receives a national or international professional award or other recognition for service
Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review

* designates required item

Local: tri-city area (Johnson City, Kingsport, Bristol)

Regional: NE TN; SW VA; NW NC; SE KY

Approved by CON Promotion and Tenure Committee April 4, 2016

Approved by CON Academic Council May 6, 2016



Promotion and Tenure Guidelines
SERVICE**

Instructions: Add up the points for each promotion and tenure accomplishment. Any given accomplishment can receive points only once.

Assistant Professor 1 point	Associate Professor 3 points	Professor 5 points
*Active member of a local, regional, or state professional organization	*Serves as officer of local, regional, or state professional organization	*Serves as chair of a local, regional, or state professional organization committee
*Serves on a local, regional, or state task force or subcommittee and attends a minimum of 2 of the meetings held each semester	*Serves as a member or officer of a national or international professional committee	*Serves as chair of a national or international professional organization committee
*Serves on a college or university committee	*Serves as an officer of a college or university committee, tasked with committee planning responsibilities	*Serves as chair of a college or university committee
*Serves on a local or college/university task force or sub-committee	*Serves on a state or regional task force or subcommittee	Serves on a national or international task force or subcommittee
Volunteers as a member or provides support for a community service project <i>(minimum of one/year)</i>	Develops and/or directs a community service project <i>(minimum of one/year)</i>	Serves on Board of Community Organization
Serves as a collaborative member with nursing on a community board	Serves as a member or officer of a non-nursing community board	Serves in a leadership role on community board
Serves as a volunteer for a non-professional community or regional organization	Serves as a volunteer for a professional community, regional or state organization	Serves as a volunteer for a professional national or international organization
Attends student organization meetings and facilitates meetings at the local level ; minimum of 2 of the meetings held each semester	Facilitates participation for student organization members at the regional level	Facilitates participation for student organization members at the state or national level
Participates in on-campus or local student recruitment activities	Participates in state student recruitment activities	Participates in national student recruitment activities
Serves as a mentor to one (1) faculty member	Serves as a mentor for a minimum of three (3) faculty members	Serves as a mentor to five (5) or more faculty members
Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review

**Up to 20% of your practice can be designated to service.

*Designates required item.



Promotion and Tenure Guidelines
PRACTICE **

Instructions: Add up the points for each promotion and tenure accomplishment. Any given accomplishment can receive points only once.

Assistant Professor Category I (1 point)	Associate Professor Category II (3 points)	Professor Category III (5 points)
* Provides clinical services to patients in a health care setting	* Provides consultation to patients/providers in a health care setting	* Initiates new clinical services to patients in a health care setting
* Maintains certification or licensure related to area of expertise	* Expands area of expertise to better service patients and families	* Acquires additional certifications in order to expand practice opportunities
* Contributes to quality improvement projects in the clinical area	* Conducts quality improvement projects in the clinical area	* Initiates new quality improvement projects in the clinical area
* Collaborates with own discipline to provide high quality patient care	* Collaborates with other health science disciplines to provide high quality patient care	* Initiates collaborations with non-health science disciplines to provide high quality patient care
* Utilizes evidence-based practice guidelines in the clinical setting	* Implements evidence-based practice guidelines for the improvement of patient care	* Evaluates evidence-based practice guidelines in order to change present practices
Develops new clinical or innovative clinical practice protocols	Implements new clinical or innovative clinical practice protocols	Evaluates new clinical or innovative clinical practice protocols
Shares clinical expertise through regional, practice-based conferences/workshops	Shares clinical expertise through state/national conferences/workshops	Shares clinical expertise through national or international conferences/workshops
Receives local honors/awards related to expertise/endeavors in clinical practice	Receives regional/state honors/awards related to expertise/endeavors in clinical practice	Receives national honors/awards related to expertise/endeavors in clinical practice
Shares clinical expertise through local journals newspapers or newsletters	Shares clinical expertise through peer-reviewed journals or chapters in books	Shares clinical expertise through multimedia productions and/or 2 peer-reviewed journals or chapters in books per year.
Serves as a preceptor to 5 or less undergraduate/graduate nursing students	Serves as a preceptor to 5 or less nursing or non-nursing graduate students in the health science division	Serves as a preceptor to 5 or less nursing and non-nursing doctoral students in the health science division

Achieves local/ regional recognition for clinical expertise	Achieves state wide recognition for clinical expertise	Achieves national/international recognition for clinical expertise
Receives recognition as a long-term mentor for students in nursing	Receives recognition as a long-term mentor for students in health science arenas	Provides mentoring for faculty and practicing nurses/nurse practitioners
Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review	Additional items negotiated with Chair, Dean, and Promotion & Tenure Committee prior to review

**Up to 20% of your practice can be designated to service.

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College of Public Health Tenure and Promotion Criteria

Biostatistics/Epidemiology

[Tenure](#) || [Promotion](#)

Community and Behavioral Health

[Tenure](#) || [Promotion](#)

Environmental Health

[Tenure](#) || [Promotion](#)

Health Sciences

[Tenure](#) || [Promotion](#)

Health Services Management and Policy

[Tenure](#) || [Promotion](#)

Department of Biostatistics and Epidemiology
Promotion & Tenure Policy

Adopted from Department of Public Health □ Fall 2008

This Promotion and Tenure Policy was adopted, with some simplifications, from the Policy of the Department of Public Health that was disbanded and separated into three departments starting in the fall of 2008.

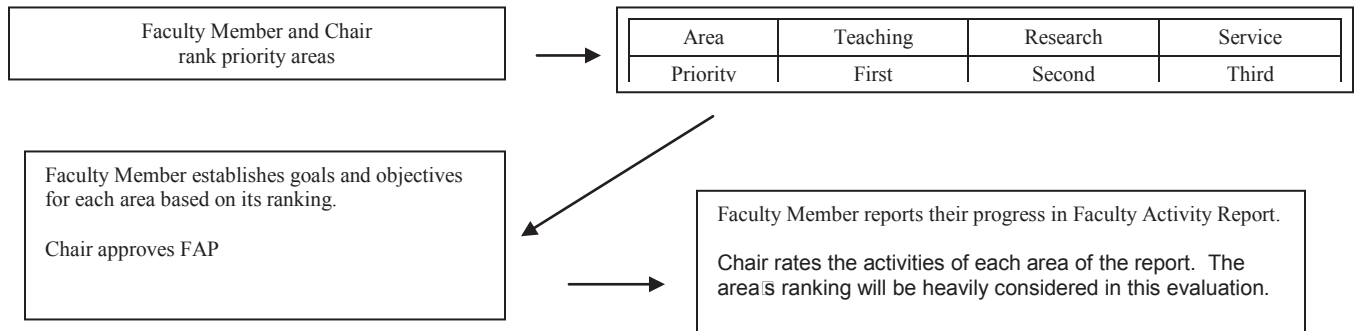
The Promotion and Tenure Policy consists of a series of steps involving department Chair and faculty members determining annual areas of priority, setting goals and objectives accordingly. The following describes the process:

1. Based on individual, department, college, and university goals the faculty member and Chair prioritize the areas of emphasis, teaching, research and service, for the faculty member at the beginning of the academic year. Ranking is reflected in the amount of time spent for each area and will determine the faculty member's level of effort for each area.
2. The faculty member establishes goals and objectives for each area. The faculty member may use one of the suggested activities to enhance the various areas and/or other activities that may be negotiated with the Chair. These activities are then stated in the faculty member's Faculty Activity Plan for the Chair's approval.
3. The faculty member will then report their progress in their Faculty Activity Report. The Chair will rate whether the faculty has met the goals and objectives for each area.

The collective evaluations over time will provide an overall evaluation of an individual faculty member's potential and achievements in teaching, research, and service.

Tenure and Promotion will be based on the cumulative evaluation of achievement of goals in all areas over the review period.

Flow Chart of Promotion & Tenure Process



(Reviewed July 2011)

Adopted from Department of Public Health □ Fall 2008

Suggested Activities

Teaching
<p>Courses Developed and Taught</p> <ol style="list-style-type: none">1. Intensive Courses □ Teach course which is deemed intensive by the University.2. Demonstrated Content Updates □ Course materials will be kept in versions demonstrating the progression of updates.
<p>Technology Use</p> <ol style="list-style-type: none">1. Web-enhanced Courses □ at least 50% of course materials presented via the Internet.2. Online Courses □ Development of online course as defined by the University.
<p>Teaching and Learning Center</p> <ol style="list-style-type: none">1. Assessment by Teaching and Learning Center □ Teaching reviewed by Teaching and Learning Center. This is suggested during the first, third and fifth year with demonstrated improvements.
Service
<p>University</p> <ol style="list-style-type: none">1. Committee memberships at Department, College, and University level Whether has had leadership roles2. Advising Students3. Newsletters, programs Produce newsletters/programs/ etc. for Department/College/University4. Student Organizations Faculty advisor for student organization. Lead student trip to professional conference or other educational activity.

**Department of Biostatistics and Epidemiology
Promotion & Tenure Policy**

Adopted from Department of Public Health □ Fall 2008

Profession 1. Leadership Roles Hold office in professional organization. 2. National/International Involvement Example: Participate in Faculty International Exchange Conduct research with faculty abroad
Community: Organizations served

Research
Publications 1. Books authored or coauthored (in part or accepted) distinguished original editions and revisions 2. Books edited and co-edited (in print or accepted) distinguished original editions and revisions 3. Chapters in books (in print or accepted) 4. Monographs (longer than articles, in print or accepted) 5. Journal (in print or accepted) 6. Bulletins or reports (in print or accepted) 7. Abstracts (in print or accepted) 8. Book reviews (in print or accepted) 9. Works submitted but not yet accepted 10. Any other (e.g., popular articles)
Creative contributions other than formal publications
Grants received (dates, amounts, principle investigator, or co-investigator)
Recognitions and outstanding achievements (prizes, fellowships)
Supervision of student research (including number of theses and dissertations supervised)
Editorship or editorial board member of journals or other learned publications
Convention Papers

**Department of Biostatistics and Epidemiology
Promotion & Tenure Policy**

Adopted from Department of Public Health □ Fall 2008

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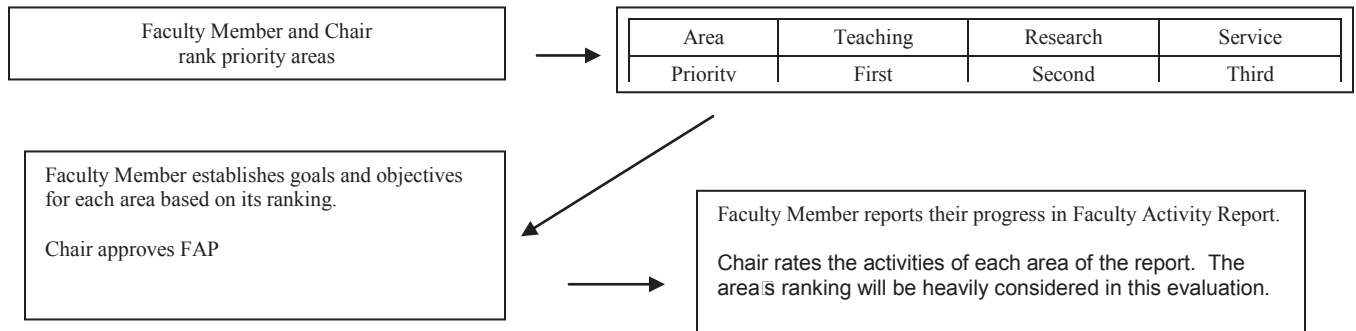
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2. The faculty member establishes goals and objectives for each area. The faculty member may use one of the suggested activities to enhance the various areas and/or other activities that may be negotiated with the Chair. These activities are then stated in the faculty member's Faculty Activity Plan for the Chair's approval.
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(Reviewed July 2011)

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**Department of Biostatistics and Epidemiology
Promotion & Tenure Policy**

Adopted from Department of Public Health □ Fall 2008

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Grants received (dates, amounts, principle investigator, or co-investigator)
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Supervision of student research (including number of theses and dissertations supervised)
Editorship or editorial board member of journals or other learned publications
Convention Papers

Department of Community and Behavioral Health
Promotion & Tenure Policy

This Promotion and Tenure Policy consists of a series of steps involving Chair and faculty members determining annual areas of priority, setting goals and objectives accordingly. The following describes the process:

1. Based on individual, department, college, and university goals the faculty member and Chair prioritize the areas of emphasis, teaching, research and service, for the faculty member at the beginning of the academic year. This ranking will determine the faculty member's level of effort for each area.
2. Once the areas of emphasis are ranked the faculty member will then establish goals and objectives for each area. The faculty member may use one of the suggested activities to enhance the various areas and/or other activities that may be negotiated with the Chair. These activities are then stated in the faculty member's Faculty Activity Plan for the Chair's approval.
3. The faculty member will then report their progress in their Faculty Activity Report. The Chair will rate their efforts as:

Unsatisfactory - failed to make significant progress toward goal
Progression made significant progress toward goal
Achievement achieved goal

The evaluations are to be viewed both separately and collectively. Separately the reports indicate the annual achievements of the faculty member in meeting their priority-based tasks. Collectively the evaluations reflect a faculty member's potential and achievements in teaching, research, and service.

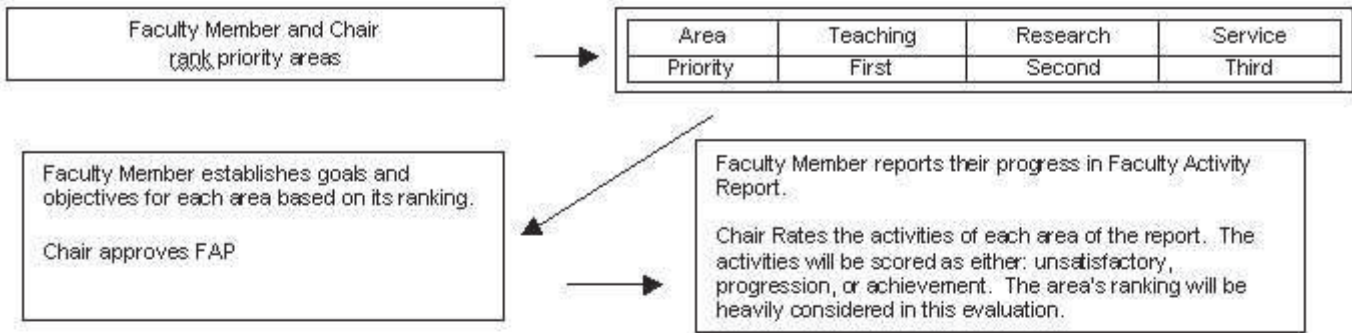
TENURE

An amalgamation of progression and achievement ratings are expected for tenure, with considerable weighting placed on areas ranked first in priority.

PROMOTION

A rating of achievement in the majority of areas ranked first priority is expected for promotion.

Department of Community and Behavioral Health Flow Chart of Promotion & Tenure Process



Example of Tenure Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 1		Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Progression	Goal 1 Progression Goal 2 Unsatisfactory Goal 3 Achievement
Year 2	Priority Second	Goal 1 Progression Goal 2 Achievement Goal 3 Progression	Goal 1 Achievement Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Progression
Year 3	Priority First	Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Achievement
Year 4	Priority Second	Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Progression	Goal 1 Achievement Goal 2 Achievement
Year 5	Priority First	Goal 1 Achievement Goal 2 Achievement Goal 3 Progression Goal 4 Achievement	Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Achievement

Example of Promotion Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 6		Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Achievement Goal 3 Achievement

**Regarding Sections 2.3.8.2 and 2.3.8.3 □ Teaching
Suggested Activities**

Courses Developed and Taught

1. Intensive Courses □ Teach course which is deemed intensive by the University
2. Demonstrated Content Updates □ Course materials will be kept in versions demonstrating the progressions of updates
 - Example: Community Health, PUBH 4030
Version 1 Fall 2001
Version 2 Spring 2002

Technology Use

1. Web enhanced courses □ at least 50% of course materials presented via the Internet.
2. Online courses □ Development of online course as defined by the University.

Assessment by External Reviewers

1. Teaching reviewed by external reviewers. This is **required** during the first, third and fifth year with demonstrated improvements.

Advising Students

1. Number of undergraduate students advised
2. Number of graduate students advised

**Regarding Sections 2.3.8.4 □ Service
Suggested Activities**

University Service

1. Number of Leadership roles / e.g., Committee Chair
 - a. Department
 - b. College
 - c. University
2. Actions produced by committees
 - Activity / Service/ Product/ Policy produced by committees or groups
3. Newsletters, programs
 - Produce newsletters / programs / etc. for Department / college / University
4. Student Organizations
 - Faculty advisor for student organization
 - Lead student trips to professional conferences or other educational activity

Professional Service

1. Leadership Roles
 - a. Hold office in professional organization
2. Actions produced by committees
 - Example: Conference Development
3. National / International Involvement
 - Example: Participates in faculty international exchange
 - Participates in professional organizations

Community Service

1. Collaborative Activities
2. Actions produced by committees

**Regarding Section 2.3.8.5 Research
Suggested Activities**

1. Publications
 - Books authored or co-authored (in part or accepted) distinguished original editions and revisions.
 - Books edited and co-edited (in print or accepted) distinguished original editions and revisions.
 - Chapters in books (in print or accepted)
 - Monographs (in print or accepted)
 - Journal article (in print or accepted)
 - Bulletins or reports (in print or accepted)
 - Abstracts (in print or accepted)
 - Book reviews (in print or accepted)
 - Works submitted but not yet accepted
 - Any other (e.g., popular articles)
2. Creative contributions other than formal publications
3. Grants received (dates, amount, principal investigator or co-investigator)
4. Recognitions and outstanding achievements (prizes and fellowships)
5. Areas in which research is done
6. Supervision of student research (including number of thesis and dissertations supervised)
7. Editorship or editorial board of journals or other learned publications
8. Convention papers

**Department of Community and Behavioral Health
Promotion & Tenure Policy**

This Promotion and Tenure Policy consists of a series of steps involving Chair and faculty members determining annual areas of priority, setting goals and objectives accordingly. The following describes the process:

1. Based on individual, department, college, and university goals the faculty member and Chair prioritize the areas of emphasis, teaching, research and service, for the faculty member at the beginning of the academic year. This ranking will determine the faculty member's level of effort for each area.
2. Once the areas of emphasis are ranked the faculty member will then establish goals and objectives for each area. The faculty member may use one of the suggested activities to enhance the various areas and/or other activities that may be negotiated with the Chair. These activities are then stated in the faculty member's Faculty Activity Plan for the Chair's approval.
3. The faculty member will then report their progress in their Faculty Activity Report. The Chair will rate their efforts as:

Unsatisfactory - failed to make significant progress toward goal

Progression made significant progress toward goal

Achievement achieved goal

The evaluations are to be viewed both separately and collectively. Separately the reports indicate the annual achievements of the faculty member in meeting their priority-based tasks. Collectively the evaluations reflect a faculty member's potential and achievements in teaching, research, and service.

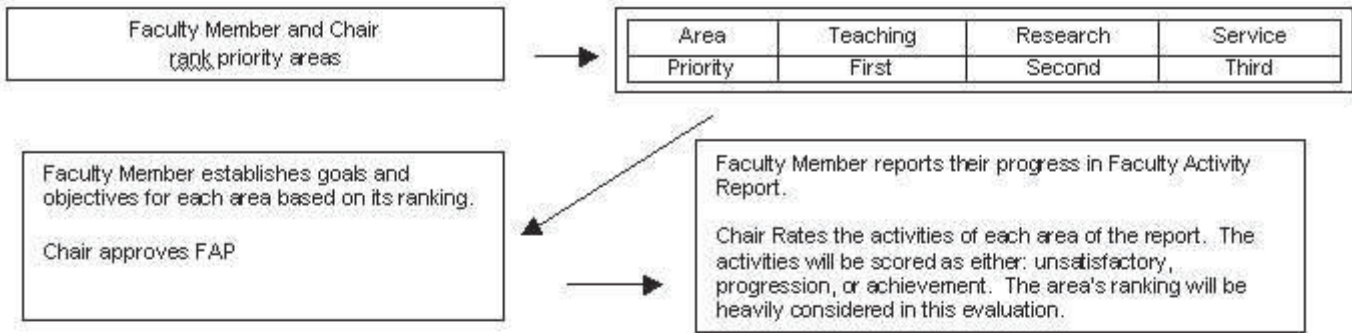
TENURE

An amalgamation of progression and achievement ratings are expected for tenure, with considerable weighting placed on areas ranked first in priority.

PROMOTION

A rating of achievement in the majority of areas ranked first priority is expected for promotion.

Department of Community and Behavioral Health Flow Chart of Promotion & Tenure Process



Example of Tenure Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 1		Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Progression	Goal 1 Progression Goal 2 Unsatisfactory Goal 3 Achievement
Year 2	Priority	Second	First	Third
		Goal 1 Progression Goal 2 Achievement Goal 3 Progression	Goal 1 Achievement Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Progression
Year 3	Priority	First	Third	Second
		Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Achievement
Year 4	Priority	Second	Third	First
		Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Progression	Goal 1 Achievement Goal 2 Achievement
Year 5	Priority	First	Second	Third
		Goal 1 Achievement Goal 2 Achievement Goal 3 Progression Goal 4 Achievement	Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Achievement

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Guidelines for Tenure and Promotion
(Revised 7/20/10)

Department of Environmental Health
College of Public Health, East Tennessee State University

Introduction

Each faculty member is expected to demonstrate commitment to and competence in teaching, scholarship and service. Selected faculty may also be assigned administrative roles. These categories are interrelated and certain activities of faculty may span more than one area. Each faculty member makes unique contributions and has different assignments relative to teaching, scholarship, and service, and faculty activities will be evaluated individually and collectively for tenure and promotion decisions.

I. Criteria for Tenure and Promotion (Narrative)

The criteria that follow are flexible rather than rigid. It is expected that faculty in the Department of Environmental Health will contribute to teaching, scholarship, and service every semester. Selected faculty may also be assigned administrative activities. The relative contribution will reflect the % activity assignment for that semester negotiated and agreed upon with the Chair. These assignments will be documented in the annual faculty activity plan. Assessment of performance is done regarding the individual faculty members specifically assigned duties as delineated on annual planning reports and evaluations. Under certain conditions the plan may be modified by mutual agreement between the chair and faculty member.

A candidate is expected to integrate information from the annual reviews and evaluations into the tenure and promotion application. The candidate is responsible for providing the Tenure and Promotion committee with all supportive materials that substantiate the range, significance, and the quality of work with regard to teaching, scholarship, and service.

Teaching:

Direct instruction and other professional activities related to teaching is the principal reason for existence of the University. Evidence of competency in teaching is essential for the award of tenure or promotion.

The candidate for tenure and/or promotion must present clear evidence of teaching effectiveness by regular participation in teaching activities and by clear demonstration of:

- command of the subject matter,
- good organization of the subject matter and of the course,
- an ability to motivate students, and
- effective communication.

Teaching has many diverse facets and encompasses but is not limited to:

- Classroom, online, and/or laboratory instruction,
- participation in activities that advance the development of the faculty member as a teacher.
- computer-assisted teaching,
- curricular innovation: developing courses, course materials, software,
- mentoring students in academic projects,
- development and creative use of innovative teaching methods or pedagogues,
- designing and teaching courses and programs that integrate environmental health with other disciplines,
- and testing and grading.

Significant sources of information regarding the quality of a faculty member's teaching are:

- evaluation by colleagues,
- student ratings of instruction, and
- evaluation by recent graduates.

Prior to applying for tenure the faculty member must have his or her classroom teaching directly observed and evaluated by other members of the department, colleagues in the college, and/or others in the university who are recognized for teaching expertise (please review the departmental peer evaluation

of teaching process documentation). The peer reviewers will also assess course syllabi, study materials, assignments, information on assessments and grading practices, and expectations relating to the candidate's particular teaching responsibilities. The faculty member must include the written synopses of these directly observed class sessions in the dossier for tenure.

Scholarship:

Scholarship, through discovery and or creative application of new facts, and development of new ideas, advances knowledge and learning in the discipline. This activity will be weighed appropriately in all assessments of the candidate for tenure and promotion.

Appropriate examples of activities of inquiry and application include but are not limited to:

- peer-reviewed publications--journal articles, books, book chapters, proceedings, or monograph, funded research (competitive peer-reviewed grants; contracts, industrial, private, foundation, or home-institutional support);
- presentations at professional meetings, and
- recognition by colleagues and organizations--invited papers, colloquia and awards.

The scholarship of teaching, which focuses on transforming and extending knowledge about pedagogy, is appropriate in environmental health. Classroom teaching and staying current in one's field does not constitute "scholarship of teaching." Items that constitute scholarship in teaching include but are not limited to:

- Writing, editing, or contributing to an appropriate textbook,
- innovative contributions to teaching which are published or presented in a peer-reviewed forum,
- research in teaching and learning that leads to new insights into how knowledge and skills are most effectively taught and learned at all levels,
- implementation of new methods of classroom instruction, and
- development of software that provides new or improved ways for teaching or learning.

Tangible results of the activities of scholarship must be public and must be amenable to evaluation. Evidence appropriate for the evaluation of scholarship includes peer review; invitations to present results to others; awards and other forms of recognition; and impact measures, such as evidence of the use of the scholarship in the work of others (citations) or evidence of improved effectiveness of a technique or activity as consequence of the scholarly contribution. The ultimate determination of appropriate progress in scholarship is establishment of the candidate's own academic identity through development of an independent research program, one capable of sustained productivity and longevity. Inherent in the concept of an active and productive research program is evidence of the candidate's ability to attract students for study with the program and concerted efforts by the candidate to obtain extramural support for all aspects of the program.

Various aspects of scholarship are assessed from the evidence provided by the candidate and appropriate items may include but are not restricted to the following:

- publications,
- presentation at professional meetings,
- research proposals (funded and unfunded),
- research in progress,
- scholarly activity of candidate's students, and
- consultantships and visiting appointments.

Publications constitute a major way that information concerning scientific discoveries, information, and policy is presented, interpreted and debated, and the resulting knowledge shared. The Department places importance on discerning the relative significance and quality of each publication, and we do not measure outcomes simply by counting publications. Rather, excellence in scholarship must be defined through peer review and evaluation of many kinds of research related activities, focusing on the breadth and depth of influence. In evaluating published work, we examine the prestige of the journal (regional, national, and international), the scope of the article, and the research effort required to produce and complete the published study.

Service:

Service includes university service, professional service, and outreach. The candidate for tenure and/or promotion should clearly document the nature, scope, and value of his/her service activities.

University service includes but is not limited to:

- participation and leadership roles on departmental, college, or university committees,
- advising and recruiting students,
- service to student organizations, and
- serving on the Faculty Senate.

Professional service includes but is not limited to:

- leadership roles in professional organizations,
- editorship of journals and newsletters of professional societies,
- developing, organizing, and teaching appropriate conferences and workshops,
- reviews of manuscripts and grant proposals, and
- guest lecturing on other campuses.

Outreach is sharing professional expertise with parties outside the university, and such activities should support and contribute to attainment of the goals and missions of the department, the college, and the university. Items here include are but not limited to:

- lectures given to various public groups,
- service on boards and commissions that utilize and enhance disciplinary and professional expertise,
- consulting in the public and private sectors, and
- efforts with K-12 enrichment.

Administration:

Selected faculty may also be assigned administrative roles. These, if of sufficient significance, may be included in tenure and/or promotion applications. Administration may include roles at the university, college, department, or programmatic levels. The candidate for tenure and/or promotion should clearly document the nature, scope, and value of his/her administrative activities.

University administration activities includes but is not limited to:

- department chair,
- associate dean,
- graduate coordinator, and
- laboratory director.

II. Tenure

Probationary faculty may be employed on annual tenure-track appointments for a probationary period which may not exceed six (6) years, this being the normal length of time required to develop a substantial record in teaching, research and service. Faculty may apply for tenure following a probationary period of not less than five years (so that the recommendation for tenure and promotion, if granted, would occur upon completion of six years). Exceptions to the minimum probationary period for tenure may be made under special circumstances upon recommendation by the president and approval by the Chancellor. Upon approval of such an exception by the Chancellor, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period.

At the end of the fifth year the candidate should have fulfilled the following criteria.

Evidence of high professional standards and behavior consistent with professional and departmental principles. Continued contribution to the departmental mission, objectives and long-term staffing plan.

Documented evidence of teaching effectiveness. Teaching effectiveness will be determined, in part, by earning teaching activity points consistent with the expectations identified in the faculty activity plan. Points will be earned by completing the recognized teaching activities (see attached teaching activities list). Teaching activities will include (but are not limited to) basic instruction, instructional improvement,

graduate instruction, and advising. The annual evaluations will provide a qualitative and quantitative evaluation of the candidates teaching contributions and effectiveness. Additional documentation of teaching effectiveness includes the peer reviews of teaching, and student assessments of instruction.

Documented evidence of achievement and productivity in scholarship or research activities. Achievement and productivity in scholarship or research activities will be determined, in part, by earning scholarship or research activity points (see attached scholarship or research activities list) consistent with the expectations identified in the faculty activity plan. Scholarship or research activities will include (but are not limited to) publication, presentation, and proposal submission. The annual evaluations will provide a qualitative and quantitative evaluation of the candidate's achievements and productivity in scholarship or research activities.

Documented evidence of participation in university, professional, and community activities and service. Participation in university, professional, and community activities and service will be determined, in part, by earning service points (see attached service list) consistent with the expectations identified in the faculty activity plan. University, professional, and community activities and service will include (but are not limited to) university, college and departmental committee assignments, participation in recruitment efforts, professional service, and outreach.

During the third year of the probationary period, the faculty member will have his or her progress towards tenure reviewed by the departmental tenure and promotion committee. The faculty member will submit documentation including

- 1) evidence of teaching effectiveness (including the peer review evaluations),
- 2) evidence of achievement and productivity in scholarship or research activities, and
- 3) evidence of participation in university, professional, and community activities and service.

The documentation should conform to existing departmental, college, and university formats.

III. Promotion to Associate Professor

The candidate must have at least five years of academic experience at the rank of Assistant Professor. Faculty may apply for tenure following a probationary period of not less than five years (so that the recommendation for tenure and promotion, if granted, would occur upon completion of six years). Exceptions to the minimum probationary period for tenure may be made under special circumstances upon recommendation by the president and approval by the Chancellor. Upon approval of such an exception by the Chancellor, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period.

At the end of the fifth year the candidate should have fulfilled the following criteria.

Evidence of high professional standards and behavior consistent with professional and departmental principles. Continued contribution to the departmental mission, objectives and long-term staffing plan.

Documented evidence of teaching effectiveness. Teaching effectiveness will be determined, in part, by earning teaching activity points consistent with the expectations identified in the faculty activity plan. Points will be earned by completing the recognized teaching activities (see attached teaching activities list). Teaching activities will include (but are not limited to) basic instruction, instructional improvement, graduate instruction, and advising. The annual evaluations will provide a qualitative and quantitative evaluation of the candidates teaching contributions and effectiveness. Additional documentation of teaching effectiveness includes the peer reviews of teaching, and student assessments of instruction.

Documented evidence of achievement and productivity in scholarship or research activities. Achievement and productivity in scholarship or research activities will be determined, in part, by earning scholarship or research activity points (see attached scholarship or research activities list) consistent with the expectations identified in the faculty activity plan. Scholarship or research activities will include (but are not limited to) publication, presentation, and proposal submission. The annual evaluations will provide a qualitative and quantitative evaluation of the candidate's achievements and productivity in scholarship or research activities.

Documented evidence of participation in university, professional, and community activities and service. Participation in university, professional, and community activities and service will be determined, in part, by earning service points (see attached service list) consistent with the expectations identified in the faculty activity plan. University, professional, and community activities and service will include (but are not limited to) university, college and departmental committee assignments, participation in recruitment efforts, professional service, and outreach.

During the third year of the probationary period, the faculty member will have his or her progress towards promotion reviewed by the departmental tenure and promotion committee. The faculty member will submit documentation including

- 1) evidence of teaching effectiveness (including the peer review evaluations),
- 2) evidence of achievement and productivity in scholarship or research activities, and
- 3) evidence of participation in university, professional, and community activities and service.

The documentation should conform to existing departmental, college, and university formats.

IV. Promotion to Full Professor

A faculty member may apply for promotion to professor after having completed five full years in the rank of Associate Professor. Exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval.)

At the end of the fifth year the candidate should have fulfilled the following criteria.

Evidence of high professional standards and behavior consistent with professional and departmental principles. Continued contribution to the departmental mission, objectives and long-term staffing plan.

Documented evidence of teaching effectiveness. Teaching effectiveness will be determined, in part, by earning teaching activity points consistent with the expectations identified in the faculty activity plan. Points will be earned by completing the recognized teaching activities (see attached teaching activities list). Teaching activities will include (but are not limited to) basic instruction, instructional improvement, graduate instruction, and advising. The annual evaluations will provide a qualitative and quantitative evaluation of the candidates teaching contributions and effectiveness. Additional documentation of teaching effectiveness may be included.

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Teaching Activity	Points/Activity/Semester
Basic Instruction:	
Classroom instruction	2 x (#credits taught)
Online or hybrid instruction	3 x (#credits taught)
Instructional improvement:	
New course development and initiation	2
New instructional method development	2
Major revision of existing course	1
New evaluation method development	1
Preparation of new instructional or laboratory manual	1
Intensive course instruction	1
Laboratory course responsibility	1
Teaching evaluations above departmental average	1
□Non-traditional□Instruction:	
Development and initiation of continuing education course	1
Development and initiation of training course for federal or state agency	1
Research Instruction:	
Chair of graduate committee	
Thesis	4
Non-thesis	2
Member of graduate committee	1
Directing undergraduate studies	2
Graduate degree awarded	
Thesis	2
Non-thesis	1
Advising:	
Graduate	1
Undergraduate	1
Student Activities Advisor:	Variable
Instructional Administration:	Variable
Other teaching activities (as negotiated with the chair)	Variable

Research and Scholarly Activity	Points/Activity
Publication:	
Peer reviewed publication	
National / International	
1 st Tier	16
2 nd Tier	12
Regional / State	4
Non-peer reviewed publication	
National / International	8
Regional / State	2
Report	
Publicly available report	4
Limited access report	2
Book	
Author	16
Chapter Author	8
Editor	8
Other publications (as negotiated with the chair)	Variable
Presentation:	
National / International	6
Regional / State	4
University Seminar	2
Research Proposals:	
Externally Funded	
Small (<\$10,000)	
Principle Investigator	8
Co-Investigator	4
Medium (\$10,000 - \$100,000)	
Principle Investigator	12
Co-Investigator	8
Large (>\$100,000)	
Principle Investigator	16
Co-Investigator	12
University	
Small (<\$1,000)	2
Large (>\$1,000)	4
Submitted	
Small (<\$10,000)	
Principle Investigator	4
Co-Investigator	2
Medium (\$10,000 - \$100,000)	
Principle Investigator	6
Co-Investigator	4
Large (>\$100,000)	
Principle Investigator	8
Co-Investigator	6
University	
Large (>\$1,000)	2
Scholarship of Teaching:	
Publication	
See above	
Presentation	
See above	
Proposals	
See above	
Implementation	
Programmatic	3
Classroom	1
Other research activities (as negotiated with the chair)	Variable

Service Activity	Points/Activity/Semester
University Service:	
Faculty Senate	2
University Committee	
Chair	2
Member	1
College Committee	
Chair	2
Member	1
Department Committee	
Chair	2
Member	1
Recruitment effort	1
Other	Variable
Professional Service:	
National / International Organization	
Officer	6
Director	4
Meeting Chair	6
Committee chair	4
Committee member	2
Regional / State Organization	
Officer	4
Director	2
Meeting Chair	4
Committee chair	2
Committee member	1
Review	
Proposals	
National / Federal	2
Regional / State	1
Private	1
Manuscripts	
National / International	1
Regional / State	1
Other professional service (in consultation with the chair and dean)	Variable
Outreach / Community Service	
Consultant	Variable
Other service activities (as negotiated with the chair)	Variable

Administrative Activity	Points/Activity/Semester
Department Chair	16
Graduate Coordinator	4-12*
Assistant to VP or President	Variable*
Associate Dean	16
Assistant to Dean	Variable*
Department Administration	4-12*
Director of Laboratory	Variable*
*Other service activities (as negotiated with the chair)	Variable

**Guidelines for Tenure and Promotion
(Revised 7/20/10)**

**Department of Environmental Health
College of Public Health, East Tennessee State University**

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- development of software that provides new or improved ways for teaching or learning.

Tangible results of the activities of scholarship must be public and must be amenable to evaluation. Evidence appropriate for the evaluation of scholarship includes peer review; invitations to present results to others; awards and other forms of recognition; and impact measures, such as evidence of the use of the scholarship in the work of others (citations) or evidence of improved effectiveness of a technique or activity as consequence of the scholarly contribution. The ultimate determination of appropriate progress in scholarship is establishment of the candidate's own academic identity through development of an independent research program, one capable of sustained productivity and longevity. Inherent in the concept of an active and productive research program is evidence of the candidate's ability to attract students for study with the program and concerted efforts by the candidate to obtain extramural support for all aspects of the program.

Various aspects of scholarship are assessed from the evidence provided by the candidate and appropriate items may include but are not restricted to the following:

- publications,
- presentation at professional meetings,
- research proposals (funded and unfunded),
- research in progress,
- scholarly activity of candidate's students, and
- consultantships and visiting appointments.

Publications constitute a major way that information concerning scientific discoveries, information, and policy is presented, interpreted and debated, and the resulting knowledge shared. The Department places importance on discerning the relative significance and quality of each publication, and we do not measure outcomes simply by counting publications. Rather, excellence in scholarship must be defined through peer review and evaluation of many kinds of research related activities, focusing on the breadth and depth of influence. In evaluating published work, we examine the prestige of the journal (regional, national, and international), the scope of the article, and the research effort required to produce and complete the published study.

Service:

Service includes university service, professional service, and outreach. The candidate for tenure and/or promotion should clearly document the nature, scope, and value of his/her service activities.

University service includes but is not limited to:

- participation and leadership roles on departmental, college, or university committees,
- advising and recruiting students,
- service to student organizations, and
- serving on the Faculty Senate.

Professional service includes but is not limited to:

- leadership roles in professional organizations,
- editorship of journals and newsletters of professional societies,
- developing, organizing, and teaching appropriate conferences and workshops,
- reviews of manuscripts and grant proposals, and
- guest lecturing on other campuses.

Outreach is sharing professional expertise with parties outside the university, and such activities should support and contribute to attainment of the goals and missions of the department, the college, and the university. Items here include are but not limited to:

- lectures given to various public groups,
- service on boards and commissions that utilize and enhance disciplinary and professional expertise,
- consulting in the public and private sectors, and
- efforts with K-12 enrichment.

Administration:

Selected faculty may also be assigned administrative roles. These, if of sufficient significance, may be included in tenure and/or promotion applications. Administration may include roles at the university, college, department, or programmatic levels. The candidate for tenure and/or promotion should clearly document the nature, scope, and value of his/her administrative activities.

University administration activities includes but is not limited to:

- department chair,
- associate dean,
- graduate coordinator, and
- laboratory director.

II. Tenure

Probationary faculty may be employed on annual tenure-track appointments for a probationary period which may not exceed six (6) years, this being the normal length of time required to develop a substantial record in teaching, research and service. Faculty may apply for tenure following a probationary period of not less than five years (so that the recommendation for tenure and promotion, if granted, would occur upon completion of six years). Exceptions to the minimum probationary period for tenure may be made under special circumstances upon recommendation by the president and approval by the Chancellor. Upon approval of such an exception by the Chancellor, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period.

At the end of the fifth year the candidate should have fulfilled the following criteria.

Evidence of high professional standards and behavior consistent with professional and departmental principles. Continued contribution to the departmental mission, objectives and long-term staffing plan.

Documented evidence of teaching effectiveness. Teaching effectiveness will be determined, in part, by earning teaching activity points consistent with the expectations identified in the faculty activity plan. Points will be earned by completing the recognized teaching activities (see attached teaching activities list). Teaching activities will include (but are not limited to) basic instruction, instructional improvement,

graduate instruction, and advising. The annual evaluations will provide a qualitative and quantitative evaluation of the candidates teaching contributions and effectiveness. Additional documentation of teaching effectiveness includes the peer reviews of teaching, and student assessments of instruction.

Documented evidence of achievement and productivity in scholarship or research activities. Achievement and productivity in scholarship or research activities will be determined, in part, by earning scholarship or research activity points (see attached scholarship or research activities list) consistent with the expectations identified in the faculty activity plan. Scholarship or research activities will include (but are not limited to) publication, presentation, and proposal submission. The annual evaluations will provide a qualitative and quantitative evaluation of the candidate's achievements and productivity in scholarship or research activities.

Documented evidence of participation in university, professional, and community activities and service. Participation in university, professional, and community activities and service will be determined, in part, by earning service points (see attached service list) consistent with the expectations identified in the faculty activity plan. University, professional, and community activities and service will include (but are not limited to) university, college and departmental committee assignments, participation in recruitment efforts, professional service, and outreach.

During the third year of the probationary period, the faculty member will have his or her progress towards tenure reviewed by the departmental tenure and promotion committee. The faculty member will submit documentation including

- 1) evidence of teaching effectiveness (including the peer review evaluations),
- 2) evidence of achievement and productivity in scholarship or research activities, and
- 3) evidence of participation in university, professional, and community activities and service.

The documentation should conform to existing departmental, college, and university formats.

III. Promotion to Associate Professor

The candidate must have at least five years of academic experience at the rank of Assistant Professor. Faculty may apply for tenure following a probationary period of not less than five years (so that the recommendation for tenure and promotion, if granted, would occur upon completion of six years). Exceptions to the minimum probationary period for tenure may be made under special circumstances upon recommendation by the president and approval by the Chancellor. Upon approval of such an exception by the Chancellor, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period.

At the end of the fifth year the candidate should have fulfilled the following criteria.

Evidence of high professional standards and behavior consistent with professional and departmental principles. Continued contribution to the departmental mission, objectives and long-term staffing plan.

Documented evidence of teaching effectiveness. Teaching effectiveness will be determined, in part, by earning teaching activity points consistent with the expectations identified in the faculty activity plan. Points will be earned by completing the recognized teaching activities (see attached teaching activities list). Teaching activities will include (but are not limited to) basic instruction, instructional improvement, graduate instruction, and advising. The annual evaluations will provide a qualitative and quantitative evaluation of the candidates teaching contributions and effectiveness. Additional documentation of teaching effectiveness includes the peer reviews of teaching, and student assessments of instruction.

Documented evidence of achievement and productivity in scholarship or research activities. Achievement and productivity in scholarship or research activities will be determined, in part, by earning scholarship or research activity points (see attached scholarship or research activities list) consistent with the expectations identified in the faculty activity plan. Scholarship or research activities will include (but are not limited to) publication, presentation, and proposal submission. The annual evaluations will provide a qualitative and quantitative evaluation of the candidate's achievements and productivity in scholarship or research activities.

Documented evidence of participation in university, professional, and community activities and service. Participation in university, professional, and community activities and service will be determined, in part, by earning service points (see attached service list) consistent with the expectations identified in the faculty activity plan. University, professional, and community activities and service will include (but are not limited to) university, college and departmental committee assignments, participation in recruitment efforts, professional service, and outreach.

During the third year of the probationary period, the faculty member will have his or her progress towards promotion reviewed by the departmental tenure and promotion committee. The faculty member will submit documentation including

- 1) evidence of teaching effectiveness (including the peer review evaluations),
- 2) evidence of achievement and productivity in scholarship or research activities, and
- 3) evidence of participation in university, professional, and community activities and service.

The documentation should conform to existing departmental, college, and university formats.

IV. Promotion to Full Professor

A faculty member may apply for promotion to professor after having completed five full years in the rank of Associate Professor. Exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval.)

At the end of the fifth year the candidate should have fulfilled the following criteria.

Evidence of high professional standards and behavior consistent with professional and departmental principles. Continued contribution to the departmental mission, objectives and long-term staffing plan.

Documented evidence of teaching effectiveness. Teaching effectiveness will be determined, in part, by earning teaching activity points consistent with the expectations identified in the faculty activity plan. Points will be earned by completing the recognized teaching activities (see attached teaching activities list). Teaching activities will include (but are not limited to) basic instruction, instructional improvement, graduate instruction, and advising. The annual evaluations will provide a qualitative and quantitative evaluation of the candidates teaching contributions and effectiveness. Additional documentation of teaching effectiveness may be included.

Documented evidence of achievement and productivity in scholarship or research activities. Achievement and productivity in scholarship or research activities will be determined, in part, by earning scholarship or research activity points (see attached scholarship or research activities list) consistent with the expectations identified in the faculty activity plan. Scholarship or research activities will include (but are not limited to) publication, presentation, and proposal submission. The annual evaluations will provide a qualitative and quantitative evaluation of the candidate's achievements and productivity in scholarship or research activities.

Documented evidence of participation in university, professional, and community activities and service. Participation in university, professional, and community activities and service will be determined, in part, by earning service points (see attached service list) consistent with the expectations identified in the faculty activity plan. University, professional, and community activities and service will include (but are not limited to) university, college and departmental committee assignments, participation in recruitment efforts, professional service, and outreach.

Teaching Activity	Points/Activity/Semester
Basic Instruction:	
Classroom instruction	2 x (#credits taught)
Online or hybrid instruction	3 x (#credits taught)
Instructional improvement:	
New course development and initiation	2
New instructional method development	2
Major revision of existing course	1
New evaluation method development	1
Preparation of new instructional or laboratory manual	1
Intensive course instruction	1
Laboratory course responsibility	1
Teaching evaluations above departmental average	1
□Non-traditional□Instruction:	
Development and initiation of continuing education course	1
Development and initiation of training course for federal or state agency	1
Research Instruction:	
Chair of graduate committee	
Thesis	4
Non-thesis	2
Member of graduate committee	1
Directing undergraduate studies	2
Graduate degree awarded	
Thesis	2
Non-thesis	1
Advising:	
Graduate	1
Undergraduate	1
Student Activities Advisor:	Variable
Instructional Administration:	Variable
Other teaching activities (as negotiated with the chair)	Variable

Research and Scholarly Activity	Points/Activity
Publication:	
Peer reviewed publication	
National / International	
1 st Tier	16
2 nd Tier	12
Regional / State	4
Non-peer reviewed publication	
National / International	8
Regional / State	2
Report	
Publicly available report	4
Limited access report	2
Book	
Author	16
Chapter Author	8
Editor	8
Other publications (as negotiated with the chair)	Variable
Presentation:	
National / International	6
Regional / State	4
University Seminar	2
Research Proposals:	
Externally Funded	
Small (<\$10,000)	
Principle Investigator	8
Co-Investigator	4
Medium (\$10,000 - \$100,000)	
Principle Investigator	12
Co-Investigator	8
Large (>\$100,000)	
Principle Investigator	16
Co-Investigator	12
University	
Small (<\$1,000)	2
Large (>\$1,000)	4
Submitted	
Small (<\$10,000)	
Principle Investigator	4
Co-Investigator	2
Medium (\$10,000 - \$100,000)	
Principle Investigator	6
Co-Investigator	4
Large (>\$100,000)	
Principle Investigator	8
Co-Investigator	6
University	
Large (>\$1,000)	2
Scholarship of Teaching:	
Publication	
See above	
Presentation	
See above	
Proposals	
See above	
Implementation	
Programmatic	3
Classroom	1
Other research activities (as negotiated with the chair)	Variable

Service Activity	Points/Activity/Semester
University Service:	
Faculty Senate	2
University Committee	
Chair	2
Member	1
College Committee	
Chair	2
Member	1
Department Committee	
Chair	2
Member	1
Recruitment effort	1
Other	Variable
Professional Service:	
National / International Organization	
Officer	6
Director	4
Meeting Chair	6
Committee chair	4
Committee member	2
Regional / State Organization	
Officer	4
Director	2
Meeting Chair	4
Committee chair	2
Committee member	1
Review	
Proposals	
National / Federal	2
Regional / State	1
Private	1
Manuscripts	
National / International	1
Regional / State	1
Other professional service (in consultation with the chair and dean)	Variable
Outreach / Community Service	
Consultant	Variable
Other service activities (as negotiated with the chair)	Variable

Administrative Activity	Points/Activity/Semester
Department Chair	16
Graduate Coordinator	4-12*
Assistant to VP or President	Variable*
Associate Dean	16
Assistant to Dean	Variable*
Department Administration	4-12*
Director of Laboratory	Variable*
*Other service activities (as negotiated with the chair)	Variable

Department of Health Sciences: Faculty Evaluation Plan
Guidelines for Workload, Tenure and Promotion

Annual workload shall be defined for each faculty member in consultation with the department chair and will be documented in the annual Faculty Activity Plan (FAP). Workload activities shall be consistent with the goals and needs of the department. These efforts will provide documented progress toward tenure and promotion. All faculty, regardless of their role in the department, should achieve standard teaching practices, as described in Section 1: Teaching. **In addition, the faculty of the Department of Health Sciences respectfully requests that it be understood that this document will continually evolve as needs arise. As a result, this document will need to be revisited periodically and updated accordingly.**

**Section 1:
Teaching**

Standard Teaching Practices must include the following each year:

- Teach assigned sections/classes
- Meet classes promptly and on a regular basis
- Achieve positive peer review reports
- SAI information received on a majority of SAI forms should be discussed with chair & implemented when appropriate
- Take part in a faculty development activities

Table of Teaching related activities- Additional teaching activities may include, but are not limited to the following:

<p>Category One 5 points each or as negotiated <i>(These activities were assigned a high number of points due to their labor intensive nature. As an individual matures in his/her career at ETSU, some may become less labor intensive and may deserve less points; for</i></p>	<p>Category Two 3 points each or as negotiated</p>	<p>Category Three 1 point each or as negotiated</p>
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example teaching a same subject for more than three years)			
Develop a new course for on-site delivery or develop a new on-line course	Revision of an existing course	Modify an existing course to reflect the adoption of a new textbook	
Publish a teaching textbook	Author/Co-author a chapter in a book or edit a book	Edit chapter(s) in a book (points per chapter edited)	
	Create/produce materials that enhance student learning ☐ must provide documentation of these efforts; the chair may assign them as category 2 item(s)	Create/produce materials that enhance student learning ☐ must provide documentation of these efforts; the chair may assign them as category 1 item(s)	
Teach an academic proficiency section (oral intensive, writing intensive or technology intensive)	Incorporate new technology into an existing course	Modification/improvement of existing technology	
Write a lab manual used by a multi-section course	Teach honors students as part of a regular student group or teach an entire section of honors students		
Receive a teaching award			
Serve as an academic advisor for undergraduate students (>15 Students)	Serve as an academic advisor for undergraduate students (5-15 students)	Serve as an academic advisor for undergraduate students (<5 Students)	
Sponsor discipline specific student organization	Support discipline specific student organization		
Chair a graduate committee	Serve as a member of a graduate committee	Advise graduate student(s)	
Teach a newly assigned course for the first time			

Teach large class section effectively as evaluated by the peer review process May be assigned to category 1, 2, or 3 as negotiated with the chair (Considering the factor stated above in the first row)	Teach several different courses during one semester	
Teach small class section effectively as evaluated by the peer review process May be assigned to category 1, 2, or 3 as negotiated with the chair (Considering the factor stated above in the first row)		
Independent study efforts may be assigned to category 1, 2, or 3 depending on the scope of the study; this will be negotiated with the chair		
Other items as negotiated with the chair		
	Other items as negotiated with the chair	Other items as negotiated with the chair

Section 2: Research

Faculty pursuing this track must establish his/her research program involving either educational or laboratory based research. Faculty must meet the minimum research criteria by:

- Involving undergraduate/graduate students in their research efforts
- Aggressively pursuing appropriate intramural funding
- Aggressively pursuing extramural funding from state/federal/private agencies
- Consistently providing evidence of research productivity via peer-reviewed and other publications

Table of research related activities- Additional research activities may include, but are not limited to the following:

<u>Category One</u> 7 points each or as negotiated	<u>Category Two</u> 4 points each or as negotiated	<u>Category Three</u> 2 point each or as negotiated
(These activities were assigned a high number of points due to their labor intensive nature as well as overall financial or intellectual impacts. For example, type and amount of grant, type of journal article etc.)	Presentation at a professional meeting, symposium, etc.	
Publish a research related textbook	Author/Co-author a chapter in a book or edit a book	Edit chapter(s) in a book
Publish in a peer-reviewed journal	Publish in a non peer-reviewed journal	Publish in a local non-peer reviewed publication
Publish educational research in a peer-reviewed journal	Publish educational research in a non peer-reviewed journal	Publish educational research in a local non-peer reviewed publication
P.I. on a federally funded research grant	Co-P.I. on a federally funded research grant (any amount)	Consultant on a federally funded research grant (any amount)
Ph.D. dissertation (chair)	Ph.D. dissertation (committee member)	Serve as a reviewer of manuscripts or grant applications
Receives a patent award	Patent application pending	
	Contribute 50% in writing of a lab manual	Presentation at a meeting related to teaching
Develops software or other	Develop software or other	Experimentation and

technology to improve teaching, which gets wider recognition/use	technology to improve teaching	documentation of new methods of instruction
Receive a university RDC grant award or Receive an instruction development grant or other teaching related grant	Submission of a major (multi-year) grant application to a federal agency (P.I.)	
	Publication of an invited review or paper (primary author)	Present an invited seminar or guest lecture
	Develop, curate, annotate, an online database, web application, etc.	Develop a course or discipline specific web page.
	Master's thesis (chair)	Master's thesis (committee)
Develop, organize a science conference or symposium	Honor's thesis (chair) chair a session in a science/educational conference or symposium	Honor's thesis (committee) Help to Develop, organize a science conference or symposium
Independent study efforts may be assigned to category 1, 2, or 3 depending on the scope of the study; this will be negotiated with the chair	<p>Following items can be category 2 or 3 based on involvements:</p> <ul style="list-style-type: none"> Submission of an RDC grant application. Serve as a reviewer of manuscripts or grant applications. Professional consulting or advising. Serve on a dissertation or thesis committee. Serve on an honors student 	

	committee.	
Other items as negotiated with the chair	Other items as negotiated with the chair	Other items as negotiated with the chair

Section 3: Service activities

All faculty are expected to participate in various service activities at the levels of the department, college, university and community to be qualified for the tenure and promotion.

(The following service activities have not been weighed on a point scale because with a sliding scale of requirements in teaching, scholarly activity and service, so many potential variations of the point system would exist that it would be unnecessarily cumbersome. In addition, some of these opportunities occur only in limited number. It is not the intent of this document to penalize an individual for not participating in an activity over which he/she has no control. The faculty will negotiate the points in consultation with chair.

All members of the Department of Health Sciences, regardless of employment tract, are required to participate in service activities. The following table reflects service opportunities within the university, within the community, and to the profession. It is expected that all individuals participate in service activities, as negotiated with the chair and documented by the FAP/FAR/FAE.

<u>University Service Points as negotiated</u>	<u>Professional Service Points as negotiated</u>	<u>Community Service Points as negotiated</u>
Leadership roles on departmental, college or university committees	Leadership roles in professional organizations	Participates in public lectures & forums
Participation in departmental, college or university committees	Editorship of journals and newsletters for professional organizations	Service on boards or commissions that utilize professional expertise
Recruitment of students	Reviews of manuscripts and	Public and/or private

	grant proposals	consulting
Academic advisement of students	Guest lecturing on other campuses	Efforts with K-12 enrichment
Service to student organizations	Other items as negotiated with the chair	Efforts with health related non-profit organizations
Service to Faculty Senate		Other items as negotiated
Other items as negotiated with the chair		

*Some of the above mentioned items must be negotiated upon with the chair for specific point value depending on quality and scope of product. These items may be assigned as category 2 or 3 depending on decisions agreed upon between faculty and chair.

Tenure and Promotion Criteria

Each faculty member shall select items from the above Teaching/Research/Service Enhancements Table for completion during the probationary period. Written documentation of the completion of these items and, where applicable, examples of each, shall be included in the annual Faculty Activity Report (FAR). The chair, together with the faculty member, shall review these items and subsequent analysis shall provide clear guidelines on the faculty member's progress toward tenure and promotion. Such analysis shall be shared with the faculty member in written form on the Faculty Activity Evaluation (FAE).

Tenure:

By the end of the fifth year of employment, a candidate for tenure should consistently meet the Standard Teaching/Research/Service Practices. Evidence of this must be provided in the tenure dossier. Acceptable evidence may be noted through written comments from the chair on the FAE and through peer evaluation documents. At the date of hiring, each faculty member will establish a projected tract of employment. This tract will state the percent of effort that a specific individual should devote to teaching, scholarly activity and service. This may be negotiated for each year, depending on needs and situations. It is recommended that, by the completion of the fifth year of

employment, to be eligible to apply for the tenure and promotion, in addition to meeting the standard practice criteria for teaching/research, **the following criteria be met:**

Eligibility for Tenure:

- A minimum of the total of 40 points should be attained from the Table of Activities per year
- A faculty must obtain good to excellent level of performance (see the performance table for explanation) in the area of major focus or at least one of the other area (Teaching, Research, Service and Administration)
- At least 2 items should be included from category 1 or 2
- No more than 10 items may be included from category 3
- The balance of the individual's employments efforts will be acquired from scholarly activity and/or service, as agreed upon with the chair and dean and documented by the FAP/FAR/FAE.

Adjustments will be made in point and category requirements on a prorated basis based on individual faculty's track weightage. For example, for an individual with a 45% teaching effort, a total of 20 points must be acquired for tenure. Within these 20 total points, no more than 15 can be obtained from category 3 and at least 2 items must be completed from category 1 or 2. In addition the research and service points will be adjusted accordingly (Please refer to the P&T performance table)

Eligibility for Promotion

To be eligible for promotion, a faculty must obtain points from the research activities lists, commiserate with the rank requested. Faculty are reminded that valid research efforts are not limited to traditional bench methods. Scholarly activity in the realm of educational research is also acceptable for promotion.

To be considered for promotion to associate professor rank, the following criteria must be met:

A faculty must consistently meet the standards of teaching/research/service and should have earned points from the Teaching/research activities Table at a rate that effectively represents that individual's specific tract percentage, as negotiated with the chair.

- A total of 50 points should be attained from the Table of activities per year
- A faculty must obtain good to excellent level of performance (see the performance table for explanation) in the area of major focus or at least one of the other area (Teaching, Research, Service and Administration)
- At least 2 items should be included from each of the category 1 and 2
- No more than 10 items may be included from category 3
- The balance of the individual's employments efforts will be acquired from Teaching/scholarly activity and/or service, as agreed upon with the chair and dean and documented by the FAP/FAR/FAE.

To be considered for promotion to full professor rank, the following criteria must be met:

A faculty must consistently meet the standards of teaching/research/service and should have earned points from the Teaching/research activities Table at a rate that effectively represents that individual's specific tract percentage, as negotiated with the chair.

- A total of 60 points should be attained from the Table of activities per year
- A faculty must obtain good to excellent level of performance (see the performance table for explanation) in the area of major focus or at least one of the other area (Teaching, Research, Service and Administration)
- At least 2 items should be included from each of the category 1 and 2
- No more than 10 items may be included from category 3
- The balance of the individual's employment efforts will be acquired from Teaching/scholarly activity and/or service, as agreed upon with the chair and dean and documented by the FAP/FAR/FAE.

As with tenure, exact point requirements will be prorated to express each individual's role within the department. These requirements must be explicitly documented annually in the individual's FAP/FAR/FAE.

Tenure and Promotion Performance table

Activities	Total Points for T & P	% Effort	Points Per Year	Excellent T & P/Year	Good T & P/Year	Acceptable T & P/Year	Poor T & P/Year	Actionable T & P/Year
Teaching	200	0.1-1.0	40	240/48	220/44	200/40	180/36	160/32
Research	200	0.1-1.0	40	240/48	220/44	200/40	180/36	160/32
Service	200	0.1-1.0	40	240/48	220/44	200/40	180/36	160/32
Administration	200	0.1-1.0	40	240/48	220/44	200/40	180/36	160/32
				120%	110%	100%	90%	80%

TBR Guidelines and policies for faculty workload, Tenure and Promotion

2.9 Faculty Workload 2.9.1 Overview

Faculty appointments are governed by Tennessee Board of Regents Policy No. 5:01:00:00, and TBR Guideline A-052, which address, among other subjects, the length of the work week, holding office hours, and non-instructional assigned time. Although the traditional classification of faculty workload is in terms of teaching, research and service, this simple breakdown does not capture well the complexity of faculty activities in a modern university. Instruction takes many forms; research, scholarship and creative activity are highly dependent on the nature of the discipline; and university, professional and community service and outreach defy uniform classification across disciplines. In many instances, activities can be considered as falling within two or even three of these categories. Determining an appropriate workload for an individual faculty member that will prepare him/her for tenure and/or promotion, and lead him/her to make meaningful contributions to the university requires consideration of each of the above, as well as the particular strengths and interests of that individual within the context of departmental, college and university needs. It is evident that a uniform approach to determining faculty workload across the university, within a college, or even within a department or academic program, will rarely be productive.

2.9.2 Workload Policy

Department or equivalent administrative unit shall develop a faculty workload policy that addresses the university's mission and goals, as well as those of the college, department and, where applicable, the appropriate accrediting or approval body. The policy shall be decided by all departmental faculty to whom it will apply, and it should involve sufficient flexibility that it would allow the department to draw upon each faculty member's unique ability to contribute. Each departmental faculty workload policy shall be approved by the appropriate dean and vice-president. Departmental workload policies shall be reviewed by the departmental faculty at least once every five years and be re-affirmed or revised as appropriate to the department. The departmental workload policy shall be made available to all faculty members within the department to whom it pertains.

The policy shall include a clearly delineated appeals process. Each college shall establish a workload review committee, to which appeals may be addressed; this committee shall make recommendations for resolution to the dean. It is recommended that each department also establish such a committee in order to seek to resolve disputes at the department level.

Individual faculty workloads should be developed by the faculty member and his/her chair working within the guidelines set by the department. The proposed workload should be stated in writing and signed by the faculty member, the chair and the dean. Individual workloads should be set annually for untenured faculty, who receive annual contracts. For tenured faculty, individual workloads should be established for a typical period of three to five years. However, since each faculty member is evaluated annually and new opportunities may become available in the areas of teaching, research/scholarship and/or service, faculty workloads may be subject to review and adjustment as reasonable and necessary. The appropriate time of year to establish individual faculty workloads should be determined at the department level, bearing in mind such matters as deadlines for submission of teaching schedules, periods of service on boards or committees, or grant submission deadlines.

2.9.3 Workload Review

Faculty member and his/her chair cannot agree upon an appropriate workload, the faculty member may submit a request for resolution, as outlined in the departmental workload policy appeals process. He/She should submit the request to the departmental review committee, if such a committee has been established. If a departmental committee has not been established, or the faculty member is not satisfied with the response of the departmental committee, he/she should forward the request to the college workload review committee. This committee will make a recommendation to the dean, who will inform the faculty member and the chair of his/her decision. If the faculty member is not satisfied with the dean's decision, he/she may seek guidance from a Faculty Senate Procedural Consultant and, if appropriate, file a complaint or grievance through appropriate channels.

2.9.4 Workload Limits and Overloads

Agreed upon faculty workload will normally set limits on the expected activities of a faculty member. In rare instances, a faculty member may be asked to assume an additional responsibility, for example, to teach an additional course. In such circumstances the faculty member may qualify for overload pay. All overloads must be documented and agreed to by the faculty member, his/her chair and the dean, and recommended in advance by the Provost and approved by the President. Overload pay should be based on the rate set by the Tennessee Board of Regents.

2.3 Policy on Academic Tenure

The quality of the faculty of any university is maintained primarily through support of a wide variety of professional development. It is monitored through the appraisal, by competent faculty and administrative officers, of each candidate for tenure. Tenure at a Tennessee Board of Regents university provides certain full-time faculty with the assurance of continued employment during the appointment year as defined in the employee's contract until retirement or dismissal for adequate cause, financial exigency, or curricular reasons, as further discussed herein.

2.3.1 Definitions

The following are general definitions of words and terms used in this policy that are not hereinafter specifically defined. However, the words and terms are subject to further qualification and definition in the subsequent sections of this policy.

2.3.1.1 Academic Tenure

Tenure is a personnel status in an academic department or other academic program unit pursuant to which the academic or fiscal year appointments of full-time faculty who have been awarded tenure are continued at a university until the expiration or relinquishment of that status, subject to termination for adequate cause, for financial exigency, or for curricular reasons.

The awarding of tenure is recognition of the merit of a faculty member and of the assumption that he/she would meet the long-term staffing needs of the department or other academic program unit and the university. Tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure. The Tennessee Board of Regents does not award tenure in non-faculty positions. Tenure appointments reside in the departments and other academic program units, and are assurances of continued employment during the appointment year subject to expiration, relinquishment, or terminations of tenure as set out in Sections 2.3.11, 12, 13, 14, and 16. Recommendations for or against tenure should originate from the department or academic program unit in which the faculty member is

assigned and should include appropriate participation in the recommendation by tenured faculty in the department or academic program unit as specified in Policy 5:02:03:60.

Tenure is awarded only by positive action of the Board, pursuant to the requirements and procedures of this policy, at a specific university. No faculty member shall acquire or be entitled to any interest in a tenure appointment at a university without a recommendation for tenure by the president of the university and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member, and failure to give timely notice of non-renewal of a contract shall result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at the university, provided that no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

2.4 Policy on Faculty Promotion

Promotion in rank is recognition of past achievement of the individual being considered for promotion. In addition, the advancement in rank is recognition of future potential and a sign of confidence that the individual is capable of even greater accomplishments and of assuming greater responsibilities. The policy of the Tennessee Board of Regents is to make promotions strictly on consideration of merit tempered by university and fiscal considerations. The purpose of this policy is to help ensure that promotions are made objectively, equitably, impartially, and as a recognition of merit in line with the following policy guidelines.

2.4.1 Principles of Promotion

The major responsibilities of the university are to provide the best possible education, to encourage scholarship, creative productivity, and research, and to furnish significant service to the citizens of the State of Tennessee. Fundamental to this responsibility is the recruitment, selection, recognition, and retention of quality faculty members. Providing incentives and rewards for superior performance is a means of assuring the continuing existence of a high quality faculty. Advancement in rank is a recognition of accomplishments and a sign of confidence that the individual is capable of greater achievements and of assuming greater responsibilities. The policy of East Tennessee State University is to grant advancement on the basis of merit. In accord with this policy, promotions are to be made equitably, impartially, and in keeping with the following guidelines.

Each academic rank represents specific qualifications, professional competencies, and a history of productivity together with the promise of continued growth. **Promotion to higher rank is neither an unqualified right nor an automatic occurrence. Having completed a given period of service or performed routine duties (such as carrying a normal course load, advising students, research to the degree needed for teaching courses, participation in departmental programs and governance, and committee service) should be considered an affirmative factor in appraising a faculty member's qualifications for promotion, though they are insufficient in and of themselves to warrant promotion.**

The excellence of the faculty of East Tennessee State University is maintained in part through an appraisal of each candidate for promotion by colleagues and by appropriate administrative officers. This appraisal process must begin at the departmental level with a statement of the objectives and aims of the department, the college or school of which it is an integral part, and the university as a whole. Faculty members may be recommended for promotion to a higher academic rank based upon their demonstrated qualifications for that rank as evaluated by their peers in the department concerned, the department chair, the promotion and tenure advisory committee of the school or college, the academic dean, the vice president and the president.

The appraisal of each candidate should incorporate a thorough review of achievements which are expected in teaching; research, scholarly or creative activity; and professional service. Chairs and deans shall keep a faculty member informed of their expectations for his/her performance, including requirements for promotion and tenure. Any dramatic alterations in these expectations should be made

explicit. In most circumstances, this will be accomplished by the Faculty Activity System. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports and evaluations. The department chair should submit evaluations of these activities, accompanied by evidence obtained through an evaluation process designed to ensure that recommendations are predicated on substantive analysis.

The criteria according to which excellence is defined will vary from discipline to discipline. The standards established by each discipline should be carefully documented and considered by everyone involved in the evaluation of members of that discipline. Certain areas, such as the fine, performing and applied arts, may justifiably require different criteria than do other disciplines. In these, evidence of creative or other significant productivity may be presented. Achievements of this sort, however, should be of such quality and extent as to earn for the individual that same recognition in the discipline that significant research earns in areas of study in which research is an important factor.

Because of the importance and significance of the promotion deliberations, each faculty member must assume responsibility for insuring that pertinent information concerning teaching, research, scholarly or creative activity, and professional service is available to the chair and departmental committee. In addition to individual qualifications and performance, other special factors may also play a part in the recommendations eventually offered by the vice presidents. Consistent with the Tennessee Board of Regents' policy, the university administration must consider such matters as departmental rank distribution, potential for continued staff additions, prospective retirements and resignations from the department, enrollment patterns, and program changes or developments.

2.4.1.1 Definitions

2.4.1.1.1 Teaching

Teaching applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, student advising and/or mentoring, development of course materials and courseware, and development of innovative approaches to instruction.

2.4.1.1.2 Research/Scholarship/Creative Activities

Research applies to the studious inquiry, examination, or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship/creative activities may include, but are not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, creative activities (e.g., film-making, performances, or other artistic creations), and the development of innovative teaching approaches.

2.4.1.1.3 Professional Service

Professional service applies to involvement within the community as defined by the university's role and mission, service to the university, and service within the bounds of the applicant's academic discipline and budgeted assignment.

2.4.7 Assistant Professor

Those faculty members promoted to or hired at the rank of Assistant Professor should meet the following criteria:

2.4.7.1

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

2.4.7.2

Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty.

2.4.7.3

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

2.4.7.4

Evidence of effective teaching if the individual has taught at the college level. If the individual has not taught at the college level, evidence should be obtained that satisfactory teaching performance can reasonably be expected.

2.4.7.5

Promise of productive creative and scholarly research and professional service.

2.4.8 Associate Professor

Those faculty members promoted to or hired at the rank of Associate Professor should provide documented evidence of (a) high quality professional productivity which may lead to national recognition in the academic discipline or (b) high quality professional productivity that is consonant with the goals of the university and of the academic unit to which the faculty member belongs. Specifically, faculty promoted to or hired at the rank of Associate Professor should meet the following criteria:

2.4.8.1

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

2.4.8.2

In light of the four-year phase-in period for Board of Regents policy 5:02:03:60, the time when a faculty member may apply for promotion to associate professor is determined by when his or her full-time, tenure-track employment began at ETSU:

- a. Faculty whose employment began prior to July 1, 2004, may apply for promotion to associate professor after having completed four full years in the rank of assistant professor.
 - b. Faculty whose employment began after July 1, 2004, may apply for promotion to associate professor after having completed five full years in the rank of assistant professor.
Item (b) will be applicable to all actions to promote faculty to the rank of associate professor taken on or subsequent to July 1, 2008, for faculty whose employment began prior to July 1, 2004.
Under (a) or (b) exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval.)
- 2.4.8.3**
Documented evidence of teaching effectiveness.
- 2.4.8.4**

Documented evidence of professional service activities of a significant nature.

2.4.8.5

Documented evidence, as accepted within the discipline, of scholarly productivity in research or creative endeavors.

2.4.8.6

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

2.4.9 Professor

The highest rank to which one may be promoted is that of Professor. Documented evidence of teaching excellence and superior contribution to student development, superior scholarly or creative activity, and superior professional service will contribute to the positive record of the candidate for advancement to the rank of professor. Since there is no higher rank, promotion to professor is taken with great care and requires a level of achievement beyond that required for associate professor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.

Those faculty members promoted to or hired at the rank of professor should provide documented evidence of (a) sustained high quality professional productivity and national recognition in the academic discipline or (b) sustained high quality professional productivity in the academic discipline that is consonant with the goals of the university and of the academic unit to which the faculty member belongs. Specifically, faculty members promoted to or hired at the rank of professor should meet the following criteria:

2.4.9.1

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area 145

2.4.9.10

A faculty member may apply for promotion to professor after having completed five full years in the rank of associate professor, provided that exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval.)

2.4.9.11

Documented evidence of teaching effectiveness.

2.4.9.10

Successful research, scholarly, and/or creative activity, as evidenced by such accomplishments as published scholarly books, articles in professional journals in one's discipline, presentation of papers before regional, national or international professional groups, receipt of major research grants, and/or a record of significant exhibitions or performances.

2.4.9.11

usually of such kind as to make the individual regionally or nationally known in the discipline, or, alternatively, as a leading figure in service efforts promoted by the institution.

Professional service of an outstanding nature,

2.4.9.13

Evidence of good character, mature attitude, and professional integrity, and a high degree of academic maturity and responsibility.

2.4.10 Exceptions to Minimum Rank Qualifications

The minimum rank qualifications should be met in every recommendation regarding appointment to academic rank and for promotion in academic rank. Exceptions to local ETSU requirements (e.g., years-in-rank) require the approval of the president of the university. Exceptions to TBR minimum rank qualifications can be recommended to the Chancellor by the president; however, such exceptions are not favored and should be granted only upon a showing of a candidate's exceptional merit and/or other extraordinary circumstances, such as an objective need to deviate from these minimum qualifications in filling positions and/or retaining otherwise qualified faculty within certain academic disciplines.

Petitions for exceptions to promotional criteria may include consideration of the appropriateness of the degree or extraordinary qualities that the candidate may possess. The equivalent work experience credit may include relevant teaching experience or other experiences such as experience gained as an administrator, counselor, librarian, journeyman, or the like. When evaluating college-level instruction, research/scholarship/creative activities, and service, the university may make its own determination whether or not the number of years of experience from another university is to be accepted in total or discounted in some manner.

Department of Health Services Management and Policy
Promotion & Tenure Policy

This Promotion and Tenure Policy consists of a series of steps involving Chair and faculty members determining annual areas of priority, setting goals and objectives accordingly. The following describes the process:

1. Based on individual, department, college, and university goals the faculty member and Chair prioritize the areas of emphasis, teaching, research and service, for the faculty member at the beginning of the academic year. This ranking will determine the faculty member's level of effort for each area.
2. Once the areas of emphasis are ranked the faculty member will then establish goals and objectives for each area. The faculty member may use one of the suggested activities to enhance the various areas and/or other activities that may be negotiated with the Chair. These activities are then stated in the faculty member's Faculty Activity Plan for the Chair's approval.
3. The faculty member will then report their progress in their Faculty Activity Report. The Chair will rate their efforts as:

Unsatisfactory - failed to make significant progress toward goal

Progression made significant progress toward goal

Achievement achieved goal

The evaluations are to be viewed both separately and collectively. Separately the reports indicate the annual achievements of the faculty member in meeting their priority-based tasks. Collectively the evaluations reflect a faculty member's potential and achievements in teaching, research, and service.

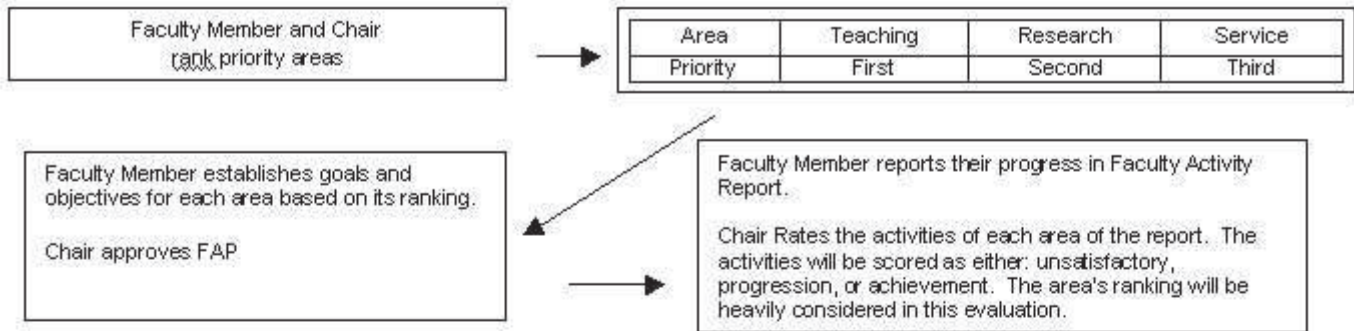
TENURE

An amalgamation of progression and achievement ratings are expected for tenure, with considerable weighting placed on areas ranked first in priority.

PROMOTION

A rating of achievement in the majority of areas ranked first priority is expected for promotion.

Department of Public Health Flow Chart of Promotion & Tenure Process



Example of Tenure Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 1		Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Progression	Goal 1 Progression Goal 2 Unsatisfactory Goal 3 Achievement
Year 2	Priority Second	Goal 1 Progression Goal 2 Achievement Goal 3 Progression	Goal 1 Achievement Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Progression
Year 3	Priority First	Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Achievement
Year 4	Priority Second	Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Progression	Goal 1 Achievement Goal 2 Achievement
Year 5	Priority First	Goal 1 Achievement Goal 2 Achievement Goal 3 Progression Goal 4 Achievement	Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Achievement

Example of Promotion Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 6		Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Achievement Goal 3 Achievement

**Regarding Sections 2.3.8.2 and 2.3.8.3 □ Teaching
*Suggested Activities***

Courses Developed and Taught

1. Intensive Courses □ Teach course which is deemed intensive by the University
2. Demonstrated Content Updates □ Course materials will be kept in versions demonstrating the progressions of updates
 - Example: Community Health, PUBH 4030
Version 1 Fall 2001
Version 2 Spring 2002

Technology Use

1. Web enhanced courses □ at least 50% of course materials presented via the Internet.
2. Online courses □ Development of online course as defined by the University.

Assessment by External Reviewers

1. Teaching reviewed by external reviewers. This is **required** during the first, third and fifth year with demonstrated improvements.

Advising Students

1. Number of undergraduate students advised
2. Number of graduate students advised

**Regarding Sections 2.3.8.4 □ Service
Suggested Activities**

University Service

1. Number of Leadership roles / e.g., Committee Chair
 - a. Department
 - b. College
 - c. University
2. Actions produced by committees
 - Activity / Service/ Product/ Policy produced by committees or groups
3. Newsletters, programs
 - Produce newsletters / programs / etc. for Department / college / University
4. Student Organizations
 - Faculty advisor for student organization
 - Lead student trips to professional conferences or other educational activity

Professional Service

1. Leadership Roles
 - a. Hold office in professional organization
2. Actions produced by committees
 - Example: Conference Development
3. National / International Involvement
 - Example: Participates in faculty international exchange
 - Participates in professional organizations

Community Service

1. Collaborative Activities
2. Actions produced by committees

**Regarding Section 2.3.8.5 Research
*Suggested Activities***

1. Publications
 - Books authored or co-authored (in part or accepted) distinguished original editions and revisions.
 - Books edited and co-edited (in print or accepted) distinguished original editions and revisions.
 - Chapters in books (in print or accepted)
 - Monographs (in print or accepted)
 - Journal article (in print or accepted)
 - Bulletins or reports (in print or accepted)
 - Abstracts (in print or accepted)
 - Book reviews (in print or accepted)
 - Works submitted but not yet accepted
 - Any other (e.g., popular articles)
2. Creative contributions other than formal publications
3. Grants received (dates, amount, principal investigator or co-investigator)
4. Recognitions and outstanding achievements (prizes and fellowships)
5. Areas in which research is done
6. Supervision of student research (including number of thesis and dissertations supervised)
7. Editorship or editorial board of journals or other learned publications
8. Convention papers

Department of Health Services Management and Policy
Promotion & Tenure Policy

This Promotion and Tenure Policy consists of a series of steps involving Chair and faculty members determining annual areas of priority, setting goals and objectives accordingly. The following describes the process:

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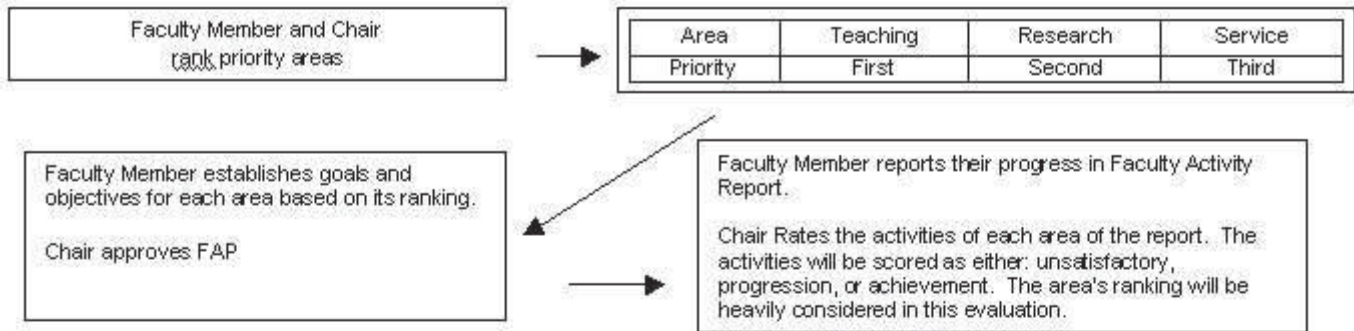
TENURE

An amalgamation of progression and achievement ratings are expected for tenure, with considerable weighting placed on areas ranked first in priority.

PROMOTION

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Department of Public Health Flow Chart of Promotion & Tenure Process



Example of Tenure Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 1		Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Progression	Goal 1 Progression Goal 2 Unsatisfactory Goal 3 Achievement
Year 2	Priority	Second	First	Third
		Goal 1 Progression Goal 2 Achievement Goal 3 Progression	Goal 1 Achievement Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Progression
Year 3	Priority	First	Third	Second
		Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Progression Goal 3 Achievement	Goal 1 Progression Goal 2 Achievement
Year 4	Priority	Second	Third	First
		Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Progression	Goal 1 Achievement Goal 2 Achievement
Year 5	Priority	First	Second	Third
		Goal 1 Achievement Goal 2 Achievement Goal 3 Progression Goal 4 Achievement	Goal 1 Achievement Goal 2 Progression	Goal 1 Progression Goal 2 Achievement

Example of Promotion Evaluation

	Priority	Teaching First	Research Second	Service Third
Year 6		Goal 1 Achievement Goal 2 Achievement	Goal 1 Progression Goal 2 Achievement	Goal 1 Progression Goal 2 Achievement Goal 3 Achievement

**Regarding Sections 2.3.8.2 and 2.3.8.3 □ Teaching
Suggested Activities**

Courses Developed and Taught

1. Intensive Courses □ Teach course which is deemed intensive by the University
2. Demonstrated Content Updates □ Course materials will be kept in versions demonstrating the progressions of updates
 - Example: Community Health, PUBH 4030
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Technology Use

1. Web enhanced courses □ at least 50% of course materials presented via the Internet.
2. Online courses □ Development of online course as defined by the University.

Assessment by External Reviewers

1. Teaching reviewed by external reviewers. This is **required** during the first, third and fifth year with demonstrated improvements.

Advising Students

1. Number of undergraduate students advised
2. Number of graduate students advised

Regarding Sections 2.3.8.4 □ Service
Suggested Activities

University Service

1. Number of Leadership roles / e.g., Committee Chair
 - Department
 - College
 - University
2. Actions produced by committees
 - Activity / Service/ Product/ Policy produced by committees or groups
3. Newsletters, programs
 - Produce newsletters / programs / etc. for Department / college / University
4. Student Organizations
 - Faculty advisor for student organization
 - Lead student trips to professional conferences or other educational activity

Professional Service

1. Leadership Roles
 - Hold office in professional organization
2. Actions produced by committees
 - Example: Conference Development
3. National / International Involvement
 - Example: Participates in faculty international exchange
 - Participates in professional organizations

Community Service

1. Collaborative Activities
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**Regarding Section 2.3.8.5 Research
*Suggested Activities***

1. Publications
 - Books authored or co-authored (in part or accepted) distinguished original editions and revisions.
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 - Journal article (in print or accepted)
 - Bulletins or reports (in print or accepted)
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 - Book reviews (in print or accepted)
 - Works submitted but not yet accepted
 - Any other (e.g., popular articles)
2. Creative contributions other than formal publications
3. Grants received (dates, amount, principal investigator or co-investigator)
4. Recognitions and outstanding achievements (prizes and fellowships)
5. Areas in which research is done
6. Supervision of student research (including number of thesis and dissertations supervised)
7. Editorship or editorial board of journals or other learned publications
8. Convention papers

Quillen College of Medicine Tenure and Promotion Criteria

Biomedical Sciences

[Tenure](#) || [Promotion](#)

Family Medicine

[Tenure](#) || [Promotion](#)

Internal Medicine

[Tenure](#) || [Promotion](#)

Obstetrics & Gynecology

[Tenure](#) || [Promotion](#)

Pathology

[Tenure](#) || [Promotion](#)

Pediatrics

[Tenure](#) || [Promotion](#)

Psychiatry & Behavioral Sciences

[Tenure](#) || [Promotion](#)

Surgery

[Tenure](#) || [Promotion](#)

Promotion and Tenure Guidelines – Department of Biomedical Sciences
Tenure and / or promotion is awarded to faculty who are critical to the mission of the department, college, or university.

Tenure and / or Promotion to Rank of Associate Professor for tenure-track faculty

Normally application for tenure and promotion is made at the same time, but there may be circumstances when application for promotion to associate professor and tenure may be separated. Time in rank before application for tenure and / or promotion is 5 years unless otherwise negotiated at time of hiring. Application for tenure must be made by the 6th year unless extensions to time in rank are granted. If not awarded tenure in the 6th year, a terminal one-year contract is offered beginning in the 7th year. *If candidate is not on a tenure track, these criteria apply for promotion, and he/she will be evaluated in only two of the areas of research, teaching, and service that comprise the highest percentage of their time over the review period.*

Biomedical Sciences Promotion & Tenure – Modified (Oct 2015) from Guidelines Adopted at Faculty Meeting: 24 May 2012

Category & Percent Effort	Evaluation Standard	Criteria – <i>these are considered only as general guidelines to be measured against percent effort. No candidate would be expected to meet all these criteria</i>
Teaching	Must be evaluated at least as good	<p>Consistent teaching evaluations by students (medical, graduate, health sciences) or residents of good (≥ 3.5) or excellent (≥ 4.5) – both on a 5 point scale – and / or peer and course director evaluations of good or excellent. Documentation of improvements during the evaluation period will be given positive consideration.</p> <p>ANY OF THE ADDITIONAL FACTORS BELOW MAY BE GIVEN POSITIVE CONSIDERATION BASED ON PERCENT EFFORT</p> <p>Service as course director. Course evaluations of ≥ 3.5 on a 5 point scale or peer evaluations of “good”. Documentation of improvements during the evaluation period will be given positive consideration.</p> <p>Instructor/facilitator in non-lecture classroom activities (small group sessions, etc.)</p> <p>Active role in curricular planning or management</p> <p>Service as a major advisor for graduate students or on graduate student committees; mentoring of undergraduates, pre-doctoral students, post-doctoral associates, residents or fellows</p> <p>Mentors junior faculty, or facilitates faculty development</p> <p>Receipt of or nominations for a Caduceus Teaching Award reflects excellence</p> <p>Receipt of or nominations for a Dean’s Distinguished Teaching Award reflects excellence</p> <p>Evidence of scholarly activity related to teaching (peer-reviewed publications, development of innovative teaching methods, authorship of textbooks, textbook chapters, lab manuals, podcasts, etc.)</p> <p>Presenter at national / international meetings that focus on medical or biomedical science education</p>

Category & Percent Effort	Evaluation Standard	Criteria – these are considered only as general guidelines to be measured against percent effort. No candidate would be expected to meet all these criteria
Research ≥ 50%	Excellent Publications and external funding are required for tenure and / or promotion with ≥ 50% effort	15 total peer-reviewed articles generally in journals listed in PubMed. At least 5 publications as senior author (first or last) from work performed at ETSU during the evaluation term; quality of publications may be considered more important than absolute numbers (for senior hires, discretion can be exercised with respect to where work has been performed) AND PI on at least one major extramural funded grant (NIH, NSF, AHA, DOD or equivalent) at the time of application. PI on multiple smaller grants, expired grants, and evidence of grant submission might be given consideration Evaluation of publication and funding achievement includes an assessment of quality and research sustainability. It will also be influenced by the absolute percent effort (50-100%) negotiated with the chair. In cases where judgment is ambivalent, the following may be factored into the evaluation: <ul style="list-style-type: none"> • Evidence of emerging national recognition in his / her field as may be documented in at least two external letters from scientists who have not published with the candidate for at least 5 years. • Regular presentations (i.e., 10) at national or international meetings • Plenary presenter or invited speaker at scientific meetings or at other institutions. • Publication of book chapters or review articles; author / editor of a specialized, scholarly book • Journal editor or member of a scientific study section • Collaborations, Co-investigator ≥ 10%, on additional grants
	Good	It is unlikely that with > 50% commitment to research, that an evaluation of other than excellent would be acceptable. In cases where only a good rating is achieved, use the criteria for excellent at 20 – 49% effort

Biomedical Sciences Promotion & Tenure – Modified (Oct 2015) from Guidelines Adopted at Faculty Meeting: 24 May 2012

Category & Percent Effort	Evaluation Standard	Criteria – these are considered only as general guidelines to be measured against percent effort. No candidate would be expected to meet all these criteria
20 – 49%	<p>Excellent</p> <p>With less than 50% effort devoted to research, candidate should have documented excellence in teaching or service</p>	<p>10 total peer-reviewed publications generally in journals listed in PubMed. At least 3 publications as senior author (first or last) from work performed at ETSU during the evaluation term; quality of publications is considered more important than absolute numbers</p> <p>AND</p> <p>Active co-investigator (20% effort) on an externally funded grant (NIH, NSF, AHA, DOD or equivalent); evidence of actively seeking extramural funding as PI.</p> <p>OR (if candidate’s research effort is at the lower end of the 20–49% range).</p> <p>Provides critical support to the research mission of the department</p>
< 20%	<p>Excellent</p> <p>Unlikely that new hires on tenure track devote less than 20% effort to research</p>	<p>5 peer-reviewed publications with at least 1 as senior author (first or last) during the evaluation term.</p> <p>Provides important support to the research mission of the department.</p>
<p>Service</p> <p>Not weighted as heavily, but all faculty are expected to have some service.</p>	<p>For greater than 25% effort, faculty must document impact of contributions commensurate with percent effort.</p>	<p>Service can be at the level of the department, college or university at large, as well as to the broader scientific or biomedical community and might include:</p> <p>Coordination/direction of a major biomedical science core program, as documented by users or faculty peers, and the core oversight committee</p> <p>COM and/or University committees/boards/task forces; excellence is noted for leadership roles</p> <p>Current board certification for discipline relating to core programs</p> <p>Service in state/national/international professional organizations, excellence is noted for leadership roles</p>

Promotion to the Rank of Professor

It is assumed that individuals who are eligible for promotion to the rank of professor will already hold an appointment at the rank of associate professor in the department. One may apply for promotion to the rank of professor during the 6th year in rank or at any time thereafter. *Achieving the rank of professor assumes excellence*, it is not automatic; it is not considered a reward for longevity. To achieve the rank of professor there is an expectation that one has a developing national reputation in his / her primary area either as an outstanding teacher or researcher.

Biomedical Sciences Promotion & Tenure – Modified (Oct 2015) from Guidelines Adopted at Faculty Meeting: 24 May 2012

Category & Percent Effort	Evaluation Standard	Criteria these are considered only as general guidelines to be measured against percent effort. No candidate would be expected to meet all these criteria.
<p>Teaching</p>	<p>Excellent Excellence in teaching is expected irrespective of the time commitment</p>	<p>Consistent teaching evaluations by students (medical, graduate, health sciences) or residents of excellent (≥ 4.5) – on a 5 point scale – and / or peer and course director evaluations of excellent. Documentation of improvements during the evaluation period will be given positive consideration.</p> <p>ANY OF THE ADDITIONAL FACTORS BELOW MAY BE GIVEN POSITIVE CONSIDERATION BASED ON PERCENT EFFORT</p> <p>Service as course director. Course evaluations of ≥ 4.0 on a 5 point scale or peer evaluations of “excellent”. Documentation of improvements during the evaluation period will be given positive consideration.</p> <p>Instructor/facilitator in non-lecture classroom activities (small group sessions, etc.)</p> <p>Active role in curricular planning or management</p> <p>Evidence that faculty member keeps abreast of new developments in the field and revises course content/teaching methods as appropriate; evidence of effort to improve teaching ability or to develop new areas of competence</p> <p>Service as a major advisor for graduate students or mentoring of undergraduates, pre-doctoral students, post-doctoral associates, residents or fellows may reflect excellence</p> <p>Mentors junior faculty, or facilitates faculty development</p> <p>Receipt of or nominations for a Caduceus Teaching Award reflects excellence</p> <p>Receipt of or nominations for a Dean’s Distinguished Teaching Award reflects excellence</p> <p>Evidence of scholarly activity related to teaching (peer-reviewed publications, development of innovative teaching methods, authorship of textbooks, textbook chapters, lab manuals, podcasts, etc.)</p> <p>Presenter at national / international meetings that focus on medical or biomedical science education</p>

Category & Percent Effort	Evaluation Standard	Criteria these are considered only as general guidelines to be measured against percent effort. No candidate would be expected to meet all these criteria.
<p>Research ≥ 50%</p>	<p>Excellent Publications and external funding are required for promotion to professor with ≥ 50% effort</p>	<p>40 total peer-reviewed articles (20 as senior or corresponding author) generally in journals listed in PubMed. At least 5 publications as senior author (first or last) from work performed at ETSU during the Associate Professor term (for senior hires, discretion can be exercised with respect to where work has been performed). Quality and impact of publications may be considered more important than absolute numbers.</p> <p>AND</p> <p>PI on at least one major extramural research grant (ROI or equivalent) at time of application; evidence of sustained research funding.</p> <p>Evaluation of publication and funding achievement includes an assessment of quality and research sustainability. It will also be influenced by the absolute percent effort (50-100%) negotiated with the chair. In cases where judgment is ambivalent, the following may be factored into the evaluation:</p> <ul style="list-style-type: none"> • Shows evidence of national/international recognition in his / her field as documented in at least two external letters from scientists who have not published with the candidate for at least 5 years. • Publication of book chapters • Regular presentations (i.e., 25-30) at national or international meetings • Plenary presenter or invited speaker at 10 scientific meetings or at other institutions. • Authorship/ editor of specialized books or monographs • Senior or corresponding author on review articles • Membership on editorial boards or serving as editor-in-chief of journals, or as a member of scientific study sections
	<p>Good</p>	<p>It is unlikely that with > 50% commitment to research, that an evaluation of other than excellent would be acceptable. In cases where only a good rating is achieved, use the criteria for excellent at 20 – 49% effort</p>

Biomedical Sciences Promotion & Tenure – Modified (Oct 2015) from Guidelines Adopted at Faculty Meeting: 24 May 2012

Category & Percent Effort	Evaluation Standard	Criteria these are considered only as general guidelines to be measured against percent effort. No candidate would be expected to meet all these criteria.
20 – 49%	Excellent One would not normally expect promotion to rank of professor with less than 20% research	25 total peer-reviewed publications generally in journals listed in PubMed. At least 3 publications as corresponding (first or last) author from work performed at ETSU during the Associate Prof term; quality and impact are more important than numbers (for senior hires, discretion can be exercised with respect to where work has been performed) AND Active co-investigator (with at least 20% effort) on a major grant; evidence of actively seeking external funding as a PI is essential Presentations (i.e. 20) at national or international scientific meetings Provides important support to the research mission of the department Any of the other criteria listed above but weighted for effort may also be used in judging a candidate's effort
Service Not weighted as heavily, but all faculty are expected to have some service	Excellent For greater than 25% effort, faculty must document impact of contributions commensurate with percent effort.	Service can be at the level of the department, college or university at large, as well as to the broader scientific or biomedical community and might include: Coordination/direction of a major biomedical science core program, as documented by users or faculty peers, and the core oversight committee COM and/or University committees/boards/task forces; excellence is noted for leadership roles Current board certification for discipline relating to core programs Service in state/national/international professional organizations, excellence is noted for leadership roles

**East Tennessee State University
Department of Family Medicine
Quillen College of Medicine
(Revised September 2011)**

**Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments
(To be successful, the candidate must demonstrate excellence in two categories and good in one category)**

Category	Percent Time Devoted	Evaluation Standard	<p style="text-align: center;">Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i></p>
<p>Research/Scholarly Activity</p> <p><i>Gives evidence of emerging national recognition as an expert in his/her field.</i></p>	50% - \geq 80%	Excellent	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) ▪ Publication of \geq 5 book chapters/monographs ▪ \geq15 publications in peer-refereed journals at least 7 as first author and at least 7 based on scholarly activity conducted at ETSU. Quality of publications will be weighed (i.e. fewer publications in high impact journals preferable to many in second or third tier journals). ▪ \geq15 peer reviewed scholarly presentations at national/international meetings (including residency and post doctoral period) ▪ \geq 5 invited presentations to scientific meetings or other academic institutions ▪ At least 2 funded external research grants; PI on 1 major, currently active grant. ▪ Reviewer in 2 journals and 1 or more Federal Research Grant Agencies (e.g. NIH, HRSA), and/or member of national or federal peer review panel (NIH, VA, AHA, etc.)
		Good	N/A – It is unlikely that with a 50+ percent commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20 percent time devoted.

Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Research/ Scholarly Activity	20% - < 50%	Excellent	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation show documented, excellent ratings (*) ▪ ≥ 8 publications in peer reviewed journals, and/or book chapter/monographs, at least 4 as first author and at least four based on scholarly activity conducted at ETSU. Quality of publications will be weighed (i.e. fewer publications in high impact journals preferable to many in second or third tier journals). ▪ Co-investigator (actual or de facto) on a major grant ▪ ≥ 3 invited and/or ≥ 8 other peer reviewed regional/national/international scholarly presentations (including presentations during the residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation show documented, good ratings (*) ▪ ≥ 5 publications in peer reviewed journals and/or book chapter/monographs, at least 2 as first author and at least 2 based on scholarly activity conducted at ETSU ▪ ≥ 5 peer reviewed, scholarly presentations at regional/national/international professional meetings.(including presentations during the residency and post-doctoral period)
	10%- < 20%	Excellent	<ul style="list-style-type: none"> ▪ Chair's and/or immediate supervisor's annual evaluation show documented, excellent ratings (*) ▪ ≥ 5 publications in peer reviewed journals and/or book chapters/monographs, at least 2 as first author and at least one based on scholarly activity conducted at ETSU ▪ ≥ 5 peer reviewed scholarly presentations at regional/national/international professional meetings.(including presentations during the residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation show documented, good to excellent ratings (*) ▪ ≥ 2 publications in peer reviewed journals and/or book chapters /monographs, at least 1 as first author and at least one based on scholarly activity conducted at ETSU ▪ ≥ 2 peer reviewed scholarly presentations at regional/national/international professional meetings.(including presentations during the residency and post-doctoral period)

**Minimum Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments
(To be successful, the candidate must demonstrate excellence in two categories and good in one category)**

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
<p>Teaching</p>	<p>N/A</p> <p>Attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/scholarly activity and service. (COM guidelines)</p>	<p>Excellent</p>	<ul style="list-style-type: none"> ▪ Chair's and/or immediate supervisor's annual evaluation show documented, excellent ratings (*) ▪ Consistent learner (student, resident, etc.) evaluations in excellent category (*) ▪ Recipient of teaching award ▪ Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or lead presenter of a significant number (>10 per cent) of lectures in major course ▪ Successful coordination of a residency training program, clerkship program, graduate or fellowship program, or other post graduate program. ▪ Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development, instructional design (i.e., electronic teaching/learning programs) and/or assessment of learners or educational programs. ▪ Ability to identify at least 5 "mentees" who identify individual as a major career influence ▪ Evidence of presentations or teaching outside the COM with positive evaluations. ▪ Beginning evidence of national involvement in curriculum design or evaluation of the educational process (teaching, curriculum, instructional materials) ▪ Development of highly rated CME programs. ▪ Excellent ratings in CME program presentations. ▪ Evidence of scholarly activity related to education ▪ Evidence of effort to improve teaching (i.e. faculty development programs) ▪ Successful peer reviewed presentations on educational topics at professional meetings or conferences. ▪ Significant contribution to 1 or more funded educational training grants.

Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	<p style="text-align: center;">Criteria</p> <p style="text-align: center;"><i>Successful candidates will be expected to meet multiple criterion listed, including <u>all those followed by an asterisk (*)</u></i></p>
Teaching		Good	<ul style="list-style-type: none"> ▪ Chair's and/or immediate supervisor's annual evaluation show documented good to excellent ratings (*) ▪ Consistent learner (student, resident, etc.) evaluations in the good to excellent category (*) ▪ Recipient of teaching award(s) ▪ Instruction of at least 20 hours annually in residency conferences/workshops/seminars or medical student courses. ▪ Ability to identify at least two "mentees" who identify candidate as a major career influence ▪ Evidence of effort to improve teaching (i.e. faculty development programs) ▪ Good to excellent ratings in CME program presentations.

**Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments
(To be successful, the candidate must demonstrate excellence in two categories and good in one category)**

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Service		Excellent	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation show documented, excellent ratings (*) ▪ Current board certification, for physicians (*) ▪ Maintenance of productive, high quality clinical practice. ▪ Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) ▪ Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure ▪ Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers ▪ Referrals from beyond immediate region: statewide and/or national ▪ Service in national or regional professional organizations, national scientific review boards, or journal editorial boards. (Service as Chair should be noted) ▪ Service as a board examiner or participation in development of written board examinations ▪ Service on College of Medicine, and/or University committees/boards/task forces (Service as chair should be noted) ▪ Service on hospital medical staff committee(s) (Service as Chair should be noted) ▪ Evidence of community and/or government service related to professional expertise ▪ Significant contributor to specified service of importance to the Department not covered by previously listed criteria (e.g. authorship of major reports used to publicize departmental achievements or to meet standards as determined by external accrediting bodies; leadership in review of internal departmental standards such as promotion and tenure guidelines)

Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Service		Good	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation show documented, good to excellent ratings (*) ▪ Board certification (*) ▪ Maintenance of a productive and high quality clinical practice. ▪ Referrals from throughout the region ▪ Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers ▪ Service in national or regional professional organizations, national scientific review boards, or journal editorial boards.(Service as Chair should be noted) ▪ Service on College of Medicine and/or University committees/boards/task forces (Service as chair should be noted) ▪ Service on hospital medical staff committee(s) (Service as Chair should be noted) ▪ Evidence of community and/or government service related to professional expertise ▪ Significant contributor to specified service of importance to the Department not covered by previously listed criteria (e.g., authorship of major reports used to publicize departmental achievements or to meet standards as determined by external accrediting bodies; leadership in review of internal departmental standards such as promotion and tenure guidelines)

**East Tennessee State University
Department of Family Medicine
Quillen College of Medicine (Revised September 2011)**

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments (To be successful, the candidate must demonstrate excellence in two categories and good in one category)			
Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criteria listed, including all those followed by an asterisk (*)</i>
<p>Research/ Scholarly Activity</p> <p><i>The candidate's academic record should provide clear evidence of national/ international recognition as an expert in his/her field.</i></p>	50% - 80%	Excellent	<ul style="list-style-type: none"> • Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) • ≥ 50 publications in peer-refereed journals with ≥ 20 as first author and \geq at ETSU. The quality of publications should be considered. <i>i.e.</i> fewer publications in high impact, premier journals are preferable to more publications in second/third tier journals. (*) • PI on at least 1 major grant at time of promotion, and history of continuous funding. (Not including R15s, 1 year development grants, or seed money). (*) • Publication (author or editor) of ≥ 5 books, book chapters/monographs • ≥ 50 peer reviewed scholarly presentations at national/international meetings (including residency and postdoctoral period) • 10 invited research presentations to scientific meetings or other academic institutions • Reviewer for ≥ 2 journals and 1 or more Federal Research Grant Agency (e.g. NIH, HRSA), and/or member of national or federal peer review panel (NIH, VA, AHA, etc.)
		Good	<p>N/A – In most cases, with a $>50\%$ commitment to research, only an "excellent" evaluation would be acceptable. In the rare case that only a "good" rating is achieved, use the criteria for excellent under 20% time devoted.</p>

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p style="text-align: center;">Research/ Scholarly Activity</p>	<p style="text-align: center;">20% - < 50%</p>	<p style="text-align: center;">Excellent</p>	<p style="text-align: center;"><i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i></p> <ul style="list-style-type: none"> • Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) • ≥ 25 peer-reviewed publications, ≥ 13 as first author, ≥ 13 at ETSU (*) • Publication (author or editor) of ≥ 3 books, book chapters/monographs • PI or Co-investigator (actual or de facto) on ≥ 1 major grant • ≥ 20 invited and/or peer reviewed regional/national/international scholarly presentations (including residency and post-doctoral period)
		<p style="text-align: center;">Good</p>	<ul style="list-style-type: none"> • Chair's and immediate supervisor's annual evaluation shows documented, good ratings (*) • ≥ 8 publications in peer reviewed journals and/or book chapter/monographs, at least 2 as first author and at least 2 based on scholarly activity conducted at ETSU • ≥ 8 peer reviewed, scholarly presentations at regional/national/international professional meetings, and or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<p style="text-align: center;">10% - < 20%</p>	<p style="text-align: center;">Excellent</p>	<ul style="list-style-type: none"> • Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) • ≥ 8 publications in peer reviewed journals and/or book chapter/monographs, at least 2 as first author and at least 2 based on scholarly activity conducted at ETSU • ≥ 8 peer reviewed scholarly presentations at regional/national/international professional meetings, and or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
		<p style="text-align: center;">Good</p>	<ul style="list-style-type: none"> • ≥ 4 publications in peer reviewed journals and/or book chapter/monographs, at least 2 as first author and at least 2 based on scholarly activity conducted at ETSU • ≥ 4 peer reviewed scholarly presentations at regional/national/international professional meetings, and or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments
(To be successful, the candidate must demonstrate excellence in two categories and good in one category)

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Teaching	<p>N/A*</p> <p>*Attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for research/scholarly activity and service. (COM guidelines)</p>	Excellent	<ul style="list-style-type: none"> • Chair's and/or immediate supervisor's annual evaluation show documented, excellent ratings (*) • Consistent learner (student, resident, etc.) evaluations in excellent category (*) • Recipient of teaching award(s) • Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or lead presenter of a significant number (≥ 30 per cent) of lectures in major course • Successful coordination of a residency training program, clerkship program, graduate or fellowship program, or other post graduate program. • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development, instructional design (i.e., electronic teaching/learning programs) and/or assessment of learners or of educational programs. • Ability to identify at least 8 "mentees" who identify individual as a major career influence • Evidence of presentations or teaching outside the COM with positive evaluations • Evidence of national involvement in curriculum design or evaluation of the educational process (teaching, curriculum, instructional materials) • Development of highly rated CME programs. • Excellent ratings in CME program presentations. . . • Evidence of scholarly activity related to education. • Evidence of effort to improve teaching (i.e., faculty development programs) • Successful peer reviewed presentation on educational topics at professional meetings and conferences equivalent to one or more per year since year of hire. • Significant contribution to 1 or more funded educational training grants..

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including <u>all those followed by an asterisk (*)</u></i>
Teaching		Good	<ul style="list-style-type: none"> • Chair's and/or immediate supervisor's annual evaluation show documented good to excellent ratings (*) • Consistent learner (student, resident, etc.) evaluations in the good to excellent categories (*) • Recipient of teaching award (s) • Instruction of at least 20 hours in residency seminars or medical student courses annually • Ability to identify at least 3 "mentees" who identify the candidate as a major career influence • Good to excellent evaluations at CME conferences. • Evidence of effort to improve teaching (i.e., faculty development programs). • One or more successful peer reviewed presentations on an educational topic at professional meetings or conferences. • Significant contribution to 1 or more funded training grants

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments
 (To be successful, the candidate must demonstrate excellence in two categories and good in one category)

Category	Percent Time Devoted	Evaluation Standard	Criteria Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)
<p>Service</p> <p><i>The Department only defines service in one "percent time devoted" category consistent with the COM Guidelines</i></p>	<p>≤ 80%</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Chair's and/or immediate supervisor's annual evaluation show documented, excellent ratings (*) • Current board certification for physicians/clinicians (*) • Maintenance of productive, high quality clinical practice • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) • Referrals from beyond immediate region: statewide and/or national • Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers. • Service in national or regional professional organizations, national scientific review boards, or journal editorial boards (service as chair should be noted). • Service as a board examiner, or participation in the development of board examinations. • Service on College of Medicine, and/or University committees/boards/task forces (service as chair should be noted) • Service on hospital medical staff committee (s) (service as chair should be noted) • Evidence of community and/or government service related to professional expertise • Significant contributor to specified service of major importance to the Department/COM not covered by previously listed criteria (i.e. authorship of major reports used to publicize departmental achievements or to meet standards as determined by external accrediting bodies; leadership in review of internal departmental standards such as promotion and tenure guidelines, faculty incentives plans, etc.)

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
	≤ 80%	Good	<ul style="list-style-type: none"> • Chair's and/or immediate supervisor's annual evaluation show documented, good to excellent ratings (*) • Current board certification for physicians/clinicians (*) • Referrals from throughout the region • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service in national or regional professional organizations, national scientific review boards, or journal editorial boards (service as chair should be noted). • Service as a board examiner, or participation in the development of board examinations. • Service on College of Medicine, and/or University committees/boards/task forces (service as chair should be noted) • Service on hospital medical staff committee (s) (service as chair should be noted) • Evidence of community and/or government service related to professional expertise • Significant contributor to specified service of major importance to the Department/COM not covered by previously listed criteria (i.e. authorship of major reports used to publicize departmental achievements or to meet standards as determined by external accrediting bodies; leadership in review of internal departmental standards such as promotion and tenure guidelines, faculty incentives plans, etc.)

East Tennessee State University
Department of Family Medicine
Quillen College of Medicine
 (Revised September 2011)

Criteria for Awarding Tenure

(To be successful, the candidate must demonstrate excellence in two categories and good in one category)
 To be awarded tenure, the individual must meet long-term staffing needs of the department and the institution and satisfy standards and criteria that follow:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Research/Scholarly Activity <i>Gives evidence of emerging national recognition as an expert in his/her field.</i>	50% - ≥ 80%	Excellent	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) ▪ Publication of ≥ 5 book chapters/monographs ▪ ≥15 publications in peer-refereed journals at least 7 as first author and at least 7 should be based on scholarly activity conducted at ETSU. Quality of publications will be weighed (i.e. fewer publications in high impact journals preferable to many in second or third tier journals). ▪ ≥15 peer reviewed scholarly presentations at national/international meetings (including residency and post doctoral period) ▪ ≥5 invited presentations to scientific meetings or other academic institutions ▪ At least 2 funded external research grants; PI on 1 major, currently active grant. ▪ Reviewer in 2 journals and 1 or more Federal Research Grant Agencies (e.g. NIH, HRSA), and/or member of national or federal peer review panel (NIH, VA,, AHA, etc.)
		Good	N/A -- It is unlikely that with a 50+ percent commitment to research, that other than an "excellent" evaluation would be acceptable. In the rare case that only a "good" rating is achieved, use the criteria for excellent under 20 percent time devoted.

Criteria for Awarding Tenure

To be awarded tenure, the individual must meet long-term staffing needs of the department and the institution and satisfy standards and criteria that follow:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Research/ Scholarly Activity	20% - < 50%	Excellent	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) ▪ ≥8 publications in peer reviewed journals and/or book chapters/monographs (at least 4 as first author), four or more of which should be based on scholarly activity conducted at ETSU. Quality of publications will be weighed (i.e. fewer publications in high impact journals preferable to many in second or third tier journals). ▪ Co-investigator (actual or de facto) on a major grant ▪ ≥3 invited and/or ≥ 8 other peer reviewed regional/national/international presentations (including presentations during the residency and post-doctoral period)
	10%- < 20%	Good	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, good ratings (*) ▪ ≥5 publications in peer reviewed journals and/or book chapters /monographs (at least 2 as first author), one or more should be based on scholarly activity conducted at ETSU ▪ ≥5 peer reviewed, scholarly presentations at regional/national/international professional meetings.(including presentations during the residency and post-doctoral period)
		Excellent	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) ▪ ≥5 publications in peer reviewed journals and/or book chapters /monographs (at least 2 as first author), one or more should be based on scholarly activity conducted at ETSU ▪ ≥5 scholarly presentations at regional/national/international professional meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, good to excellent ratings (*) ▪ ≥2 publications in peer reviewed journals and/or book chapters /monographs (at least 1 as first author), one or more should be based on scholarly activity conducted at ETSU ▪ ≥2 scholarly, peer reviewed presentations at regional/national/international professional meetings (including presentations during the residency and post-doctoral period)

Criteria for Awarding Tenure

(To be successful, the candidate must demonstrate excellence in two categories and good in one category)

To be awarded tenure, the individual must meet long-term staffing needs of the department and the institution and satisfy standards and criteria that follow:

Category	Percent Time Devoted	Evaluation Standard	Criteria
Teaching	N/A Attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/scholarly activity and service. (COM guidelines)	Excellent	<p style="text-align: center;"><i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i></p> <ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) ▪ Consistent learner (student, resident, etc.) evaluations in excellent category (*) ▪ Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or lead presenter of a significant number (>10 per cent) of lectures in major course ▪ Recipient of teaching award ▪ Successful coordination of a residency training program, clerkship program, graduate or fellowship program, or other post graduate program. ▪ Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development, instructional design (i.e., electronic teaching/learning programs) and/or assessment of learners or educational programs. ▪ Ability to identify at least 5 "mentees" who identify individual as a major career influence ▪ Evidence of presentations or teaching outside the COM with positive evaluations. ▪ Beginning evidence of national involvement in curriculum design or evaluation of the educational process (teaching, curriculum, instructional materials) ▪ Development of highly rated CME programs. ▪ Excellent ratings in CME program presentations. ▪ Evidence of scholarly activity related to education ▪ Evidence of effort to improve teaching (i.e. faculty development programs) ▪ Successful peer reviewed presentations on educational topics at professional meetings or conferences. ▪ Significant contribution to 1 or more funded educational training grants.

Criteria for Awarding Tenure

To be awarded tenure, the individual must meet long-term staffing needs of the department and the institution and satisfy standards and criteria that follow:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i>
Teaching		Good	<ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, good to excellent ratings (*) ▪ Consistent learner (student, resident, etc.) evaluations in the good to excellent category (*) ▪ Recipient of teaching award(s) ▪ Instruction of at least 20 hours annually in residency conferences/workshops/seminars or medical student courses. ▪ Ability to identify at least two "mentees" who identifies individual as a major career influence ▪ Evidence of effort to improve teaching (i.e. faculty development programs) ▪ Good to excellent ratings in CME program presentations.

Criteria for Awarding Tenure			
(To be successful, the candidate must demonstrate excellence in two categories and good in one category)			
To be awarded tenure, the individual must meet long-term staffing needs of the department and the institution and satisfy standards and criteria that follow:	Criteria	Evaluation Standard	Percent Time Devoted
Service	<p style="text-align: center;"><i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i></p> <ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, excellent ratings (*) ▪ Current board certification for physicians (*) ▪ Maintenance of productive, high quality clinical practice ▪ Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) ▪ Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure ▪ Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers ▪ Referrals from beyond immediate region: statewide and/or national ▪ Service in national or regional professional organizations, national scientific review boards, or journal editorial boards. (Service as Chair should be noted) ▪ Service as a board examiner or participation in development of written board examinations ▪ Service on College of Medicine, and/or University committees/boards/task forces (Service as chair should be noted) ▪ Service on hospital medical staff committee(s) (Service as Chair should be noted) ▪ Evidence of community and/or government service related to professional expertise ▪ Significant contributor to specified service of importance to the Department not covered by previously listed criteria (e.g., authorship of major reports used to publicize departmental achievements or to meet standards as determined by external accrediting bodies; leadership in review of internal departmental standards such as promotion and tenure guidelines) 	Excellent	

Criteria for Awarding Tenure			
To be awarded tenure, the individual must meet long-term staffing needs of the department and the institution and satisfy standards and criteria that follow:			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Service		Good	<p><i>Successful candidates will be expected to meet multiple criterion listed, including all those followed by an asterisk (*)</i></p> <ul style="list-style-type: none"> ▪ Chair's and immediate supervisor's annual evaluation shows documented, good to excellent ratings (*) ▪ Board certification (*) ▪ Maintenance of a productive and high quality clinical practice. ▪ Referrals from throughout the region ▪ Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers ▪ Service in national or regional professional organizations, national scientific review boards, or journal editorial boards. (Service as Chair should be noted) ▪ Service on College of Medicine and/or University committees/boards/task forces (Service as chair should be noted) ▪ Service on hospital medical staff committee(s) (Service as Chair should be noted) ▪ Evidence of community and/or government service related to professional expertise ▪ Significant contributor to specified service of importance to the Department not covered by previously listed criteria (e.g. authorship of major reports used to publicize departmental achievements or to meet standards as determined by external accrediting bodies; leadership in review of internal departmental standards such as promotion and tenure guidelines)



East Tennessee State University
Department of Internal Medicine
Quillen College of Medicine
(August 2012)

Promotion and Tenure Guidelines: Overview

Salary Support: Significant salary support is usually present from Department of Internal Medicine resources for the faculty ranks in the tenure track and in the non-tenure clinical track, but not in the adjunct track. Joint appointments may or may not result in departments sharing salary funding for a faculty member.

Tenure: Tenure is an institutional commitment to continue the State component of salary support. Tenure is awarded when a faculty member is recognized as an important and essential contributor to the missions of the Department of Internal Medicine. The awarding of tenure is not explicitly tied to promotion but often is considered at the same time as promotion to associate professor. Tenure is not considered for faculty in the clinical or adjunct track categories.

Promotion: In order to move up the ranks, one must engage in scholarly activity. Board Certification in Internal Medicine (or Dermatology or Neurology) within five years of training completion is required for clinicians in all tracks.

- In the *Adjunct Track*, besides Internal Medicine Board Certification, years of experience as a clinician are the major criteria for promotion to Associate Professor or Professor.
- For the *Clinical Track* where teaching is a major activity of the faculty member, scholarly activity indicated by publications is expected, although at a reduced level compared to the full-time, tenure track faculty.
- *Tenure Track* faculty will have broader academic activities than those in the *Clinical Track*. Tenure Track Faculty are expected to (1) teach medical students and house officers, (2) provide service (usually committee work) to the Department and/or College of Medicine, (3) participate in scholarly activity, and (4) contribute substantially to *either* the patient care or the research missions of the Department. All *Tenure Track* faculty will be involved in teaching and excellence is expected. Service and scholarly activity are expected of everyone in the *Tenure Track*. *Tenure Track* faculty are expected to contribute to the literature at a regular rate. Scholarly activity is expected whether there is original basic or clinical research or the scholarly activity is in the areas of education, disease

prevention, epidemiology, or patient care quality improvement, where a laboratory and grant funding may not be necessary. The principal activity of *Tenure Track* faculty will be either patient care or research. Extramural grant funding is the mark of peer-reviewed excellence in those whose principal activity is research. Excellent teaching and patient care without regular peer-reviewed publications is a valued activity that fits best in the *Clinical Track*.

Timeline: Faculty in a tenure track position are eligible for tenure at 5 years in rank but must achieve tenure by seven years or they must leave that position. The only option for such a faculty member is to leave the University. There is no time limit for promotion to the next rank, but faculty are eligible after 5 years in rank. Full-time clinical track faculty should expect annual renewable contracts or rolling three year contracts with the University. Faculty will be notified by the department when they are eligible for promotion and/or tenure.

Joint Appointments: These appointments are to two or more academic departments. One department is always the principal department and this department is primarily responsible for salary and promotion and tenure decisions. The second (or further) department is one where the individual has significant professional activities such as teaching, research, or patient care and meets their appointment and tenure criteria. It is usual that the individual will have the same rank in both (or more) departments. Joint appointments also can occur in non-tenure tracks.

Criteria for promotion: Faculty will be assessed using a weighted scoring based on their percentage effort in the areas of research, teaching and service multiplied by their average scores (scale of 1 to 10 as determined by the Internal Medicine Promotion and Tenure Committee member). Committee members will determine their scores based upon criteria as outlined below in this document. Scores needed for promotion are as follows:

600-749 for Assistant Professor
750-899 for Associate Professor
900-1000 for Full Professor

Similar criteria will be used for decisions regarding Tenure.



**East Tennessee State University
Department of Internal Medicine
Quillen College of Medicine
(August 2012)**

Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

(candidate must demonstrate excellence in two categories and be considered good in one; candidates efforts will be weighed based on the percentage effort in the specific category [research, service, teaching])

Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/ Scholarly Activity	50% - 80%	Excellent	<p style="text-align: center;"><i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i></p> <ul style="list-style-type: none"> • Publication of ≥5 book chapters. • ≥50 publications in peer-refereed journals. However, the quality of publications should be a critical determinant for a Professor, <i>i.e.</i> fewer publications in high impact, premier journals are preferable to more publications in second/third tier journals • PI on 1 major grant at time of promotion, and history of continuous funding. (Not including 1 year development grants, or seed money). • ≥50 presentations at national/international meetings (including residency and postdoctoral period). • Active reviewer for ≥ 2 journals, and/or member of national or federal peer review panel (NIH, VA, AHA, <i>etc.</i>) • ≥10 invited presentations to scientific meetings or other academic institutions
		Good	<p>N/A – It is unlikely that with a >50% commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% time devoted.</p>

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Research/Scholarly Activity, Continued	20% - 50%	Excellent	<ul style="list-style-type: none"> • ≥15 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU • Co-investigator on a major grant (at least 10% effort) • Citations index-list candidate's articles used in major publications • ≥20 presentations (including residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> • ≥5 publications/chapters (1 to 2 as first author), half at ETSU • ≥5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • ≥5 publications/chapters (1 to 2 as first author), half at ETSU • ≥5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Teaching	<p>N/A</p> <p>It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/ scholarly activity and service.</p>	Excellent	<ul style="list-style-type: none"> ● Peer review (including chair’s review) leading to excellent ratings. ● Recipient of teaching award—may be included but is not required. ● Consistent student evaluations in excellent category. ● Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director). ● Successful direction of a residency training program, clerkship program, or graduate program. ● Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development. ● Ability to identify at least 15 “mentees” who identify individual as a major career influence. ● Consistent excellent evaluations for teaching/ presentations outside the COM ● Evidence of national involvement in curriculum design or teaching evaluation (supported by letters from national organizations). ● Development of well attended and highly rated CME programs. ● Consistent excellent ratings at continuing education program presentations. ● Evidence of scholarly activity.

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Teaching, Continued		Good	<ul style="list-style-type: none"> • Peer review (including chair’s review) leading to good to excellent ratings. • Recipient of teaching award—may be included but is not required. • Consistent student evaluations in the good to excellent category. • Instruction of at least 20 hours in residency seminars or medical student courses annually. • Ability to identify at least one “mentee” who identifies the individual as a major career influence. • Good to excellent evaluations at CME conferences.

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Service	≤80%	Excellent	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.). • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC) • Service in national or regional professional organizations, regulatory bodies, College of Medicine, and/or University committees/boards/task forces • Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure • Current board certification (including re-certification if applicable) • Service as a board examiner, or participation in the development of board examinations • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service on national or federal scientific review boards or journal editorial boards • For primary care physicians: Establishment of successful primary care practice. • Evidence of scholarly activity.

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Service, Continued		Good	<ul style="list-style-type: none"> • Referrals from throughout the region (e.g., at least 1/5 of referrals from outside MEAC). • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces. • Board certification. • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers • For primary care physicians: Establishment of a solid clinical practice. • Service to community boards, committees and task forces.



**East Tennessee State University
Department of Internal Medicine
Quillen College of Medicine
(August 2012)**

Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments (candidate must demonstrate excellence in two categories and be considered good in one)			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/ Scholarly Activity	50% - 80%	Excellent	<p style="text-align: center;"><i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i></p> <ul style="list-style-type: none"> • Publication of at least 5 book chapters or monographs • At least 15 publications in peer-refereed journals (~ □ as first author), half of which should be based on research conducted at ETSU. Quality of publications should be also weighed (i.e. fewer publications in high impact journals preferable than many in second or third tier journals). Published impact factors for specific journals will be used in this weighting. • At least 2 funded external grants; PI on 1 major, currently active grant. • >15 presentations at national/international meetings (including residency and post-doctoral period) • Reviewer in 2 journals and/or one or more Federal Research Grant Agencies such as NIH/HRSA/DHHS, or member of national or federal review panel • At least 5 invited presentations to scientific meetings or other academic institutions
		Good	<p>N/A – It is unlikely that with a >50% commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% time devoted.</p>

Minimum Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Research/ Scholarly Activity, Continued	20% - 50%	Excellent	<ul style="list-style-type: none"> • At least 8 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU. Publications may be weighted based on impact factor. • Co-investigator on a major grant • 3 to 5 invited peer-reviewed scholarly presentations and/or 8-10 presentations (including residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> • At least 5 publications/chapters (1 to 2 as first author), half at ETSU • At least 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • At least 5 publications/chapters (1 to 2 as first author), half at ETSU • At least 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Minimum Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Teaching	N/A It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/ scholarly activity and service.	Excellent	<ul style="list-style-type: none"> ● Peer review (including chair's review) leading to excellent ratings. ● Recipient of teaching award—may be included but is not required. ● Consistent student evaluations in excellent category. ● Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director). ● Successful direction of a residency training program, clerkship program, or graduate program. ● Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development. ● Ability to identify at least 15 “mentees” who identify individual as a major career influence. ● Presentations outside the COM about candidate's teaching or teaching outside the institution. ● Beginning evidence of national involvement in curriculum design or teaching evaluation. ● Development of well attended and highly rated CME programs. ● Consistent excellent ratings in CME program presentations. ● Evidence of scholarly activity.

Minimum Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Teaching, Continued		Good	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to good to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in the good to excellent category • Instruction of at least 20 hours annually in residency seminars or medical student courses annually • Ability to identify at least one “mentee” who identifies the individual as a major career influence • Good to excellent ratings in CME program presentations.

Minimum Criteria for Promotion to the Rank of Associate Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criteria listed, but would meet the majority.</i>
Service	<80%	Excellent	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.). • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC). • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces. • Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure. • Current board certification. • Service as a board examiner or participation in development of written board examinations. • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers. • Service on regional or national scientific review boards or journal editorial boards. • For primary care physicians: Establishment of successful clinical practice.
		Good	<ul style="list-style-type: none"> • Referrals from throughout the region (e.g., at least 1/5 of referrals from outside MEAC) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces • Board certification • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service to community boards, committees and task forces • For primary care physicians: Establishment of solid clinical practice.



**East Tennessee State University
Department of Internal Medicine
Quillen College of Medicine
(August 2012)**

Minimum Criteria for Promotion for Modified Academic Track Appointments		
Criteria for Promotion	Review Process	Appeals
<p>The criteria for promotion requires the following:</p> <ul style="list-style-type: none"> • excellence in one area • good performance in the other area of concentration • no third area of concentration is required <p>Otherwise, similar criteria for tenure track appointments apply. The time-line for submission of documents is the same as that for tenure track.</p>	<p>The faculty member's application for promotion will be reviewed by the Promotion and Tenure Committee of the College of Medicine.</p> <p>The Dean will review and decide on all promotion requests, and forward his or her decision and the application packet to the Vice President for Health Affairs and the University President.</p>	<p>The faculty appeals process will be the same as that for the tenure track.</p>



**East Tennessee State University
Department of Internal Medicine
Quillen College of Medicine
(August 2012)**

Minimum Criteria for the Awarding of Tenure			
In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/ Scholarly Activity	50% - 80%	Excellent	<p style="text-align: center;"><i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i></p> <ul style="list-style-type: none"> • Publication of ≥5 book chapters. • ≥15 publications in peer-refereed journals (~ □ as first author), half of which should be based on research conducted at ETSU. Quality of publications should be also weighed (<i>i.e.</i> fewer publications in high impact journals preferable than many in second or third tier journals). • At least 2 funded external grants; PI on 1 major, currently active grant. • ≥15-20 presentations at national/international meetings (including residency and postdoctoral period). • Reviewer in ≥2 journals. • ≥5 invited presentations to scientific meetings or other academic institutions.
		Good	N/A – It is unlikely that with a >50% commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% time devoted.

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
	20% - 50%	Excellent	<p style="text-align: center;"><i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i></p> <ul style="list-style-type: none"> • ≥8 to 10 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU • Co-investigator on a major grant • Citations index–list candidate’s articles used in major publications • ≥3 invited presentations and/or 8-10 presentations (including residency and postdoctoral period)
		Good	<ul style="list-style-type: none"> • ≥5 publications/chapters (1 to 2 as first author), half at ETSU • ≥5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • ≥5 publications/chapters (1 to 2 as first author), half at ETSU • ≥5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
Teaching	N/A It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/scholarly activity and service.	Excellent	<p style="text-align: center;"><i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i></p> <ul style="list-style-type: none"> ● Peer review (including chair's review) leading to excellent ratings. ● Recipient of teaching award—may be included but is not required. ● Consistent student evaluations in excellent category. ● Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director). ● Successful direction of a residency training program, clerkship program, or graduate program. ● Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development. ● Ability to identify at least 15 “mentees” who identify individual as a major career influence. ● Presentations outside the COM about candidate's teaching or teaching outside the institution. ● Beginning evidence of national involvement in curriculum design or teaching evaluation. ● Development of well attended and highly rated CME programs. ● Consistent excellent ratings in CME program presentations. ● Evidence of scholarly activity.

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
		Good	<p style="text-align: center;"><i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i></p> <ul style="list-style-type: none"> • Peer review (including chair's review) leading to good to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in the good to excellent category • Instruction of at least 20 hours in residency seminars or medical student courses annually • Ability to identify at least one “mentee” who identifies the individual as a major career influence • Good to excellent ratings in CME program presentations.

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i>
Service	<80%	Excellent	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.). • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC). • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces. • Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure. • Current board certification. • Service as a board examiner or participation in development of written board examinations. • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers. • Service on regional or national scientific review boards or journal editorial boards. • For primary care physicians: Establishment of successful clinical practice.
		Good	<ul style="list-style-type: none"> • Referrals from throughout the region (e.g., at least 1/5 of referrals from outside MEAC) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces. • Board certification. • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers. • Service to community boards, committees and task forces. • For primary care physicians: Establishment of solid clinical practice.



**East Tennessee State University
Department of Internal Medicine
Quillen College of Medicine
(August 2012)**

Minimum Criteria for Promotion for Volunteer/Clinical Track Appointments			
Criteria	Assistant Clinical Professor	Associate Clinical Professor	Clinical Professor
Minimum criteria	<ul style="list-style-type: none"> • Completion of postgraduate training • Independent clinical licensure • Willingness to provide clinical teaching for medical student or resident education or documented service to the department • Acceptable clinical teaching 	Criteria for Assistant Clinical Professor	Criteria for Associate Professor
Added criteria (2 or more)	N/A	<ul style="list-style-type: none"> • Local/regional leadership stature in profession • Teaching awards • Good to excellent evaluations by student/resident trainees 	<ul style="list-style-type: none"> • Any publications or research participation • State/national leadership in professional organizations, healthcare boards, etc. • Senior local

			leadership/contribution to profession <ul style="list-style-type: none"> • Clinical presentations including grand rounds at the medical school • Three to five publications • Active research involving medical school faculty or trainees
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Review Process: Requests for promotion in rank are considered by the Chair of the Department. If approved by the Chair, the request is forwarded to the Dean of Medicine for review and final approval.

Summary of Faculty Tracks

Track	Tenure Eligible	Eligible for Conversion to Tenure Track	Promotion Criteria	Full-time Appointment	Fixed Term	Renewable/Extendable	FAP/FAR/FAE Required	Benefits			
								Full	CPA	Tuition	Library
Tenure	N/A	N/A	Full Academic	Yes	N/A	N/A	Yes	Yes	Yes	Yes	Yes
Tenure Track	Yes	N/A	Full Academic	Yes	7 years max	Years 1-6	Yes	Yes	Yes	Yes	Yes
Clinical Track	No	Yes	Modified Academic	Yes	1-3 years	Extended annually for an additional year	Yes	Yes	Yes	Yes	Yes
Research Track	No	Yes	Modified Academic	Yes	1-3 years	Extended annually for an additional year	Yes	Yes	Yes	Yes	Yes
VA Academic Track	No	No	Modified Academic	No (8/8 VA)	Yearly	Yes	Yes	Yes	Yes	Yes	Yes
Clinical/Volunteer	No	No	Volunteer/Clinical	No	Yearly	Yes	No	No	No	No	Yes
VA Volunteer	No	No	Volunteer/Clinical	No	Yearly	Yes	No	No	No	No	Yes
Adjunct	No	No	N/A	No	1-2 years	Yes	No	No	No	No	Yes

**The James H. Quillen College of Medicine
Indicators of Success
For Tenure
DEPARTMENT OF OB/GYN**

Category	Evaluation Standard	<p style="text-align: center;">Criteria <i>No candidate would be expected to meet all of the criteria listed, but generally would meet the majority</i></p>
Research	Good	<p>5 publications/chapters (1 to 2 as first author), half at ETSU</p> <p>5 presentations (without industry support) at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)</p>
Teaching	Good	<p>Peer review (including chair's review) leading to good to excellent ratings</p> <p>Recipient of teaching award—may be included but is not required</p> <p>Consistent student evaluations in the good to excellent category</p> <p>Instruction of at least 20 hours in residency seminars or medical student courses annually</p> <p>Ability to identify at least one "mentee" who identifies the individual as a major career influence</p> <p>Good to excellent ratings in CME program presentations.</p>
Service	Good	<p>Referrals from throughout the region (e.g., at least 1/5 of referrals from outside MEAC) maybe included but is not required.</p> <p>Development of a stable and busy clinical practice.</p> <p>Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces</p> <p>Board certification</p> <p>Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers</p> <p>Service to community boards, committees and task forces</p> <p>For primary care physicians: Establishment of solid clinical practice.</p>

<p align="center">James H. Quillen College of Medicine Indicators of Success For Promotion to the Rank of Professor DEPARTMENT OF OB/GYN</p>			
Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criterion listed, but would meet the majority.</i>
<p>Research/ Scholarly</p> <p><i>The candidate's academic record should provide clear evidence of national/international recognition as an expert in his/her field. Publications and external funding should be absolute requirements.</i></p>	50-80%	Excellent	<ul style="list-style-type: none"> • Publication of >5 book chapters • ≥50 publications in peer-refereed journals. However, the quality of publications should be a critical determinant for a Professor, <i>i.e.</i> fewer publications in high impact, premier journals are preferable to more publications in second/third tier journals. Departments are encouraged to develop journal impact publication criteria using Science Citations ratings. • PI on 1 major grant at time of promotion, and history of continuous funding. (Not including R15s, 1 year development grants, or seed money). • >50 presentations at national/international meetings (including residency and post-doctoral period) • Active reviewer for ≥ 2 journals, and/or member of national or federal peer review panel (NIH, VA, AHA, etc.) • 10 invited presentations to scientific meetings or other academic institutions • Evidence of research mentoring for residents or junior faculty
		Good	N/A – It is unlikely that with an 50+ percent commitment to research, that other than an "excellent" evaluation would be acceptable. In the rare case that only a "good" rating is achieved, use the criteria for excellent under 20 percent time devoted.
	≤20% <i>(If <20% , use criteria for Good only)</i>	Excellent	<ul style="list-style-type: none"> • 15 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU • Co-investigator on a major grant (at least 10% effort) • Citations Index–list candidate's articles used in major publications • 20 presentations (including residency and post-doctoral period) • Evidence of research mentoring for residents and junior faculty
		Good	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

James H. Quillen College of Medicine Indicators of Success For Promotion to the Rank of Professor DEPARTMENT OF OB/GYN			
Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criterion listed, but would meet the majority.</i>
Teaching	N/A	Excellent	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in excellent category • Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director) • Successful direction of a residency training program, clerkship program, or graduate program - may be included but is not required • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development • Ability to identify at least 10 "mentees" who identify individual as a major career influence • Consistent excellent evaluations for teaching/ presentations outside the COM. • Evidence of national involvement in curriculum design or teaching evaluation (supported by letters from national organizations) • Development of well attended and highly rated CME programs - may be included but is not required. • Consistent excellent ratings at continuing education program presentations.
		•Good	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to good to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in the good to excellent category • Instruction of at least 20 hours in residency seminars or medical student courses annually • Ability to identify at least one "mentee" who identifies the individual as a major career influence • Good to excellent evaluations at CME conferences.

**The James H. Quillen College of Medicine
Indicators of Success
For Promotion to the Rank of Associate Professor
DEPARTMENT OF OB/GYN**

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidate would be expected to meet all of the criteria listed, but generally would meet the majority</i>
<p>Research/ Scholarly</p> <p><i>Gives evidence of emerging national recognition as an expert in his/her field.</i></p>	50-80%	Excellent	<ul style="list-style-type: none"> • Publication of 5 book chapters or other non paired reviewed publication • 15 publications in peer-refereed journals (~ ½ as first or last author), half of which should be based on research conducted at ETSU. Quality of publications should be also weighed (i.e. fewer publications in high impact journals preferable than many in second or third tier journals). • At least 2 funded external grants • 10 -20 presentations at national/international meetings (including residency and post-doctoral period) • Reviewer in 2 journals • 5 invited presentations to scientific meetings or other academic institutions • Mentor for 3 or more residents in their research projects or other equivalent research mentoring activity.
		Good	<p>N/A – It is unlikely that with an 50+ percent commitment to research, that other than an "excellent" evaluation would be acceptable. In the rare case that only a "good" rating is achieved, use the criteria for excellent under 20 percent time devoted.</p>
	<p>≤20%</p> <p><i>(If < 20 %, use criteria for Good)</i></p>	Excellent	<ul style="list-style-type: none"> • 8 to 10 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU. Three non-peer reviewed "publications" may be equivalent to one peer reviewed publication. • Co-investigator on a major grant - may be included but is not required • Citations index—list candidate's articles used in major publications - may be included but is not required • 3 to 5 invited presentations (without industry support) and/or 8-10 presentations (including residency and post-doctoral period). • Evidence of research mentoring activity in the department.
		•Good	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations (without industry support) at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

**The James H. Quillen College of Medicine
Indicators of Success
For Promotion to the Rank of Associate Professor
DEPARTMENT OF OB/GYN**

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidate would be expected to meet all of the criteria listed, but generally would meet the majority</i>
Teaching	N/A	Excellent	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in excellent category • Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director) • Successful direction of a residency training program, clerkship program, or graduate program -- may be included but is not required • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development • At least 8 "mentees" who identify individual as a major career influence • Successful direction of residency training program, clerkship program or graduate program maybe included but is not required • Teaching outside the department • The development of well attended high rated CME programs - maybe included but is not required. • Beginning evidence of national involvement in medical student or graduate medical education • Consistent excellent ratings in CME program presentations.
		•Good	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to good to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in the good to excellent category • Instruction of at least 20 hours in residency seminars or medical student courses annually • Ability to identify at least one "mentee" who identifies the individual as a major career influence • Good to excellent ratings in CME program presentations.

**The James H. Quillen College of Medicine
Indicators of Success
For Promotion to the Rank of Associate Professor
DEPARTMENT OF OB/GYN**

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidate would be expected to meet all of the criteria listed, but generally would meet the majority</i>
Service	80%	Excellent	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) maybe included but is not required • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC) maybe included but is not required • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces • Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure • Current board certification • Service as a board examiner or participation in development of written board examinations maybe included but is not required • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service on regional or national scientific review boards or journal editorial boards maybe included but is not required • For primary care physicians: Establishment of successful clinical practice. • Presentation of lay educational programs including but not limited to the print media, electronic media, radio or television, or seminars. • Service to community boards, committees and task forces. • Service as a Journal reviewer
		Good	<ul style="list-style-type: none"> • Referrals from throughout the region (e.g., at least 1/5 of referrals from outside MEAC) maybe included but is not required. • Development of a stable and busy clinical practice. • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces • Board certification • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service to community boards, committees and task forces • For primary care physicians: Establishment of solid clinical practice.

<p align="center">James H. Quillen College of Medicine Indicators of Success For Promotion to the Rank of Professor DEPARTMENT OF OB/GYN</p>			
Category	Percent Time Devoted	Evaluation Standard	Criteria <i>Candidates would not be expected to meet all of the criterion listed, but would meet the majority.</i>
Service	80%	Excellent	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) • Referrals from beyond immediate region: statewide and/or national • Service in national or regional professional organizations, regulatory bodies, College of Medicine, and/or University committees/boards/task forces • Current board certification (including re-certification if applicable) • Service as a board examiner, or participation in the development of board examinations • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service on national or federal scientific review boards or journal editorial boards • Establishment of a stable, reliable clinical practice. • Service to community boards or lay educational endeavors including seminars and media events.
		Good	<ul style="list-style-type: none"> • Referrals from throughout the region • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces • Board certification • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers • For primary care physicians: Establishment of a solid clinical practice. • Service to community boards, committees, task forces or media.

Department of Pathology Guidelines
Indicators of Success
For Promotion to the Rank of Professor

Research/Scholarly

Research greater than 50%

Excellent	<p>Publication of 5 or more book chapters</p> <p>≥ 40 publications in peer-refereed journals. However, the quality of publications should be a critical determinant for a Professor, i.e. fewer publications in high impact, premier journals are preferable to more publications in second/third tier journals.</p> <p>PI on 1 major grant at time of promotion, and history of continuous funding. (Not including R15s, 1 year development grants, or seed money).</p> <p>≥ 25 presentations at national/international meetings (including residency and post-doctoral period)</p> <p>Active reviewer for > 2 journals, and/or member of national or federal peer review panel (NIH, VA, AHA, etc.)</p> <p>10 invited presentations to scientific meetings or other academic institutions</p>
Good	<p>N/A - It is unlikely that with a 50+ percent commitment to research, that other than an "excellent" evaluation would be acceptable. In the rare case that only a "good" rating is achieved, use the criteria for excellent under 20 percent time devoted.</p>

Research less than 50%

Excellent	<p>15 publications, including peer-reviewed journals and/or chapters, half as first author or senior author (generally discernible as the corresponding author), half at ETSU</p> <p>Co-investigator on a major grant (at least 10% effort)</p> <p>Citations index-list candidate's articles used in major publications</p> <p>15 presentations at national/international meetings (including residency and post-doctoral period)</p>
Good	<p>5 publications/chapters (1 or 2 as first author), half at ETSU</p> <p>5 presentations at regional/national/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)</p>

Department of Pathology Guidelines
Indicators of Success
For Promotion to the Rank of Professor

Teaching

Excellent

Peer review (including chair' s review) leading to excellent ratings

Recipient of teaching award may be included but is not required

Consistent student evaluations in excellent category

Coordination of significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (-30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director)

Successful direction of a residency training program, clerkship program, or graduate program

Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development

Ability to identify 5 "mentees" (these should be physicians who went into the candidate' s field) who cite the candidate as a major career influence

Evidence of national involvement in curriculum design or teaching evaluation (supported by letters from national organizations)

Development of well attended and highly rated CME programs.

Consistent excellent ratings at continuing education program presentations

Good

Peer review (including chair' s review) leading to good to excellent ratings •

Recipient of teaching award-may be included but is not required • Consistent student evaluations in the good to excellent category

Instruction of at least 20 hours in residency seminars or medical student courses annually

Ability to identify at least two "mentees" (these should be physicians who went into the candidate's field) who cite the candidate as a major career influence

Good to excellent evaluations at CME conferences

Department of Pathology Guidelines
Indicators of Success
For Promotion to the Rank of Professor

Service

Excellent

Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.)

Significant referrals from outside MEAC, statewide and/or national

Service in national or regional professional organizations, regulatory bodies, College of Medicine, and/or significant University committees/boards/task forces

Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure

Current board certification (including re-certification if applicable)

Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers

Service on national or federal scientific review boards or journal editorial boards

(Service as a board examiner would certainly count, but is of such small probability that it should not be included in the denominator as an achievable criterion)

Good

Referrals from throughout the region

Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces

Board certification

Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers

For primary care physicians: Establishment of a solid clinical practice

Service to community boards, committees and task forces

Department of Pathology Guidelines
Indicators of Success
For Promotion to the Rank of Associate Professor

Research/Scholarly

Research greater than 50%

- Excellent Publication of 3 or more book chapters
- 15 publications in peer-refereed journals (-1/2 as first or senior author, the latter generally-identifiable as the corresponding author). Quality of publications should also be weighed, (i.e. fewer publications in high impact, premier journals are preferable to more publications in second or third tier journals.)
- At least 2 funded, external grants; PI on 1 major, currently active grant
- 15 presentations at national/international meetings (including residency and post-doctoral period)
- Reviewer for 2 journals
- 5-invited presentations to scientific meetings or other academic institutions

Comment: For the candidate whose primary mission is establishing a research program, - the funding criterion above will be weighed more heavily than any other

- Good . N/A - It is unlikely that with a 50+ percent commitment to research, that other than an "excellent" evaluation would be acceptable. In the rare case that only a "good" rating is achieved, use the criteria for excellent under less than 50% percent time devoted (below).

Research less than 50%

- Excellent 8 to 10 publications, including peer-reviewed journals and/or chapters, half as first author or senior author (the latter generally identifiable as the corresponding author), half at ETSU
- Co-investigator on a major grant
- Citations index-list candidate's articles used in major publications
- 3 to 5 invited presentations to scientific meetings or other academic institutions and/or 8-10 presentations at national/international meetings (including residency and post-doctoral period)
- Good 5 publications/chapters (2 as first or senior author), half at ETSU
- 5 presentations at regional/national/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Department of Pathology Guidelines
Indicators of Success
For Promotion to the Rank of Associate Professor

Teaching

- Excellent
- Peer review (including chair's review) leading to excellent ratings
 - Recipient of teaching award-may be included but is not required
 - Consistent student evaluations in excellent category
 - Coordination of significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (-30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director)
 - Successful direction of a residency training program, clerkship program, or graduate program
 - Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development
 - Ability to identify 3 "mentees" (these should be physicians or Ph.D.'s who went into the candidate's field) who cite the candidate as a major career influence
 - Presentations outside the COM about the candidate's teaching or teaching outside the institution
 - Beginning evidence of national involvement in curriculum design or teaching evaluation
 - Development of well attended and highly rated CME programs.
 - Consistent excellent ratings at continuing education program presentations
- Good
- Peer review (including chair's review) leading to good to excellent ratings
 - Recipient of teaching award-may be included but is not required
 - Consistent student evaluations in the good to excellent category
 - Instruction of at least 20 hours in residency seminars or medical student courses annually
 - Ability to identify at least one "mentee" (these should be physicians or Ph.D.'s who went into the candidate's field) who cite the candidate as a major career influence
 - Good to excellent evaluations at CME conferences

Department of Pathology Guidelines
Indicators of Success
For Promotion to the Rank of Associate Professor

Service

Excellent Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.)

Significant referrals from outside MEAC, statewide and/or national

Service in national or regional professional organizations, regulatory bodies, College of Medicine, and/or significant University committees/boards/task forces

Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure

Current board certification (including re-certification if applicable)

Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers

Service on regional or national scientific review boards or journal editorial boards

(Service as a board examiner would certainly count, but is of such small probability that it should not be included in the denominator as an achievable criterion)

Good Referrals from throughout the region

Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces

Board certification

Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers

Service to community boards, committees and task forces

Policy describing mid-probationary period review for tenure, Department of Pathology

At the mid-point of the probationary period for a tenure track faculty member (3 years after appointment to the faculty for the usual 6 year probationary period), the chair will:

- 1.) Request an updated CV from the faculty member and review the expectations that were outlined for that faculty member in the letter of offer. Also the chair will review the FAP, FAR, FAE's.
- 2.) Request that the tenured faculty in the department meet formally to review the same documents. The tenured faculty will provide recommendations to the chair specifically indicating whether adequate progress is being made toward the awarding of tenure, and any other aspects of the faculty member's situation that they think worth addressing.
- 3.) Meet with the faculty member to clarify or present elements of the faculty member's portfolio that (s)he would like to emphasize or to be certain that the chair is aware of any mitigating factors with regard to specified expectations.
- 4.) The chair will consider the feasibility of the expectations that were given the faculty member in the light of 3 years actual experience, and the chair will consider the contributions and achievements of the faculty member in creating a written evaluation of the faculty member. The written evaluation may include an adjustment of expectations, a summary of pertinent accomplishments and/or deficiencies in progress toward tenure, and it must include a statement as to whether the progress towards being awarded tenure is considered satisfactory or not. If not, specific recommendations to improve the prospects of being awarded tenure must be made.
- 5.) The written mid-probationary period tenure review will be sent to the Dean, with copies of the review being given to the faculty member and also retained in the departmental file for that faculty member. The document will be used as indicated in FAP's of the faculty member going forward.



East Tennessee State University
 Quillen College of Medicine
 Department of Pathology

The faculty of each department has adapted this generic set of criteria to establish appropriate standards specific to the department's distinct disciplines. Faculty members within each department are judged on the basis of those departmental criteria.

Minimum Criteria for the Awarding of Tenure			
In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:			
Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i>
Research/Scholarly Activity <i>Gives evidence of emerging national recognition as an expert in his/her field. Departments should develop criteria for the majority such as 6 of 9.</i>	50% - 80%	Excellent	<ul style="list-style-type: none"> • Publication of 5 book chapters. • 15 publications in peer-refereed journals (~ 1/2 as first author), half of which should be based on research conducted at ETSU. Quality of publications should be also weighed (i.e. fewer publications in high impact journals preferable than many in second or third tier journals). Departments are encouraged to develop criteria for journal impact using Science Citations. • At least 2 funded external grants; PI on 1 major, currently active grant. • 15-20 presentations at national/international meetings (including residency and postdoctoral period). • Reviewer in 2 journals. • 5 invited presentations to scientific meetings or other academic institutions.
		Good	N/A – It is unlikely that with a >50% commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% time devoted.

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i>
	20% - 50%	Excellent	<ul style="list-style-type: none"> • 8 to 10 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU • Co-investigator on a major grant • Citations index--list candidate's articles used in major publications • 3 to 5 invited presentations and/or 8-10 presentations (including residency and postdoctoral period)
		Good	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i>
<p>Teaching</p> <p><i>Departments should develop criteria for the majority, such as 6 of 9. Departments are encouraged to develop ratings for teaching for all trainees (medical students, residents, grad. students, etc.)</i></p>	<p>N/A</p> <p>It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/scholarly activity and service.</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to excellent ratings. • Recipient of teaching award—may be included but is not required. • Consistent student evaluations in excellent category. • Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (may include but not require serving as course director or program director). • Successful direction of a residency training program, clerkship program, or graduate program. • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development. • Ability to identify at least 15 "mentees" who identify individual as a major career influence. • Presentations outside the COM about candidate's teaching or teaching outside the institution. • Beginning evidence of national involvement in curriculum design or teaching evaluation. • Development of well attended and highly rated CME programs. • Consistent excellent ratings in CME program presentations. • Evidence of scholarly activity.

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i>
		Good	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to good to excellent ratings • Recipient of teaching award—may be included but is not required • Consistent student evaluations in the good to excellent category • Instruction of at least 20 hours in residency seminars or medical student courses annually • Ability to identify at least one "mentee" who identifies the individual as a major career influence • Good to excellent ratings in CME program presentations.

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria <i>No candidates would be expected to meet all of the criteria listed, but generally would meet the majority.</i>
Service <i>Department should develop criteria for majority such as 6 of 9.</i>	<80%	Excellent	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.). • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC). • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces. • Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure. • Current board certification. • Service as a board examiner or participation in development of written board examinations. • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers. • Service on regional or national scientific review boards or journal editorial boards. • For primary care physicians: Establishment of successful clinical practice.
		Good	<ul style="list-style-type: none"> • Referrals from throughout the region (e.g., at least 1/5 of referrals from outside MEAC) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces. • Board certification. • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers. • Service to community boards, committees and task forces. • For primary care physicians: Establishment of solid clinical practice.

Summary of Faculty Tracks

Track	Tenure Eligible	Eligible for Conversion to Tenure Track	Promotion Criteria	Full-time Appointment	Fixed Term	Renewable/Extendable	FAP/FAR/FAE Required	Benefits			
								Full	CPA	Tuition	Library
Tenure	N/A	N/A	Full Academic	Yes	N/A	N/A	Yes	Yes	Yes	Yes	Yes
Tenure Track	Yes	N/A	Full Academic	Yes	7 years max	Years 1-6	Yes	Yes	Yes	Yes	Yes
Clinical Track	No	Yes	Modified Academic	Yes	1-3 years	Extended annually for an additional year	Yes	Yes	Yes	Yes	Yes
Research Track	No	Yes	Modified Academic	Yes	1-3 years	Extended annually for an additional year	Yes	Yes	Yes	Yes	Yes
VA Academic Track	No	No	Modified Academic	No (8/8 VA)	Yearly	Yes	Yes	No	Yes	Yes	Yes
Clinical/Volunteer	No	No	Volunteer/Clinical	No	Yearly	Yes	No	No	No	No	Yes
VA Volunteer	No	No	Volunteer/Clinical	No	Yearly	Yes	No	No	No	No	Yes
Adjunct	No	No	N/A	No	1-2 years	Yes	No	No	No	No	Yes

DEPARTMENT OF PEDIATRICS PROMOTION/TENURE GUIDELINES
REVISED – AUGUST 9, 2012

1. The department guidelines/criteria for promotion and tenure must meet or exceed College of Medicine guidelines which represent the minimum standards for all faculty in the College of Medicine. ETSU Promotion and Tenure Committee will consider department criteria as binding for faculty going up for promotion if these criteria meet the minimum standard of the college criteria overall. The department criterion must be communicated to all faculty within the department.
2. Junior faculty on tenure track must have a pre-tenure review process 2 ½ - 3 years before applying for tenure. The Chair of the Department of Pediatrics will assign a tenured faculty to review the CV of junior faculty, their FAP/FAR/FAE reports regarding teaching, research and service and forward to the Chair a written critique addressing strengths and weaknesses of the proposed candidate. The Chair will then meet with the junior faculty to discuss this review and develop plans to address any weaknesses or deficiencies.
3. Candidates on clinical track who are eligible to convert to tenure track appointments will go through a pre-tenure review process before determining to stay in clinical track or proceed to tenure track.
4. To be considered for promotion on a non-tenure track, faculty will be judged in only two areas of teaching, service and research. They must be excellent in one area and good in a second area of concentration; no third area is required (criteria for promotion 1.0, 2.0).
5. To be considered for promotion in tenure track, a faculty must be judged in all three areas of teaching, service and research and be good in one area and excellent in the other two (criteria for promotion 1.0, 2.0).
6. Department of Pediatrics criteria for promotions are enclosed.
7. Faculty are eligible for promotion to Associate Professor after five years of academic rank as an Assistant Professor. These applicants will prepare their dossiers for submission September 15th of the beginning of their fifth year. Faculty are eligible for promotion to Professor after five years of academic rank as an Associate Professor and also prepare their dossier for submission September 15th of the beginning of their fifth year. All dossiers are due in the Chair's office by September 15th.
8. For details see the ETSU Faculty Handbook employment site and also find criteria for promotion at the Quillen College of Medicine website.

1.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF PROFESSOR			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/Scholarly Activity <i>The candidate's academic record should provide clear evidence of national/international recognition as an expert in his/her field. Publications and external funding should be absolute requirements.</i>	50% - 80%	Excellent (Need 4 Points)	<ul style="list-style-type: none"> • Publication of >5 book chapters (1 pt) • 50 publications in peer-refereed journals. However, the quality of publications should be a critical determinant for a Professor, i.e., fewer publications in high impact, premier journals are preferable to more publications in second/third tier journals (2 pt) • PI on 1 major grant at time of promotion, and history of continuous funding (2 pt) • >50 presentations at national/international meetings (including residency and post-doctoral period) (1 pt) • Active reviewer for ≥ 2 journals (1 pt) • Reviewer for granting agency (1 pt) • 10 invited presentations to scientific meetings or other academic institutions (1 pt)
		Good	N/A – It is unlikely that with a >50% commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% - 50% time devoted.

1.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF PROFESSOR		
Category	Percent Time Devoted	Criteria
Research/ Scholarly Activity	20% - 50%	<p>Evaluation Standard Excellent (Need 2 Points)</p> <ul style="list-style-type: none"> • 15 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU (2 pt) • Co-investigator on a major grant (2 pt) • Citations index-list candidate's articles used in major publications (1 pt) • 20 presentations at scientific meetings or academic institutions (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU (1 pt)
		<p>Excellent (Need 1 Point)</p> <ul style="list-style-type: none"> • 5 presentations at scientific meetings or academic institutions (1 pt) • 5 publications/chapters (1 to 2 as first author), half at ETSU (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 5 presentations at scientific meetings or academic institutions (1 pt) • 3 publications/chapters, half at ETSU (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 3 presentations at scientific meetings or academic institutions (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 3 presentations at scientific meetings or academic institutions (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 3 presentations at scientific meetings or academic institutions (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 3 presentations at scientific meetings or academic institutions (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 3 presentations at scientific meetings or academic institutions (1 pt)
		<p>Good (Need 1 Point)</p> <ul style="list-style-type: none"> • 3 presentations at scientific meetings or academic institutions (1 pt)

1.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF PROFESSOR			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Teaching	N/A** **It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/scholarly activity and service.	Excellent (Need 6 points)	<ul style="list-style-type: none"> • Peer review (including chair’s review), majority excellent (1 pt) • Recipient of teaching award-since Associate Professor (1 pt) • Consistent student evaluations in excellent category (1 pt) • Coordination or significant participation in a medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (1 pt) • Successful direction of a residency training program, clerkship program, or graduate program (2 pt) • Active participation in curriculum planning at department or medical school level (1 pt) • Ability to identify at least 15 “mentees” who identify individual as a major career influence (1 pt) • Consistent excellent evaluations for teaching/presentations outside the COM (1 pt) • Evidence of national involvement in curriculum design or teaching evaluation (supported by letters from national organizations) (1 pt) • Development of well attended and highly rated CME program (1 pt) • Consistent excellent ratings at continuing education program presentations (1 pt) • Proctor for graduate/postgraduate student (1 pt)

1.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF PROFESSOR

Category	Percent Time Devoted	Evaluation Standard	Criteria
Teaching		Good (Need 3 Points)	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to good ratings (1 pt) • Recipient of teaching award (1 pt) • Consistent student evaluations in the good category (1 pt) • Instruction of at least 20 hours in residency seminars or medical student courses annually (1 pt) • Ability to identify at least one "mentee" who identifies the individual as a major career influence (1 pt) • Good to excellent evaluations in CME program presentations (1 pt)

1.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF PROFESSOR

Category	Percent Time Devoted	Evaluation Standard	Criteria
Service	≤80%	Excellent (Need 5 Points)	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) (2 pt) • Regional referrals (e.g., at least 1/3 of referrals from outside MEAC) (1 pt) • Service in national or regional professional organizations, regulatory bodies, College of Medicine and/or University committee/boards/task forces (1 pt) • Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure (1 pt) • Current board certification (including re-certification if applicable) 2 pt) • Service as a board examiner, or participation in the development of board examinations (1 pt) • Offering a unique clinical specialty or laboratory service for the region as evidenced by support letters from colleagues/peers (1 pt) • Service on national or federal scientific review boards or journal editorial boards (pt) • For physicians: Establishment of successful clinical practice (1 pt) • Chair's and immediate supervisor's annual evaluation documenting excellence in clinical service (1 pt)

1.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF PROFESSOR			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Service	≤80%	Good (Need 3 Points)	<ul style="list-style-type: none"> • Local referrals (1 pt) • Service in national or regional professional organizations or College of Medicine, and/or University committees/boards/task forces (1 pt) • Board certification (including recertification if applicable) (2 pt) • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers (1 pt) • For physicians: Establishment of a successful clinical practice (1 pt) • Service to community boards, committees or task forces (1 pt) • Chair's and immediate supervisor's annual evaluation showing good to excellent ratings (1 pt)

<http://qcom.etsu.edu/FacultyStaff/MCProfessor.pdf>

2.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/Scholarly Activity <i>Gives evidence of emerging national recognition as an expert in his/her field.</i>	50% - 80%	Excellent (Need 4 Points)	<ul style="list-style-type: none"> • Publication of 5 book chapters (1 pt) • 15 publications in peer-refereed journals, half of which should be based on research conducted at ETSU (2 pt) • At least 2 funded external grants; PI on 1 major, currently active grant (2 pt) • 15-20 presentations at national/international meetings (including residency and post-doctoral period) (1 pt) • Reviewer in journal (1 pt) • Reviewer for granting agency (1 pt) • 5 invited presentations to scientific meetings or other academic institutions (1 pt)
		Good	N/A – It is unlikely that with a 50+ percent commitment to research, that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% time devoted.

2.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR

Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/Scholarly Activity	20% - 50%	Excellent (Need 2 Points)	<ul style="list-style-type: none"> • 8 to 10 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU (2 pt) • Co-investigator on a major grant (2 pt) • Citations index-list candidate's articles used in major publications (1 pt)
		Good (Need 1 Point)	<ul style="list-style-type: none"> • 5 invited presentations at scientific meetings or academic institutions (1 pt) • 5 publications/chapters (1 to 2 as first author), half at ETSU (1 pt)
	<20%	Excellent (Need 1 Point)	<ul style="list-style-type: none"> • 5 presentations at scientific meetings or academic institutions (1 pt) • 5 publications/chapters (1 to 2 as first author), half at ETSU (1 pt)
		Good (Need 1 Point)	<ul style="list-style-type: none"> • 5 presentations at scientific meetings or academic institutions (1 pt) • 3 publications/chapters, half at ETSU (1 pt) • 3 presentations at scientific meetings or academic institutions (1 pt)

2.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR

Category	Percent Time Devoted	Evaluation Standard	Criteria
Teaching	<p>N/A**</p> <p>**It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching allowing time for achievements in research/scholarly activity and service.</p>	<p>Excellent (Need 6 Points)</p>	<ul style="list-style-type: none"> • Peer review (including chair's review), majority excellent ratings (1 pt) • Recipient of teaching award (1 pt) • Consistent student evaluations in excellent category (1 pt) • Coordination or significant participation in at least 1 medical school course or 2 residency seminars, and/or instruction of a significant number (~30 to 60 percent) of lectures in major course (1 pt) • Successful direction of a residency training program, clerkship program, or graduate program (2 pt) • Active participation in curriculum planning at department or medical school level (1 pt) • Ability to identify at least 15 "mentees" who identify individual as a major career influence (1 pt) • Teaching outside the COM (1 pt) • Beginning evidence of national involvement in curriculum design or teaching evaluation (1 pt) • Development of well attended and highly rated CME program (2 pt) • Consistent excellent ratings in CME program presentations (1 pt) • Proctor for graduate students (1 pt)

2.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Teaching		Good (Need 3 Points)	<ul style="list-style-type: none"> • Peer review (including chair's review), leading to good ratings (1 pt) • Recipient of teaching award (1 pt) • Consistent student evaluations in the good category (1 pt) • Instruction in residency seminars or medical student courses annually (1 pt) • Ability to identify at least one "mentee" who identifies the individual as a major career influence (1 pt) • Good ratings in CME program presentations (1 pt)

2.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR			
Category	Percent Time Devoted	Evaluation Standard	Criteria
Service	<80%	Excellent (Need 5 Points)	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.) (2 pt) • Regional referrals (e.g., at least 1/3 of referrals from outside MEAC) (1 pt) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces (1 pt) • Development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure (1 pt) • Current board certification or recertification, if applicable (2 pt) • Service as a board examiner or participation in development of written board examinations (1 pt) • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers (1 pt) • Service on regional or national scientific review boards or journal editorial boards (1 pt) • Development of satellite clinic activities (1 pt) • Demonstrated child advocacy and/or development of child-pertinent legislation (1 pt) • For physicians: establishment of a successful clinical practice (1 pt) • Chair's and immediate supervisor's annual evaluation documenting excellent in clinical service (1 pt)

2.0 DEPARTMENT OF PEDIATRICS CRITERIA FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR

Category	Percent Time Devoted	Evaluation Standard	Criteria
Service		Good (Need 3 Points)	<ul style="list-style-type: none"> • Local referrals (1 pt) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces (1 pt) • Board certification or recertification, if applicable (2 pt) • Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues/peers (1 pt) • Service to community boards, committees or task forces (1 pt) • For physicians: establishment of a successful clinical practice (1 pt) • Chair's and immediate supervisor's annual evaluation showing good to excellent ratings (1 pt)

Department of Psychiatry and Behavioral Sciences

Criteria for Promotion Modified Academic Faculty Track (Clinical Track and VA Academic) October 2004

In order to be eligible to apply, faculty member must meet these minimal criteria.

- Five (5) years at rank, with Board-certification (if physician).
- Two (2) of three (3) areas of concentration from the possible areas of teaching, service and research: one, excellent; one, good. (See attached for clarification of criteria in each area.)
- Documented academic activity at ETSU as reflected in FAP/FAR/FAE through the five-year period. This may be accomplished in many ways:

Examples of Minimal Scholarly Activity:

Publications

- > At least 2 publications preferably as 1st author or 2nd; greater number of publications if less role in authorship (e.g. 3rd or 4th author)

CME

- > At least 5 CME talks including departmental Grand Rounds, other departmental Grand Rounds, regional or national meetings
- > A published abstract at a state/regional/national/international meeting (as 1st or 2nd author)
- > Organizing a conference or symposium

Research

- > Conducting or active participation in at least one research project

Other Academic Activities

- > As negotiated in advance with Chair

Quality and quantity of work will be evaluated by the Committee upon application. These are guidelines; ultimately, the Promotion and Tenure Committee will make recommendations to the Chair regarding appropriateness of promotion based on the above guidelines. Progress toward goal will be evaluated annually in the FAP/FAR/FAE.

DEPARTMENT OF PSYCHIATRY AND BEHAVIORAL SCIENCES
PROMOTION CRITERIA FOR FACULTY WHO CARRY CLINICAL
RESPONSIBILITY

PROFESSOR

RESEARCH

50-80% EFFORT

A rating of excellent requires four or more of the following six criteria:

- Publication of 5+ book chapters
- Publication of 15+ manuscripts in peer-reviewed journals (~50% as first author, ~50% while employed at ETSU). Quality of publications will also be weighed in light of the quality of the journals in which publication occurs.
- Principal Investigator role in at least 1 funded external grant.
- 20+ presentations at regional / national/ international meetings (including residency and post-doctoral period)
- Journal reviewer or editorial board member for 2+ journals and/or member of a national or federal peer review panel (NIH, VA, AHA, etc.)
- 10 invited presentations to scientific meetings or other academic institutions

A rating of good is not available for this level of effort.

< 20% EFFORT

A rating of excellent requires two or more of the following three criteria:

- 10+ publications including book chapters and/or peer reviewed journals, (~50% as first author, ~50% while employed at ETSU).
- Co-investigator on a major grant (at least 10% effort, external funding not required).
- 15+ presentations (including residency and post-doctoral period)

A rating of good requires two or more of the following three criteria:

- 5+ publications including book chapters and/or peer reviewed journals, (at least 1 as first author, ~50% while employed at ETSU).
- 5+ presentations at regional / national / international meetings.
- Active collaboration or participation (not necessarily as an investigator) in grant-funded research.

TEACHING

A rating of excellent requires seven or more of the following twelve criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Consistent positive evaluations for clinical teaching (inpatient, outpatient, psychotherapy, mentoring).
- Leadership role, such as course director or CME director.
- Significant participation in at least one medical school course or residency seminar, and/or instruction of a significant number (7-10) lectures in a major course or program (may include but does not require acting as course or program director).
- Successful direction of a clerkship, residency, or graduate training program.
- Active participation in curriculum planning and evidence of being viewed as making significant contributions to curriculum development.
- Presentations outside the COM about the candidate's teaching or teaching outside the institution.
- Beginning evidence of national involvement in curriculum design or teaching evaluation.
- Development of well-attended and highly rated CME program.
- Consistent excellent ratings in CME presentations, including grand rounds.

A rating of good requires four of the following six criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Consistent positive evaluations for clinical teaching (inpatient, outpatient, psychotherapy, mentoring).
- Good to excellent ratings in CME presentations, including grand rounds.
- Ability to identify at least one [mentee] who identifies the individual as a major career influence.

SERVICE

The following criteria assume ~80% effort.

A rating of excellent requires six or more of the following nine criteria:

- Establishment of successful clinical practice.

- Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.)
- Service in national or regional professional organizations, COM and/or university committees / boards / task forces.
- Evidence of leadership (such as mentoring junior faculty, holding office or chairing regional or national professional or service organizations, ETSU or College of Medicine Committees or departmental task forces).
- Current board certification.
- Service to community or government organizations, agencies, boards, task forces, etc.
- Service as a board examiner or participation in development of written board examinations.
- Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues / peers.
- Other: including high level of referrals from outside MEAC; development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure; distinguished community service awards or nominations.

A rating of good requires:

- Establishment of a solid clinical practice.
- Current board certification.

Plus at least two of the following:

- Referrals from throughout the region (at least 20% of referrals from outside MEAC)
- Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues / peers.
- Service in national or regional professional organizations, COM and/or university committee/boards/task forces.
- Service to community or government organizations, agencies, boards, task forces, etc.

ASSOCIATE PROFESSOR

RESEARCH

50-80% EFFORT

A rating of excellent requires four or more of the following six criteria:

- Publication of 3+ book chapters
- Publication of 10+ manuscripts in peer-reviewed journals (~50% as first author, ~50% while employed at ETSU). Quality of publications will also be weighed in light of the quality of the journals in which publication occurs.
- Investigator role (e.g. PI or Co-PI) in at least 1 funded external grant.
- 10-15 presentations at regional / national/ international meetings (including residency and post-doctoral period)
- Journal reviewer or editorial board member
- 5 invited presentations to scientific meetings or other academic institutions

A rating of good is not available for this level of effort.

< 20% EFFORT

A rating of excellent requires two or more of the following three criteria:

- 5-7 publications including book chapters and/or peer reviewed journals, (~50% as first author, ~50% while employed at ETSU).
- Co-investigator on a major grant (external funding not required).
- 2-3 invited presentations and/or 5-7 other presentations (including residency and post-doctoral period)

A rating of good requires two or more of the following three criteria:

- 3-5 publications including book chapters and/or peer reviewed journals, (at least 1 as first author, ~50% while employed at ETSU).
- 3-5 presentations at regional / national / international meetings.
- Active collaboration or participation (not necessarily as an investigator) in grant-funded research.

TEACHING

A rating of excellent requires six or more of the following eleven criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Consistent positive evaluations for clinical teaching (inpatient, outpatient, psychotherapy, mentoring).
- Significant participation in at least one medical school course or residency seminar, and/or instruction of a significant number (7-10) lectures in a major course or program (may include but does not require acting as course or program director).
- Successful direction of a clerkship, residency, or graduate training program.

- Active participation in curriculum planning and evidence of being viewed as making significant contributions to curriculum development.
- Presentations outside the COM about the candidate's teaching or teaching outside the institution.
- Beginning evidence of national involvement in curriculum design or teaching evaluation.
- Development of well-attended and highly rated CME program.
- Consistent excellent ratings in CME presentations, including grand rounds.

A rating of good requires three of the following five criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Consistent positive evaluations for clinical teaching (inpatient, outpatient, psychotherapy, mentoring).
- Good to excellent ratings in CME presentations, including grand rounds.

SERVICE

The following criteria assume ~80% effort.

A rating of excellent requires five or more of the following eight criteria:

- Establishment of successful clinical practice.
- Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc.)
- Service in national or regional professional organizations, COM and/or university committees / boards / task forces.
- Current board certification.
- Service to community or government organizations, agencies, boards, task forces, etc.
- Service as a board examiner or participation in development of written board examinations.
- Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues / peers.
- Other: including high level of referrals from outside MEAC; development of a well-recognized practice parameter or algorithm for a particular diagnosis or procedure.

A rating of good requires:

- Establishment of a solid clinical practice.

- Current board certification.

Plus at least one of the following:

- Offering a valuable clinical specialty or service for the region as evidenced by support letters from colleagues / peers.
- Service to community or government organizations, agencies, boards, task forces, etc.

CRITERIA FOR PROFESSOR WITHOUT CLINICAL RESPONSIBILITY

RESEARCH

A rating of excellent requires four or more of the following seven criteria:

- Publication of 5+ book chapters
- Publication of 15+ manuscripts in peer-reviewed journals (~50% as first author, ~50% while employed at ETSU). Quality of publications will also be weighed in light of the quality of the journals in which publication occurs.
- Principal Investigator role in at least 1 funded external grant.
- 20+ presentations at regional / national/ international meetings (including post-doctoral period)
- Journal reviewer or editorial board member for 2+ journals and/or member of a national or federal peer review panel (NIH, VA, AHA, etc.)
- 10 invited presentations to scientific meetings or other academic institutions
- Award of a patent

A rating of good is not available for this category of faculty.

TEACHING

A rating of excellent requires seven or more of the following thirteen criteria:

- Peer review (including chair[s] review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Leadership role, such as course director or CME director.
- Significant participation in at least one medical school course or residency seminar, and/or instruction of a significant number (7-10) lectures in a major course or program (may include but does not require acting as course or program director).
- Successful participation in graduate student education (e.g. thesis advisor, course director, research mentor).

- Significant participation in individualized teaching (e.g. McNair program, advisor for medical students or residents).
- Active participation in curriculum planning and evidence of being viewed as making significant contributions to curriculum development.
- Presentations outside the COM about the candidate's teaching or teaching outside the institution.
- Beginning evidence of national involvement in curriculum design or teaching evaluation.
- Development of well-attended and highly rated CME program.
- Consistent excellent ratings in CME presentations, including grand rounds
- Contribution to faculty development (e.g. teaching research skills to clinical faculty)

A rating of good requires four of the following six criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Good to excellent ratings in CME presentations, including but not limited to grand rounds.
- Ability to identify at least one [mentee] who identifies the individual as a major career influence.
- Contribution to faculty development (e.g. teaching research skills to clinical faculty)

SERVICE

A rating of excellent requires three or more of the following five criteria:

- Successful direction of a service laboratory (including but not limited to research services to other investigators)
- Consultation to a major clinical program or private industrial organization (clinic, hospital service, laboratory, pharmaceutical or medical device company, etc.)
- Service in national or regional professional organizations
- Service in COM and/or university committees / boards / task forces.
- Service to community or government organizations, agencies, boards, task forces, etc.

A rating of good requires two or more of the preceding five criteria.

CRITERIA FOR ASSOCIATE PROFESSOR WITHOUT CLINICAL RESPONSIBILITY

RESEARCH

A rating of excellent requires four or more of the following seven criteria:

- Publication of 3+ book chapters
- Publication of 10+ manuscripts in peer-reviewed journals (~50% as first author, ~50% while employed at ETSU). Quality of publications will also be weighed in light of the quality of the journals in which publication occurs.
- Investigator role (PI or Co-PI) in at least 1 funded external grant.
- 10-15 presentations at regional/ national/ international meetings (including post-doctoral period)
- Journal reviewer or editorial board member and/or member of a national or federal peer review panel (NIH, VA, AHA, etc.)
- 5 invited presentations to scientific meetings or other academic institutions
- Award of a patent

A rating of good is not available for this category of faculty.

TEACHING

A rating of excellent requires seven or more of the following twelve criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Leadership role, such as course director or CME director.
- Significant participation in at least one medical school course or residency seminar, and/or instruction of a significant number (7-10) lectures in a major course or program (may include but does not require acting as course or program director).
- Successful participation in graduate student education (e.g. thesis advisor, course director, research mentor)
- Active participation in curriculum planning and evidence of being viewed as making significant contributions to curriculum development.
- Presentations outside the COM about the candidate's teaching or teaching outside the institution.
- Beginning evidence of national involvement in curriculum design or teaching evaluation.
- Development of well-attended and highly rated CME program.
- Consistent excellent ratings in CME presentations, including grand rounds
- Contribution to faculty development (e.g. teaching research skills to clinical faculty)

A rating of good requires four of the following six criteria:

- Peer review (including chair's review) leading to excellent ratings.
- Recipient of teaching award.
- Consistent student evaluations in the excellent category.
- Good to excellent ratings in CME presentations, including but not limited to grand rounds.
- Ability to identify at least one "mentee" who identifies the individual as a major career influence.
- Contribution to faculty development (e.g. teaching research skills to clinical faculty)

SERVICE

A rating of excellent requires three or more of the following five criteria:

- Successful direction of a service laboratory (including but not limited to research services to other investigators)
- Consultation to a major clinical program or private industrial organization (clinic, hospital service, laboratory, pharmaceutical or medical device company, etc.)
- Service in national or regional professional organizations
- Service in COM and/or university committees / boards / task forces.
- Service to community or government organizations, agencies, boards, task forces, etc.

A rating of good requires two or more of the preceding five criteria.

DEPARTMENT OF PSYCHIATRY AND BEHAVIORAL SCIENCES

DEPARTMENTAL CRITERIA FACULTY TENURE RECOMMENDATIONS

1. Candidates for tenure must be appointed in a tenure-track position and must have been in that track for the requisite probationary period, as defined by the general Board of Regents policy on academic tenure; including credit toward completion of the probationary period for the prior relevant service
2. Candidates for tenure must have achieved a terminal professional degree in their discipline.
3. Candidates for tenure in clinically-responsible positions must be licensed in their profession.
4. Physician candidates for tenure in clinically-responsible positions must be board-certified by an appropriate board of the American Board of Medical Specialties.
5. Unless the candidate's job description as contained in their Faculty Activity Plan does not include teaching, candidates for tenure must demonstrate excellence in teaching and related academic/instructional assignments. This may be demonstrated by clear evidence supporting the candidate's command of the subject matter, ability to organize and present material in a logical and meaningful way, and ability to generate and sustain motivation and learning in students.
6. Candidates for tenure must have demonstrated capacity for valuable and sustained contribution to the current and expected future programs of the department. This may be evaluated with reference to accomplishments and potential in one or more general areas including:
 - (a) research, scholarly, and creative activity
 - (b) professional service consistent with the staffing needs of the department as determined by factors such as enrollment patterns, program or curriculum changes, and prospective retirements and resignations
 - (c) activities, membership, and leadership in professional organizations
7. Candidates for tenure must demonstrate honesty, integrity, and conduct consistent with a high standard of professionalism. This includes but is not limited to willingness and ability to work effectively with colleagues, staff, community, and service recipients to support the mission and common goals of the department and the College of Medicine.

**East Tennessee State University
Quillen College of Medicine
Department of Surgery**

Criteria	Assistant Clinical Professor	Associate Clinical Professor	Clinical Professor
Minimum Criteria	<ul style="list-style-type: none"> • Completion of post-graduate training • Independent clinical licensure • Willingness to provide clinical teaching for medical student or resident education or documented service to the department • Acceptable clinical teaching 	Criteria for Assistant Clinical Professor	Criteria for Associate Professor
Added criteria (2 or more)	N/A	<ul style="list-style-type: none"> • Good to excellent evaluations by student/resident trainees • 4 years as an Assistant Professor 	<ul style="list-style-type: none"> • Senior local leadership/contribution to profession/department • 4 years as an Associate Professor
Minimum Criteria for Promotion for Volunteer/Clinical Track Appointments			

Review Process: Requests for promotion in rank are considered by the Chair of the Department. If approved by the Chair, the request is forwarded to the Dean of Medicine for review and final approval.

**East Tennessee State University
Quillen College of Medicine
Department of Surgery**

Minimum Criteria for Promotion to the Rank of Associate Professor			
Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Research/ Scholarly Activity</p> <p><i>Department requires 3 of the 5 criteria to meet the standard of excellent</i></p>	<p>50%-80%</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • 15 publications in peer-refereed journals (~1/2 as first author), half of which should be based on research conducted at ETSU. Quality of publications should also be weighed (i.e. fewer publications in high impact journals preferable than many in second or third tier journals). Departments are encouraged to develop criteria for journal impact using <u>Science Citations</u>. • At least 2 funded external grants; PI on 1 major, currently active grant. • 15-20 presentations at national/international meetings (including residency and post-doctoral period) • Reviewer in 2 journals • 5 invited presentations to scientific meetings or other academic institutions
		<p>Good</p>	<p>N/A – It is unlikely that with a 50+ percent commitment to research that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20 percent time devoted.</p>

Minimum Criteria for Promotion to the Rank of Associate Professor

Category	Percent Time Devoted	Evaluation Standard	Criteria
	20%-50%	Excellent	<ul style="list-style-type: none"> • 8 to 10 publications, including peer-reviewed journals and/or capters, half as first author, half at ETSU • Co-investigator/investigator on a major grant • 3 to 5 invited presentations and/or 8-10 presentations (including residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/national meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/national meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Minimum Criteria for Promotion to the Rank of Associate Professor

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Teaching</p> <p><i>Department requires meeting 7 of the 12 criteria for the standard of excellent</i></p>	<p>N/A*</p> <p><i>*It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching, allowing time for achievements in research/scholarly activity and service.</i></p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to excellent ratings • Recipient of teaching award—may be included but is not required (student and resident) • Consistent student evaluations in excellent category • Consistent resident evaluations in excellent category • Coordination or significant participation in student and/or resident lecture series. • Successful direction of a residency training program, clerkship program, or graduate program. • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development • Presentation outside the COM about candidate's teaching or teaching outside the institution • Beginning evidence of national involvement in curriculum design or teaching evaluation • Presentations at Grand Rounds • Consistent excellent ratings in CME program presentations. • Evidence of scholarly activity in education • Consistent participation in M&M conference

Minimum Criteria for Promotion to the Rank of Associate Professor

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p><i>Department requires 4 of the 12 criteria to meet the standard of good.</i></p>		<p>Good</p>	<ul style="list-style-type: none"> • Same criteria listed as excellent in teaching.

Minimum Criteria for Promotion to the Rank of Associate Professor

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Service</p> <p><i>Department requires meeting 5 of the 9 criteria for the standard of excellent</i></p>	<p><80%</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc. • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces • Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure • Current board certification • Service as a board examiner or participation in development of written board examinations • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service on regional or national scientific review boards or journal editorial boards • Surgical division chief

Minimum Criteria for Promotion to the Rank of Associate Professor

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p><i>Department requires meeting 4 of the 9 criteria to meet the standard of good.</i></p>		<p align="center">Good</p>	<ul style="list-style-type: none"> • Same criteria as listed as excellent in service.

**East Tennessee State University
Quillen College of Medicine
Department of Surgery**

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
Research/ Scholarly Activity	50%-80%	Excellent	<ul style="list-style-type: none"> • Publications of >5 book chapters • ≥ 50 publications in peer-refereed journals. However, the quality of publications should be a critical determinant for a Professor, <i>i.e.</i> fewer publications in high impact, premier journals are preferable to more publications in second/third tier journals. Departments are encouraged to develop journal impact publication criteria using <u>Science Citations</u> ratings. • PI on 1 major grant at time of promotion, and history of continuous funding. (Not including R15s, 1 year development grants, or seed money). • >50 presentations at national/international meetings (including residency and post-doctoral period) • Active reviewer for ≥ 2 journals, and/or member of national or federal peer review panel (NIH,VA,AHA, etc.) • 10 invited presentations to scientific meetings or other academic institutions
		Good	N/A – It is unlikely that with a >50% commitment to research that other than an “excellent” evaluation would be acceptable. In the rare case that only a “good” rating is achieved, use the criteria for excellent under 20% time devoted.

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
	20%-50%	Excellent	<ul style="list-style-type: none"> • 15 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU • Co-investigator on a major grant (at least 10% effort) • 20 presentations (including residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • 5 publications/chapter (1 to 2 as first author), half at ETSU • 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period) • Recommendation(s) outside ETSU attesting to state/national reputation as an academic surgeon

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Teaching</p> <p><i>Department requires 7 of the 14 criteria to meet the standard of excellent</i></p>	<p>N/A*</p> <p><i>*It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching, allowing time for achievements in research/scholarly activity and service.</i></p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to excellent ratings • Recipient of teaching award---may be included but is not required (student and resident) • Consistent student evaluations in excellent category • Consistent resident evaluations in excellent category • Coordination or significant participation in student and/or resident lectures • Successful direction of a residency training program, clerkship program, or graduate program • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development • Ability to identify at least 15 "mentees" who identify individual as a major career influence • Consistent excellent evaluations for teaching/presentations outside the COM. • Evidence of national involvement in curriculum design or teaching evaluation (supported by letters from national organizations or individuals) • Presentation(s) at Grand Rounds • Consistent excellent ratings at continuing education program presentations. • Evidence of Scholarly Activity in education • Consistent participation in M & M Conference

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p><i>Department requires 5 of 14 criteria to meet the standard of good</i></p>		<p>Good</p>	<ul style="list-style-type: none"> • Same criteria as listed in excellent

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Service</p> <p><i>Department requires 7 of 10 criteria to meet the standard of excellent</i></p>	<p>≤80%</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc). • Surgical division chief • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC) • Service in national or regional professional organizations, regulatory bodies, College of Medicine, and/or University committees/boards/task forces. • Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure • Current board certification (including re-certification if applicable) • Service as a board examiner, or participation in the development of board examinations • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service on national or federal scientific review boards or journal editorial boards • Evidence of scholarly activity

Minimum Criteria for Promotion to the Rank of Professor for Full Academic Track Appointments

Category	Percent Time Devoted	Evaluation Standard	Criteria
<i>Department requires 5 of 10 criteria to meet the standard of good</i>		Good	<ul style="list-style-type: none"> • Same criteria listed in excellent

**East Tennessee State University
Quillen College of Medicine
Department of Surgery**

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Research/Scholarly Activity <i>Department requires 4 of the 6 criteria to meet an excellent standard</i></p>	<p>50%-80%</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Publication of 5 book chapters • 15 publications in peer-refereed journals (~ ½ as first author), half of which should be based on research conducted at ETSU. Quality of publications should be also weighed (i.e. fewer publications in high impact journals preferable than many in second or third tier journals). Departments are encouraged to develop criteria for journal impact using <u>Science Citations</u>. • At least 2 funded external grants; PI on 1 major, currently active grant. • 15-20 presentations at national/international meetings (including residency and postdoctoral period) • Reviewer in 2 journals • 5 invited presentations to scientific meetings or other academic institutions.
<p style="text-align: center;">Good</p>			<p style="text-align: center;">N/A</p>

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
	20%-50%	Excellent	<ul style="list-style-type: none"> • 8 to 10 publications, including peer-reviewed journals and/or chapters, half as first author, half at ETSU • Co-investigator on a major grant • Citations index-list candidate's articles used in major publications • 3 to 5 invited presentations and/or 8-10 presentations (including residency and post-doctoral period)
		Good	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/international meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)
	<20%	Excellent	<ul style="list-style-type: none"> • 5 publications/chapters (1 to 2 as first author), half at ETSU • 5 presentations at regional/national meetings or otherwise convincing evidence of emerging national recognition (including residency and post-doctoral period)

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Teaching</p> <p><i>Department requires criteria for the majority, such as 7 of 12, to meet an excellent standard.</i></p>	<p>N/A*</p> <p><i>*It is generally accepted that attaining the standard of excellence in teaching is irrespective of the time commitment. With rare exception, a faculty member would not be assigned more than 80% time teaching, allowing time for achievements in research/scholarly activity and service.</i></p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Peer review (including chair's review) leading to excellent ratings • Recipient of teaching award—may be included but is not required (student and resident) • Consistent student evaluations in excellent category • Consistent resident evaluations in excellent category • Coordination or significant participation in student and/or resident lecture series. • Successful direction of a residency training program, clerkship program, or graduate program. • Active participation in curriculum planning and evidence of being viewed as making significant contribution to curriculum development • Presentation outside the COM about candidate's teaching or teaching outside the institution • Beginning evidence of national involvement in curriculum design or teaching evaluation • Presentations at Grand Rounds • Consistent excellent ratings in CME program presentations. • Evidence of scholarly activity in education • Consistent participation in M&M conference

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p><i>Department requires criteria of 4 of the 12 to meet a good standard</i></p>		<p>Good</p>	<ul style="list-style-type: none"> • Same criteria listed under excellent criteria

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
<p>Service</p> <p><i>Department requires 5 of 9 criteria to meet excellent standard..</i></p>	<p>≤80%</p>	<p>Excellent</p>	<ul style="list-style-type: none"> • Evidence of coordination/direction of a major clinical program (clinic, hospital service, laboratory, etc. • Referrals from beyond immediate region: statewide and/or national (e.g., at least 1/3 of referrals from outside MEAC) • Service in national or regional professional organizations, College of Medicine, and/or University committees/boards/task forces • Development of a well recognized practice parameter or algorithm for a particular diagnosis or procedure • Current board certification • Service as a board examiner or participation in development of written board examinations • Offering a unique clinical specialty or service for the region as evidenced by support letters from colleagues/peers • Service on regional or national scientific review boards or journal editorial boards • Surgical division chief

Minimum Criteria for the Awarding of Tenure

In order to be awarded tenure, it must be determined that the individual would meet the long-term staffing needs of the department and the institution and satisfy the following criteria:

Category	Percent Time Devoted	Evaluation Standard	Criteria
<i>Department requires 4 of 9 of the criteria to meet a good standard.</i>		Good	<ul style="list-style-type: none">• Same criteria listed under excellent standard

School of Continuing Studies and Academic Outreach Tenure and Promotion Criteria

Cross-Disciplinary Studies

[Tenure](#) || [Promotion](#)

East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800

Department-specific Criteria

Cross-Disciplinary Studies

2.3 - Tenure

Tenure

The criteria and statements in this document are intended to supplement and clarify the statements in Tennessee Board of Regents and East Tennessee State University policy regarding tenure, specifically for faculty in the Division of Cross-Disciplinary Studies. This document does not repeat the criteria and statements referenced in the *ETSU Faculty Handbook* and is to be considered an addition to them. If any contradiction is perceived, the *ETSU Faculty Handbook* takes precedence.

The criteria and statements below should be applied in light of the overall assignment of the candidate. For example, the Director of a program would be expected to have a greater allocation of time and energy to service (program management and development) than a faculty member without a substantial administrative assignment. To be recommended for tenure in the Division of Cross-Disciplinary Studies, the candidate should document an overall profile of clear competence in teaching, research, and service that can be reasonably thought to predict a high and sustained level of growth and accomplishment in all three areas and thus warrant the long-term institutional and collegial commitment that tenure represents. The successful candidate for tenure will be well beyond the beginner phase in all three areas and will have no major areas of concern or question about his/her competence and accomplishments.

2.3.8.1 - Teaching effectiveness

Teaching: In addition to criteria in the *ETSU Faculty Handbook*, the candidate for tenure in the Division of Cross-Disciplinary Studies is expected to present an array of data that demonstrate:

- Mastery of one or more clearly identified areas of teaching, appropriate for the degree program and/or courses. The teaching area(s) must include an interdisciplinary focus and an appropriate combination of traditional disciplines, recognized emerging disciplines or areas of interdisciplinary study, and/or fields related to liberal studies or related programs, for example, academic administration or pedagogy.
- Currency in the teaching field(s), including interdisciplinary linkages and developments or other appropriate fields.
- Currency and creativity in pedagogy, including current

instructional methods and appropriate uses of instructional technology.

- Commitment to self-assessment and improvement of instruction beyond the required Student Assessment of Instruction.
- Commitment to the program, including active involvement in course and curriculum development.

Faculty who teach in the Division of Cross-Disciplinary Studies are expected to teach at ETSU's extended campuses, online, or in off-campus cohort programs, when assigned.

2.3.8.2 - Evidence of effectiveness

Documentation of teaching effectiveness should include Student Assessment of Instruction, peer observations and evaluations of teaching, and several other substantial sources of evidence. The candidate is responsible for consulting with supervisors and collecting and analyzing such items as peer evaluations, evidence of course and curriculum development, self-assessment and improvement efforts, student performance data, awards and recognitions, and external evaluations of instruction.

2.3.8.3 - Academic assignments

2.3.8.4 - Professional service

Service: In addition to criteria in the ETSU *Faculty Handbook*, the candidate for tenure in the Division of Cross-Disciplinary Studies is expected to present an array of data that demonstrate:

- Involvement in national or regional professional organizations related to interdisciplinary studies, interdisciplinary studies programs, one or more areas of interdisciplinary research and theory, or other appropriate fields.
- Commitment to and active involvement in the Division of Cross-Disciplinary Studies program through student advising, recruitment and retention activities, service on graduate committees (chair and/or member), directing theses, projects, and independent studies, and program assessment and

evaluation.

- Appropriate involvement in departmental, college, and university service activities related to the candidate's professional interests or responsibilities as a member of the university community.
- Appropriate involvement in public service activities related to the candidate's professional expertise.
- Appropriate involvement within or outside the university to represent and support the Division of Cross-Disciplinary Studies and its programs.

Documentation should include the nature of the service activity, evidence of what was accomplished, the candidate's role in the accomplishment, and evaluation of the quality of the candidate's performance. The candidate is responsible for consulting with supervisors to plan service activities and to collect and analyze appropriate documentation.

Note: A candidate for tenure who is a beginning faculty member should present a carefully selected set of high quality service activities related to his/her expertise and should not be expected to have participated in a large number of service activities, particularly committees, to the detriment of teaching and scholarship.

2.3.8.5 - Research / other activities

Research/Scholarship: In addition to criteria in the ETSU *Faculty Handbook*, the candidate for tenure in the Division of Cross-Disciplinary Studies is expected to present an array of data that demonstrate:

- Productivity in more or more clearly identified and coherent areas of research or creative activity appropriate for the Division of Cross-Disciplinary Studies program. The area(s) of research or creative activity should include an interdisciplinary or other appropriate focus and incorporate appropriate areas and methods of inquiry from traditional disciplines, recognized emerging disciplines or areas of

interdisciplinary study, and/or fields related to liberal studies or related programs, for example, academic administration or pedagogy.

- An established program of research or creativity that shows strong potential for continuation and growth. For example, the candidate for tenure should document completed articles/papers or creative products, items accepted for publication, presentation, or exhibition, items under review, items in process, and items planned for the future.

Documentation should include the products of research/creative activity and evidence of their quality, including the nature of review and selection processes, significance of the scholarly or creative outlets and audiences, impact on the field of inquiry, results of external reviews, and evidence of peer recognition. Nontraditional forms of scholarly or creative productivity may be included with appropriate documentation of quality and impact. The candidate is responsible for consulting with supervisors and collecting and analyzing evidence of the quality of all scholarly/creative accomplishments.

2.3.8.6 - Other factors

General Criteria

If graduate-level teaching is or may be an expectation in the future, the candidate for tenure should have the following qualifications:

- Terminal degree in an appropriate discipline
- Eligibility for full membership in the graduate faculty on a continuing basis
- Appropriate involvement in scholarly or creative activity

In all cases, the candidate is expected to document and reviewers to evaluate both the nature and the quality of all activities and accomplishments.

2.3.9.1 - Staffing needs

Departmental or College Weighted Criteria for Promotion

Department-specific Criteria

Cross-Disciplinary Studies

2.4 - Promotion

Promotion

The criteria and statements in this document are intended to supplement and clarify the statements in Tennessee Board of Regents and East Tennessee State University policy regarding promotion, specifically for faculty in the Division of Cross-Disciplinary Studies program. This document does not repeat the criteria and statements referenced in the ETSU *Faculty Handbook* and is to be considered an addition to them. If any contradiction is perceived, the ETSU *Faculty Handbook* takes precedence.

The criteria and statements for promotion in the Division of Cross-Disciplinary Studies should be applied in light of the overall assignment of the candidate. For example, the Director of the program would be expected to have a greater allocation of time and energy to service (program management and development) than a faculty member without a substantial administrative assignment.

As noted under the section on tenure, if graduate teaching is or may be an expectation in the future, candidates for promotion and tenure will be expected to document the level of performance appropriate for graduate faculty.

2.4.7 - Expectations for Assistant Professor

As noted under general criteria, if graduate teaching is or may be an expectation in the future, candidates for promotion and tenure will be expected to document the level of performance appropriate for graduate faculty.

2.4.8.4 - Teaching effectiveness

Teaching: In addition to criteria in the ETSU *Faculty Handbook*, the candidate for promotion to Associate Professor is expected to document that his/her instruction is appropriate, including

- A high level of intellectual stimulation and rigor
- Assignments, papers, and projects that develop students' skills in independent research, synthesis, writing, and oral presentation

- Content, assignments, papers, and projects that develop students' ability to solve problems and think critically
- Appropriate use of current and emerging instructional technology.

Faculty who teach in the Division of Cross-Disciplinary Studies are expected to teach at ETSU's extended campuses, online, or in off-campus cohort programs, when assigned; and to provide high-quality instruction to all students in the Division of Cross-Disciplinary Studies. The candidate is responsible for consulting with supervisors to identify, collect, and analyze multiple substantial sources of evidence to document the nature and quality of instruction, including Student Assessment of Instruction, peer observation and evaluation of instruction, and other sources of evidence.

2.4.8.5 - Service

Service: In addition to criteria in the ETSU *Faculty Handbook*, the candidate for promotion to Associate Professor in the Division of Cross-Disciplinary Studies is expected to present an array of evidence that demonstrates:

- Involvement in national or regional professional organizations that will support the candidate's continuing development in interdisciplinary studies or related areas, including continuing currency in disciplinary research and theory, leadership in interdisciplinary studies or related areas, and professional recognition.
- Commitment to and active involvement in undergraduate and graduate education, including interest, commitment, and competence in recruiting, advising, retaining, developing and mentoring students.

The candidate is responsible for consulting with supervisors to plan service activities and to collect and analyze appropriate documentation.

2.4.8.6 - Productivity

Research/Scholarship/ Creative Activity: In addition to criteria in the ETSU *Faculty Handbook*, the candidate for promotion to Associate Professor in the Division of Cross-Disciplinary Studies is expected to present evidence of achievement in scholarship:

- Four to six articles of reasonable length and good quality published in recognized international or national refereed journals of good

quality or the equivalent level of achievement in

- Other types of peer-reviewed publications, including book chapters, monographs, book-length works
- Creative products and activities (exhibitions, recitals, performances, publications, etc.) with appropriate peer review for acceptance and critical review and evaluation of quality
- An array of additional scholarly accomplishments in supporting areas, such as
 - Peer-reviewed publications with regional or state readership
 - Papers presented at national, regional, and state meetings of professional organizations
 - Funded projects (external or internal)
 - Non-peer reviewed scholarly articles and other publications
 - Non-traditional scholarly or creative products, e.g., scholarly items in media other than print and creative products in non-traditional media
 - Publications for popular audience
 - Book reviews, minor publications, etc.

The successful candidate for promotion to Associate Professor will demonstrate an established, coherent program of scholarly activity that shows strong potential for continuation and growth. The candidate is responsible for consulting with supervisors and collecting and analyzing evidence of the nature and quality of all scholarly/creative accomplishments.

2.4.9 - Expectations for Professor

The criteria for promotion to the rank of Professor in the Division of Cross-Disciplinary Studies build on the criteria for the rank of Associate Professor. The successful candidate for promotion to Professor will demonstrate all the activities and accomplishments for tenure and the rank of Associate Professor at a substantially higher level of performance, including:

- Sustained, regular, high-quality involvement in teaching, scholarly activity, and service since the award of tenure and the rank of Associate Professor.
- Significant improvement over time in the quality of teaching, scholarly activity, and service. In the case of scholarly activity and service, increased quantity of accomplishments is also expected with experience.
- Development of leadership in teaching, scholarly activity, and service within the university, research and creative activity in the disciplinary area(s). “Leadership” will include serving in leadership roles, various forms of peer recognition as a leader, awards and citations, and providing guidance and support to undergraduate and graduate students and beginning faculty members.
- The successful candidate for promotion to the rank of Professor will document an overall profile of an established, competent senior faculty member who may reasonably be expected to continue to serve indefinitely as a leader within the university and within his/her disciplinary communities.

The candidate is responsible for consulting with supervisors and collecting and analyzing appropriate documentation for promotion to the rank of Professor.

Sherrod Library Tenure and Promotion Criteria

Library

[Tenure](#) || [Promotion](#)

East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800

1. Introduction

The Charles C. Sherrod Library faculty provide expertise in discovery, access, and use of scholarly information resources and systems that support the teaching, research, and service mission of the university. Specialization in specific areas of library service is reflected in the academic assignment, the library faculty equivalent of teaching. Specialties include, but are not limited to:

- teaching students to build core competencies in inquiry and analysis, critical and creative thinking, and reflective writing;
- acquiring and maintaining materials in appropriate formats, descriptive data to support discovery, and systems for discovery and use;
- integrating the library's systems with the university's administrative and online learning systems;
- understanding and interpreting copyright law for interlibrary loan and course reserve;
- supporting the creation, preservation, discovery and access to unique digital content created by the university academic community; and
- collaborating with university faculty to promote scholarly communication and open access publishing.

While the mission to support learning communities in the creation of new knowledge remains constant, the skills and expertise required of academic librarians constantly evolve. Academic librarianship requires awareness of, and adaptation to, developments affecting higher education, learning technologies, information retrieval, and scholarly communication. Commitment to ongoing professional development is essential.

The *ETSU Faculty Handbook* is the authoritative document for University policy on faculty tenure and promotion. It specifies that a college or department may develop criteria specific to its nature and mission to be considered in tenure and promotion decisions for its faculty. Library candidates for tenure or promotion should be familiar with the policies and procedures specified by the Tennessee Board of Regents (TBR), the University, and the Sherrod Library.

2. Appointment

Although other types of faculty appointment are available as described in the *ETSU Faculty Handbook*, tenure-track appointments are the norm for faculty in the Sherrod Library.

3. Criteria for Initial Rank

The terminal degree in the field of library/information science is a master's degree awarded by a program in library/information science accredited by the American Library Association (ALA), or an equivalent degree from an ALA-recognized program from outside the United States. This degree is the minimum degree required for faculty appointment in the Sherrod Library. Advanced degrees in other disciplines can complement the library science master's degree.

Initial appointment rank is set by the University prior to hiring based on the recommendation of the Dean of University Libraries following review of qualifications and experience required for the position. Assistant Professor is the minimal initial appointment rank for Sherrod Library faculty.

4. Library Faculty Advisory Committee (LFAC)

The number, distribution, and academic assignment variation among Library faculty makes department-level peer review impossible. As a result, candidates for tenure and promotion, as well as Library faculty serving on the department/college review committee, do not have the benefit of a department-level peer perspective in the review process. The Library Faculty Advisory Committee (LFAC) will be established in 2013 as a standing Library committee to provide department equivalent peer review in the Library tenure and promotion process.

a. LFAC Composition and Selection

- 1) The LFAC consists of five members elected from the full-time tenured Sherrod Library faculty excluding the Dean. No more than two can be from the same functional area (e.g., Reference). All ranks must be represented, if available, to integrate LFAC with the Library Tenure and Promotion Committee (see section 5 below). The LFAC will invite participation from non-tenured faculty as necessary for discussion of specific topics (e.g., mentoring).
- 2) Members are elected for two-year terms. No member may serve more than two consecutive terms. For the inaugural Committee, two members will be elected to one-year terms and the remainder for two-year terms.
- 3) All Library tenured faculty except the Dean are eligible to serve on the Committee.
- 4) All Library faculty except the Dean are eligible to vote for membership on the Committee.
- 5) Elections will take place in August at the first faculty meeting of the academic year. The inaugural election will take place at a faculty meeting as soon as possible following approval of this policy. Names of all eligible faculty members will be listed on the ballot. Individuals may remove their names from the ballot.
- 6) Votes are counted by the chair of the Committee, and one other member. The initial vote will be counted by the Executive Aide.
- 7) Faculty members receiving the highest number of votes are elected.
- 8) If a vacancy occurs, an election will be held to fill it.
- 9) The Chair of the Committee will be elected by the members of the Committee each year. No Chair may serve more than two consecutive terms.

b. LFAC Duties

The Committee is charged with the following duties:

- 1) Managing the mentoring program for new faculty, and/or faculty approaching promotion or tenure. This includes:
 - a. matching mentors with faculty members
 - b. monitoring mentoring relationships
 - c. receiving reports on mentoring
 - d. arbitrating requests for changes in mentor assignment
- 2) Convening the Library Tenure and Promotion (LTaP) Committee in years when Library faculty apply for tenure and/or promotion. A tenured member of the LFAC with rank at or above that for which the applicant has applied will serve as Chair of the LTaP Committee. (See section 5 below).
- 3) Issuing annual progress toward tenure letters to each non-tenured faculty member, in collaboration with the faculty member's supervisor. This letter will address the candidate's cumulative accomplishments to date as well as ongoing expectations of the candidate. A copy of this letter will be placed in the faculty member's personnel file, and should be included in his/her tenure portfolio. *[Sample form needs to be included.]*
- 4) Initiating review and revision by Library faculty of Library tenure/promotion policy at least every five years.
- 5) Communicating library tenure/promotion policies by
 - a. Providing a copy to all Library faculty when revised;
 - b. Providing a copy to all eligible faculty upon hire, at three-year review, and with notification of eligibility for promotion;
 - c. Posting a copy on the *ETSU Faculty Handbook* website; and
 - d. Posting a copy on the Sherrod Library website.

c. Meetings

The LFAC will meet at least once per semester. All LFAC deliberations are confidential.

5. Library Tenure and Promotion Committee (LTaP)

The Library Tenure and Promotion Committee is the Sherrod Library's department/college committee that reviews tenure and/or promotion applications and makes a recommendation to the Dean of University Libraries. The Committee will be convened to serve from September 15 to December 15 in years when Library faculty apply for tenure and/or promotion. The Committee will consist of at least five members, including all Library faculty tenured and assigned to work in the Sherrod Library with rank at or above that for which the applicant has applied. If there are fewer than five Library faculty available to serve, the Dean of University Libraries and the applicant will each identify three to five ETSU tenured faculty with rank at or above that of the applicant from which they will select additional members by

mutual consent. This external selection process will continue until the Committee consists of at least five (5) members.

6. Performance Assessment

a. Professional Development

Effective professional academic librarianship requires engagement in ongoing professional development. A wide range of professional development activities are available, including formal classes or courses, workshops, seminars, lectures, institutes, webinars, online courses, library conference programs, or other relevant programs. Professional development activities are considered part of a librarian's academic assignment and must be included in the annual faculty activity plan, report, and evaluation process. The Library Travel Policy guides resource allocation decisions for professional development activities.

b. Outside Employment

TBR Policy 5:01:05:00 on Outside Employment and Extra Compensation states that a faculty member's appointment is a full-time job and that extra service and outside employment duties

- are performed entirely outside of, and in addition to, normal working assignments and responsibilities; and
- do not interfere with assigned duties and responsibilities or with regular institutional operations.

Extra service and outside employment activities are not part of a library faculty member's academic assignment and are excluded from consideration for tenure and promotion under academic assignment.

These activities may be considered professional service if the faculty member's expertise is being contributed to a service/nonprofit organization or serves a public interest (e.g., expert testimony). Performing essentially the same work in a similar organization (e.g., working part-time in another library) is work for hire, not professional service.

c. Annual Faculty Activity Plan/Report/Evaluation (FAP/FAR/FAE)

- 1) The annual Faculty Activity Plan/Report/Evaluation (FAP/FAR/FAE) process is the foundation for tenure and promotion. The annual FAE will be the primary source of evidence documenting performance for tenure or promotion and must be included by the applicant in the supporting documentation section of their application.
- 2) The faculty activity plan must be realistic and reasonable, based on normal workload and normal working hours. Overload conditions due to circumstances beyond the faculty member's control (e.g., staffing shortage) must be documented in the FAP/FAR/FAE and the rating adjusted accordingly.

- 3) The faculty member's job description will be reviewed and updated if necessary in the annual FAP/FAR/FAE process.
- 4) Criteria for annual evaluation are included in Attachment A.
- 5) Forms to be used for the annual FAP/FAR/FAE are included in Attachment B.
- 6) All Library faculty will receive an annual written evaluation in mid-August before the beginning of the new academic year as specified in the *ETSU Faculty Handbook*.
- 7) At the beginning of each evaluation period in August, the Dean of University Libraries, the faculty member, their supervisor, and mentor will meet and determine the percentage of commitment to be assigned to academic assignment, research, and service for the coming year.

d. Annual Tenure/Promotion Progress Reports

Tenure-track Library faculty will also receive an annual written report of progress toward tenure from the Library Faculty Advisory Committee (see 4.b.3) above). Promotion-eligible Library faculty who request it will also receive an annual written report of progress toward promotion from the Library Faculty Advisory Committee.

e. Library faculty are responsible for keeping comprehensive records of their professional activities to provide supporting documentation for any of the following reviews:

- 1) Annual Faculty Activity Plan/Report/Evaluation (FAP/FAR/FAE)
- 2) Third-year review
- 3) Tenure and/or promotion review

7. POLICY ON TENURE

a. Pre-Tenure Mentoring

The Library Faculty Advisory Committee (LFAC) is responsible for mentoring tenure-track Library faculty (See 4.b.1) above).

b. Third year review

The Library Faculty Advisory Committee and the Dean of University Libraries will evaluate tenure-track faculty in September following completion of the faculty member's third year of service in the appointment. The purpose of this review is to provide guidance and advice to the librarian on progress toward tenure; their mentor is expected to provide guidance and advice on preparation of the application and supporting documentation. A positive third year review does not guarantee tenure.

The librarian is expected to prepare and submit their application and supporting documentation to the LFAC in the same form and by the same deadline (September 15) as for tenure application. The application will be evaluated using the criteria for tenure.

The LFAC review will be submitted to the Dean by October 15.

The Dean will prepare his/her review and meet with the faculty member to provide a copy of both reviews by November 15. A copy of these reviews should be retained by the faculty member and included in the supporting documentation for their tenure application.

c. Criteria for Tenure

1) Long-Term Staffing Needs of the Department or Division and the University

The *ETSU Faculty Handbook* specifies that long-term staffing needs of the department, division, and university are taken into account in the review process when candidates are evaluated for tenure. The basis for this review is an approved departmental or college staffing plan that is reviewed annually and updated as needed.

The Sherrod Library staffing plan will be reviewed and updated annually in January. The Dean will inform tenure-track faculty in writing of any external factors that would impact their candidacy for tenure as part of this process.

2) Criteria to Be Considered in Tenure Recommendations

Faculty considered for tenure will be reviewed with respect to their performance in a) academic assignment, b) research/scholarship/creative activity, and c) professional service.

Performance in administration must be evaluated separately from performance in academic assignment. Not all Library faculty have administrative responsibilities, while criteria for tenure and promotion apply equally to all faculty. Administrative responsibilities include managing a portion of the library operating budget; supervising faculty and/or staff; and planning, performance monitoring, and reporting for a unit.

Library faculty assign relative weights to these areas based on value to the mission of the Library and the University. The weights are not intended to be used as a formula but to express relative importance, emphasizing that performance in academic assignment is significantly more important than research, professional service, or administration.

Weights for Library faculty without administrative responsibility are:

60-80% Academic Assignment

10-20% Research/Scholarship/Creative Activity

10-20% Professional Service

Weights for Library faculty with administrative responsibility in addition to their academic assignment are:

- 60-80% Academic Assignment
- 5 -10% Research/Scholarship/Creative Activity
- 5 -10% Professional Service
- 10-20% Administration

a) Academic Assignment

The annual faculty evaluation will be a primary source of evidence documenting performance. Performance evaluation criteria for tenure by rank are:

- a. Assistant Professor – successful applicants must receive at least two exceptional ratings in academic assignment with the remainder at least satisfactory, and must receive at least satisfactory in research/scholarship/creative activity and professional service.
- b. Associate Professor – successful applicants must receive at least two exceptional ratings in academic assignment with the remainder at least satisfactory, and must receive at least satisfactory in research/scholarship/creative activity and professional service.
- c. Professor – successful applicants must receive at least two exceptional ratings in both academic assignment and either research/scholarship/creative activity or professional service. All other ratings must be at least satisfactory.

Other evidence documenting performance in academic assignment might include:

- a. Student evaluations
- b. Evidence of continuing professional development
- c. Surveys
- d. Awards

b) Research/Scholarship/Creative Activity

Candidates for tenure must present at least three scholarly products from the past six years. Products can be in any medium. At least one of these products must come from category A. Acceptable scholarly products include but are not limited to:

Category A

- 1) Edited or authored monograph
- 2) Edited collection of essays
- 3) Edited journal special issue

- 4) Edited or authored text or textbook
- 5) Authored or co-authored, refereed, scholarly article
- 6) Authored or co-authored book chapter
- 7) Authored or co-authored paper published in national or international refereed conference proceedings
- 8) Refereed presentation at a national or international conference
- 9) Editor of journal or magazine
- 10) Externally funded grants

Category B

- 1) External unfunded proposals and funded, internal proposals
- 2) Serve on the editorial board for a publisher, journal, or magazine
- 3) Reader/reviewer for a publisher, journal, or magazine
- 4) Non-refereed article for a magazine or journal with a national audience
- 5) Two or more articles published in non-refereed sources*
- 6) Two or more presentations at state or regional conferences*
- 7) One encyclopedia article of 1500 words or more, or two or more shorter articles*
- 8) Five or more book reviews*
- 9) Long-term and ongoing projects with appropriate evidence may be used to document commitment to future scholarship. Verification of stages of development as well as potential for future scholarship must accompany promotion materials to provide evidence of a research agenda.

*Counts as one scholarly product

c) Professional Service

Professional service is highly valued by library faculty. Candidates are expected to demonstrate a consistent record of service beyond their assigned library responsibilities, with contributions at each of the following levels: Library, University, and professional. Candidates must also provide evidence of substantial contributions in at least one of these levels.

Examples of service include, but are not limited to:

- 1) Participation in Library committees or task forces;
- 2) Participation in University committees, task forces, or in faculty governance, as well as participation in University student organizations and activities;
- 3) Participation in professional groups and associations at the local, state, regional, or national level;

- 4) Outreach events that promote professional goals while benefiting the local, state, or national community;
- 5) Planning/organizing University-sponsored events;
- 6) Consulting or participating in activities related to one's professional expertise;
- 7) Teaching or facilitating workshops for librarians, educators, or students outside one's library responsibilities;
- 8) Mentoring/collaborating with colleagues to develop professional skills.

Examples of evidence to support substantial service contributions include but are not limited to:

- 1) Letters of commendation
- 2) Awards
- 3) Documentation of competitive selection (e.g., elected to serve on a committee or board) or advancement in responsibility within an organization (e.g., Vice-Chair, Chair Elect)

8. POLICY ON PROMOTION

Promotion in rank is recognition of past achievement and a sign of confidence that the individual is capable of even greater accomplishments and of assuming greater responsibilities. The policy of the Tennessee Board of Regents is to make promotions strictly on consideration of merit tempered by university and fiscal considerations. The purpose of this policy is to help ensure that promotions are made objectively and equitably.

a. Mentoring and Peer Review

Candidates for promotion may request mentoring and/or peer review by the Library Faculty Advisory Committee comparable to that provided in the pre-tenure review process (mentor participation in FAP/FAR/FAE, annual progress toward promotion letter as in 4.b.3 above).

b. Criteria for Promotion

The criteria for promotion are essentially the same as for Tenure (7.c). Candidates for promotion must present evidence of research/scholarship/creative activity and service produced during the period at their current rank. Scholarly products completed in the year prior to the effective date of current rank may be submitted as additional evidence.

1)Assistant Professor

Not applicable: Assistant Professor is the minimal initial appointment rank for Sherrod Library faculty.

- Earned master's degree in library/information science from an ALA-accredited program or its ALA-recognized non-U.S. equivalent.

- For initial hire, evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of Library faculty.
- Evidence of potential ability in research/scholarship/creative activity and professional service.

2) Associate Professor

The most important elements to be considered are consistency and growth from one year to the next. If there is a question of promoting or not, the candidate's effectiveness in Academic Assignment will receive greater emphasis than Research/Scholarship/Creative Activity or Professional Service.

Minimum requirements for promotion to the rank of Associate Professor are:

- Earned master's degree in library/information science from an ALA-accredited program or its ALA-recognized non-U.S. equivalent.
- At least five years of appropriate professional library experience at the rank of Assistant Professor . Exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval).
- At least two exceptional ratings in academic assignment and at least satisfactory in all others.
- Documented evidence of significant accomplishment in research/scholarship/creative activity and professional service that are leading to national recognition in the individual's area of professional expertise.

3) Professor

Promotion to this rank is not a reward for long service; rather, it recognizes superior achievement and assumes an expectation of continuing contributions to the university and to the larger academic community. The most important element to be considered is demonstrated productivity of an increasing extent and scope in all areas of evaluation; however, if there is a question of promoting or not, the candidate's effectiveness in Academic Assignment will receive greater emphasis than Research/Scholarship/Creative Activity or Professional Service.

Minimum requirements for promotion to the rank of Professor are:

- Earned master's degree in library/information science from an ALA-accredited program or its ALA-recognized non-U.S. equivalent.
- At least five years of appropriate professional library experience at the rank of Associate Professor . Exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval).
- At least two exceptional ratings in academic assignment and one other area, and at least satisfactory in the area remaining.
- Successful research, scholarly, and/or creative activity, as evidenced by such accomplishments as published scholarly books, articles in professional journals in one's discipline, presentation of papers before regional, national or international professional groups, receipt of major research grants, and/or a record of significant exhibitions or performances.
- Professional service of an outstanding nature, usually of such kind as to make the individual regionally or nationally known in the discipline, or, alternatively, as a leading figure in service efforts promoted by the institution.

9. Documentation for Tenure and/or Promotion

Applicants must submit a focused, concise, but detailed application that includes:

1. An executive summary that concisely addresses the criteria specified for the desired rank and/or tenure and that lists the three to five most important items to consider.
2. Curriculum vita that includes:
 - a. Education (degree, institution, year of award)
 - b. Career description in outline, chronological with most recent first, with the most recent five years described in greater detail and earlier achievements described in general terms.
3. Narrative statement no longer than five pages single-spaced which covers the following topics and references supporting documentation in the appendices:
 - a. Current role and responsibilities
 - b. Professional goals and evidence of accomplishment. Discuss efforts to learn, improve, and grow professionally.
 - c. Research/scholarship/creative activities

- d. Service to the university; professional service to the community, state, regional, national and international levels
- 4. Supporting documentation, including but not limited to:
 - a. Written assessments and evaluations, such as the annual Faculty Activity Evaluation (FAE), for the period under review (typically three to six years). Third year review documentation and progress toward tenure letters should be included in tenure applications. If requested by the applicant, LFAC progress toward promotion letters should be included in promotion applications.
 - b. Unsolicited correspondence from colleagues, library users, and others.
 - c. Written assessments requested from individuals with whom you have worked on committees, task forces, events, or projects. Assessments that are focused and specific have greater value than general statements.
 - d. Transcripts for courses completed after initial appointment or previous promotion at ETSU; certificates of completion for continuing education; registration confirmation for webinars.
 - e. Materials prepared for library users, library personnel, or other audiences (user guides, instructional materials, policies, procedures, reports, etc.)
 - f. Selected publications. If available online, provide the URL.

Appendix A: Criteria for Annual Evaluation

Evaluation criteria are intended to be used as a guide for assessing performance and progress toward tenure and promotion.

Assistant Professor

Librarians are normally hired at this rank.

Candidates for tenure at this rank must demonstrate achievement at the state level and potential for achievement at regional and national levels.

1. Academic Assignment

Satisfactory

- Consistently fulfills assigned responsibilities and meets goals approved in the annual faculty activity plan.

Exceptional

- Willingness to work with others to accomplish library-wide goals and objectives, demonstrated by service on one or more library teams/committees.
- Evidence of innovation in carrying out assigned duties.
- Exceeds expectations in assigned responsibilities.

Inadequate

- Lack of success in achieving satisfactory performance.

2. Research/Scholarship/Creative activities

Satisfactory

- Involvement in at least one activity
 - In-house research projects with potential for publication. (Projects that analyze current services or project the impact of proposed services that could benefit the library and apply elsewhere.)
 - Conducting library-related staff training from which professional benefit results.
 - Scholarly product(s) specified in 7.c.2)b) p. 7

Exceptional

- Involvement in more than one activity listed above; scholarly product(s) from Category A.

Inadequate

- Lack of success in achieving satisfactory performance.

Assistant Professor

3. Professional Service

Satisfactory

Contributions in committee or other organizational activities that improve or advance the library, the University, or the profession such as:

- Active participation in library committees and teams
- Membership on a University committee with light to moderate workload*
- Attendance at professional meetings at the local, state, regional, or national level.

*High workload university committees include: Research & Development, Curriculum, Graduate Programs; committees that are concerned with the academic and research missions.

Exceptional

Leadership or significant participation in official activities that improve or advance the library, the University, or the profession such as:

- Serving in a responsible capacity on library committees and teams (e.g., committee chair or co-chair, team leader)
- Membership on more than one University committee with light to moderate workload or on one with high workload.
- Holding a position of responsibility in or providing other services to an organization that supports the library profession.
- Providing one's professional services to local organizations or institutions.

Inadequate

- Lack of success in achieving satisfactory performance.

Associate Professor

Candidates for tenure at or promotion to this rank must demonstrate progress toward achievement at regional and national levels.

1. Academic Assignment

Satisfactory

Librarians must demonstrate excellence in some areas of job performance while maintaining a broad perspective of library functions and needs and demonstrate willingness to work with others to accomplish library-wide goals and objectives.

- Consistently fulfills assigned responsibilities and meets goals set at levels indicating above-average growth approved in the annual faculty activity plan.
- Consistently positive external evaluations from peers, other departments, and users served.
- Evidence of innovation in carrying out assigned duties.

Exceptional

- Willingness to work with others to accomplish library-wide goals and objectives, demonstrated by a leadership role on one or more library teams/committees.
- Exceeds expectations established in assigned responsibilities.
- Exceptional external evaluations from peers, other departments, and users served.
- Initiates or leads activities culminating in new or improved service or an innovative program benefiting the library or academic departments.
- Advanced formal study in librarianship or a work-related discipline that enhances professional performance, not necessarily leading toward a degree. (Courses offering continuing education units, certificates of completion, or traditional academic credit would be in this category.)

Inadequate

- Lack of success in achieving satisfactory performance.

2. Research/scholarship/creative activities

Satisfactory

- Involvement in **at least two** activities
 - Conducting library-related staff training from which professional benefit results.
 - Scholarly product(s) specified in 7.c.2)b) p. 7 in **Category B** that **demonstrate progress toward national recognition** such as
 - Publication in state, regional, or national journal
 - Presentation at state, regional, or national conferences
 - Professional contributions to formally organized panels, forums, etc.
 - Successful grant application

Associate Professor

2. Research/scholarship/creative activities (cont'd.)

Exceptional

- Involvement in at least one scholarly product(s) specified in 7.c.2)b) p. 7 in **Category A**

Inadequate

- Lack of success in achieving satisfactory performance.

3. Professional Service

Satisfactory

Contributions in committee or other organizational activities that improve or advance the library, the University, or the profession such as:

- Serving in a responsible capacity on a library committee or team (e.g., committee chair or co-chair, team leader)
- Recurring appointment to more than one University committee with light to moderate workload or on one with high workload.
- Making a significant service contribution to a professional organization

Exceptional

Leadership or significant participation in official activities that improve or advance the library, the University, or the profession such as:

- Serving as chair of two or more library committees/ teams during which period there was demonstrated success in the committee/team activity
- Serving as chair of a University committee
- Holding a position of responsibility in state, regional, or national professional organizations or making other significant contributions that support the library profession.
- Providing one's professional services to local organizations or institutions.

Inadequate

- Lack of success in achieving satisfactory performance.

Professor

Candidates for tenure at or promotion to this rank must demonstrate achievement at regional, national, or international levels. The evaluation criteria listed apply only to candidates for tenure and promotion.

Library faculty who have achieved both tenure and Professor rank are evaluated using a summary version of the FAP/FAR/FAE.

Attaining the rank of full Professor is an acknowledgement of cumulative career achievement. Consideration is given to overall professional accomplishments as well as achievements at the rank of Associate Professor.

1. Academic Assignment

Satisfactory

Librarians must demonstrate excellence in some areas of job performance while maintaining a broad perspective of library functions and needs and demonstrate willingness to work with others to accomplish library-wide goals and objectives.

- Consistently continues to fulfill assigned responsibilities and meet goals set at levels indicating above-average growth approved in the annual faculty activity plan.
- Exceptional external evaluations from peers, other departments, and users served.
- Evidence of innovation in carrying out assigned duties.
- Having initiated or led activities culminating in new or improved service or an innovative program benefiting the library or academic departments.
- Having fulfilled leadership responsibilities which may fall outside normal position-related duties or committee work.

Exceptional

- Consistently exceptional ratings in annual evaluations that include goals set at levels indicating above-average growth.
- Consistent leadership roles in library activities.
- Advanced degree such as subject Master's or Doctorate

Inadequate

- Lack of success in achieving satisfactory performance.

Professor

2. Research/scholarship/creative activities

Satisfactory

- Evidence of success, while holding rank of Associate Professor, with **at least two** scholarly product(s) specified in 7.c.2)b) p. 7 in **Category A** such as:
 - Publication in regional, or national journal
 - Presentation at regional, national, or international conference
 - Professional contributions to formally organized panels, forums, etc.
 - Successful grant application

Exceptional

- Evidence of success, while holding rank of Associate Professor, in **more than two** of the scholarly products listed above.

Inadequate

- Lack of success in achieving satisfactory performance.

3. Professional Service

Satisfactory

Continuing growth in leadership and professional contribution to improve or advance the library, the University, or the profession such as:

- Serving as chair of two or more library committees/ teams during which period there was demonstrated success in the committee/team activity
- Serving as chair of a University committee
- Holding a position of responsibility in state, regional, or national professional organizations or making other significant contributions that support the library profession.
- Making a significant service contribution to a professional organization

Exceptional

Evidence and broad recognition of leadership and professional achievement within the library, the University, and the profession at the rank of Associate Professor as shown by:

- Consistent, successful leadership through recurring appointment or election to library committees/teams
- Recognition at the University level by appointment to committees as chair, election to top Faculty Senate offices, or other evidence of significant achievement
- Recurring service to state, regional, or national professional organizations through selection or election where leadership ability is required
- Providing one's professional services to local organizations or institutions.

Inadequate

- Lack of success in achieving satisfactory performance.

EAST TENNESSEE STATE UNIVERSITY
Charles C. Sherrod Library

Faculty Activity Plan (FAP) 20__ - __

Faculty Member _____ **Division** _____

Division Director _____ **Date** _____

This *Faculty Activity Plan (FAP)* is to be prepared by the faculty member in consultation with his/her division director at the beginning of the academic year, typically in mid-August. It formally identifies the variety and distribution of activities that the faculty member anticipates and upon which they will be evaluated at the end of the year. The *FAP* directs faculty and administrative efforts toward the achievement of mutually accepted goals.

This *FAP* should be as complete as possible, following the outline provided below and including supplementary pages if needed. If you do not anticipate any activity within a given category, please indicate "none planned."

At the end of the academic year, you will be asked to complete a *Faculty Activity Report (FAR)* that will provide you with the opportunity to list your accomplishments for each of the activities you outline in this *FAP*. Your *FAR* will then become the basic document upon which your annual performance evaluation will be made. It will also provide important data for departmental, college and university reports of annual accomplishments.

The final signed copy of your *FAP* for each year will be retained in the Dean's office.

1. Academic Assignment Activities

- a. Job Description Changes (if applicable)

- b. Planned Activities

- c. Work with others to accomplish library-wide goals and objectives. (*Exclude service on standing library committees. Include anticipated service on ad hoc teams/working groups created for specific tasks.*)

- d. Professional development
 - 1) Classes or courses (meet for several weeks) taken for credit
 - 2) Classes or courses (meet for several weeks) audited/not graded
 - 3) Workshops
 - 4) Webinars
 - 5) Conferences

2. Research/Scholarship/Creative Activities

Sherrod Library FAP 20__ - __

Last Name, First Name

a. In-house research projects with potential for publication (*Projects that analyze current services or project the impact of proposed services that could benefit the library and apply elsewhere.*)

b. Library-related staff training conducted for professional benefit

c. Scholarly products

Category A

- 1) Edited or authored monograph
- 2) Edited collection of essays
- 3) Edited journal special issue
- 4) Edited or authored text or textbook
- 5) Authored or co-authored, refereed, scholarly article
- 6) Authored or co-authored book chapter
- 7) Authored or co-authored paper published in national or international refereed conference proceedings
- 8) Refereed presentation at a national or international conference
- 9) Editor of journal or magazine
- 10) Externally funded grants

Category B

- 1) External unfunded proposals or funded, internal proposals
- 2) Service on the editorial board for a publisher, journal, or magazine
- 3) Reader/reviewer for a publisher, journal, or magazine
- 4) Non-refereed article for a magazine or journal with a national audience
- 5) Articles published in non-refereed sources
- 6) Presentations at state or regional conferences
- 7) Encyclopedia articles of 1500 words or more
- 8) Encyclopedia articles of less than 1500 words
- 9) Book reviews

d. New projects (planning started during this report period)

3. Professional Service (*Include your role and extent of participation*)

a. Library committees

Sherrod Library FAP 20__-__

Last Name, First Name

Charles C. Sherrod Library / East Tennessee State University
Criteria and Procedures for Appointment, Continuing Appointment, Tenure and Promotion – Appendix B

Committee:
Role:
Activities:

- b. Library faculty mentoring (assigned by Library Faculty Advisory Committee)
- c. University committees, task forces, faculty governance:

Entity name:
Role:
Activities:

- d. University student organizations and activities:

Organization:
Role:
Activities:

- e. University-sponsored events:

Event:
Role:
Activities:

- f. External professional groups and associations:

Organization:
Role:
Activities:

- g. External consulting: *(Activities may be considered professional service if the faculty member's expertise is being contributed to a service/nonprofit organization or serves a public interest (e.g., expert testimony). Performing essentially the same work in a similar organization is work for hire, not professional service.)*

Organization:
Role:
Activities:

4. Administration

- a. Budget management
- b. Personnel management
- c. Planning, performance monitoring, reporting *(Summarize accomplishments for the reporting period)*

Activity Plan Summary

Sherrod Library FAP 20__-__
Last Name, First Name

Charles C. Sherrod Library / East Tennessee State University
Criteria and Procedures for Appointment, Continuing Appointment, Tenure and Promotion – Appendix B

Please indicate the proportion of the total individual faculty effort that was devoted to academic assignment, research, service, and administration during the past year. These percentages should reflect the mutually agreed-upon planned efforts in each category stated at the beginning of the year in your *Faculty Activities Plan*.

Academic Assignment _____% Research _____% Service _____% Administration _____%

Endorsements of Faculty Activity Plan

Signature of Faculty Member

Date

Signature of Division Director

Date

Signature of Dean

Date

EAST TENNESSEE STATE UNIVERSITY
Charles C. Sherrod Library

Faculty Activity Report (FAR) 20__-__

Faculty Member _____ **Division** _____

Division Director _____ **Date** _____

This *Faculty Activity Report* is to be prepared by the faculty member at the end of the academic year, typically in mid-August. It documents the faculty member's activities and accomplishments for the year and provides the basis for annual performance evaluation; it is considered a primary document in the tenure and promotion review process. This report should be prepared with direct reference to the items in the faculty member's *Faculty Activity Plan* that was prepared at the beginning of the academic year.

This *Faculty Activity Report* should be as complete as possible, following the outline provided below and including supplementary pages if needed. If you have not engaged in particular activities, please indicate "none." If you completed the activities exactly as stated in your *Faculty Activity Plan*, please indicate "completed as planned." Further documentation of your academic assignment, research and service activities and accomplishments for the year may be requested by your division director or dean.

The final signed copy of the *Faculty Activity Report* for each year will be retained in the Dean's office.

1. Academic Assignment Activities

- a. *Faculty Activity Plan Changes (Explain overload conditions, change(s) in academic assignment, etc.)*

- b. *Faculty Activity Plan Activities*

- c. *Work with others to accomplish library-wide goals and objectives. (Exclude service on standing library committees. Include service on ad hoc teams/working groups created for specific tasks.)*

- d. *Evidence of innovation in carrying out assigned duties/responsibilities.*

- e. *Professional development*
 - 1) *Classes or courses (meet for several weeks) taken for credit*
 - 2) *Classes or courses (meet for several weeks) audited/not graded*
 - 3) *Workshops*
 - 4) *Webinars*
 - 5) *Conferences*

2. Research/Scholarship/Creative Activities

- a. *In-house research projects with potential for publication (Projects that analyze current services or*

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project the impact of proposed services that could benefit the library and apply elsewhere.)

b. Library-related staff training conducted for professional benefit

c. Scholarly products

Category A

- 1) Edited or authored monograph
- 2) Edited collection of essays
- 3) Edited journal special issue
- 4) Edited or authored text or textbook
- 5) Authored or co-authored, refereed, scholarly article
- 6) Authored or co-authored book chapter
- 7) Authored or co-authored paper published in national or international refereed conference proceedings
- 8) Refereed presentation at a national or international conference
- 9) Editor of journal or magazine
- 10) Externally funded grants

Category B

- 1) External unfunded proposals or funded, internal proposals
- 2) Service on the editorial board for a publisher, journal, or magazine
- 3) Reader/reviewer for a publisher, journal, or magazine
- 4) Non-refereed article for a magazine or journal with a national audience
- 5) Articles published in non-refereed sources
- 6) Presentations at state or regional conferences
- 7) Encyclopedia articles of 1500 words or more
- 8) Encyclopedia articles of less than 1500 words
- 9) Book reviews

d. New projects (planning started during this report period)

3. Professional Service (*Include your role and extent of participation*)

a. Library committees

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Committee:
Role:
Activities:

- b. Library faculty mentoring (assigned by Library Faculty Advisory Committee)
- c. University committees, task forces, faculty governance:

Entity name:
Role:
Activities:

- d. University student organizations and activities:

Organization:
Role:
Activities:

- e. University-sponsored events:

Event:
Role:
Activities:

- f. External professional groups and associations:

Organization:
Role:
Activities:

- g. External consulting: *(Activities may be considered professional service if the faculty member's expertise is being contributed to a service/nonprofit organization or serves a public interest (e.g., expert testimony). Performing essentially the same work in a similar organization is work for hire, not professional service.)*

Organization:
Role:
Activities:

4. Administration

- a. Budget management
- b. Personnel management
- c. Planning, performance monitoring, reporting *(Summarize accomplishments for the reporting period)*

5. Supporting Documentation *(Include correspondence, acknowledgements in publications, etc.)*

Activity Report Summary

Please indicate the proportion of the total individual faculty effort that was devoted to academic assignment, research, service, and administration during the past year. These percentages should reflect the mutually agreed-upon planned efforts in each category stated at the beginning of the year in your *Faculty Activities Plan*.

Academic Assignment _____% Research _____% Service _____% Administration _____%

Estimate mean number of hours worked per week _____

Endorsements of Faculty Activity Report

_____ Signature of Faculty Member	_____ Date
_____ Signature of Division Director	_____ Date
_____ Signature of Dean	_____ Date

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Faculty Activity Evaluation (FAE) 20__ - __

Faculty Member _____ **Rank** _____

Division _____

Distribution of Effort:

Academic Assignment _____% Research _____% Service _____% Administration _____%

FACULTY SELF-EVALUATION:

	*RATING	COMMENTS
Academic Assignment		
Research		
Service		
SUMMARY EVALUATION		

*S-Satisfactory, E-Exceptional, I-Inadequate

Faculty Signature/Date _____ / _____

DIRECTOR'S EVALUATION:

	*RATING	COMMENTS
Academic Assignment		
Research		
Service		
SUMMARY EVALUATION		

*S-Satisfactory, E-Exceptional, I-Inadequate

Director Signature/Date _____ / _____

DEAN'S EVALUATION:

	*RATING	COMMENTS
Academic Assignment		
Research		
Service		
SUMMARY EVALUATION		

*S-Satisfactory, E-Exceptional, I-Inadequate

Dean Signature/Date _____ / _____

Recommendation for Faculty Development/Program Improvement

A conference must be held with each faculty member following the Director's and Dean's review so faculty can review and respond to the evaluation.

CONFERENCE WITH FACULTY MEMBER HELD FOLLOWING DIRECTOR AND DEAN'S REVIEW

Date

Signature/Faculty

Signature/Director

Signature/Dean

Comments:

COPY SENT TO VICE PRESIDENT FOR ACADEMIC AFFAIRS

Dean Signature/Date _____ / _____

Archived Handbook

Handbooks will be archived on an annual basis. If you have specific questions on archived content, please contact the Office of the Provost and Vice President for Academic Affairs (423) 439-4219.

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East Tennessee State University
PO Box 70300
Johnson City, TN 37614
423-439-1000

Office of Academic Affairs
PO Box 70733
Johnson City, TN 37614
423-439-4219 | Fax: 423-439-5800