



EAST TENNESSEE STATE
UNIVERSITY

BOARD OF TRUSTEES
Academic & Student Affairs Committee
APRIL 24, 2017 MEETING

2:00 PM EDT
Monday
April 24, 2017

President’s Conference Room
Burgin Dossett Hall Room 206
1276 Gilbreath Drive
Johnson City, TN 37614-1710

I. Call to Order

II. Briefing Document: Orientation to matters relevant to Committee deliberations and actions that pertain to responsibilities set forth in Bylaws. [Information Item with Attachments]..... 2

 A. *Committee Charge, Section 5 of Bylaws* 6

 B. *Organizational Charts* 7

 C. *Matrix Depicting Final Authority for Approval of Academic Policy or Actions*..... 10

 D. *Charge and Membership of the Academic Council*..... 13

 E. *Cycle of Reviews or Reports by the Academic and Student Affairs Committee of the ETSU Board of Trustees*..... 14

III. Adoption of policies [Action Item]..... 15

 A. *Tenure*..... 17

 B. *Faculty Ranks and Promotion*..... 38

 C. *Definition of Faculty and Types of Appointment*..... 51

 D. *Academic Freedom and Responsibility* 56

IV. Other



EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

COMMITTEE ON ACADEMIC AND STUDENT AFFAIRS

INFORMATION ITEM

DATE: April 18, 2017

ITEM: Briefing Document: Orientation to matters relevant to Committee deliberations and actions that pertain to responsibilities set forth in Bylaws

PRESENTED BY: Bert C. Bach, Provost and Vice President for Academic Affairs

1. Bylaws for the ETSU Board of Trustees' Committee on Academic and Student Affairs indicate that its scope of responsibility spans fourteen (14) areas of responsibility for which its purpose is to "assist the Board in fulfilling its oversight responsibilities." **See Attachment A [Committee Charge—Section 5 of Bylaws]**
2. Those areas - in ETSU's organization - fall under three (3) Vice Presidents:
 - a. Provost and Vice President for Academic Affairs (Bert C. Bach)
 - b. Vice President for Health Affairs (Wilsie Bishop)
 - c. Vice President for Student Affairs (Joe Sherlin)

The scope of academic, academic support, student affairs, planning and institutional effectiveness, information technology, and athletic matters reflected in the Bylaws description of the Academic and Student Affairs Committee is depicted internally at the University by the organizational structures reflected in the charts for Academic Affairs (Provost), Health Affairs, and Student Affairs. **See Attachment B [Organizational Charts]**

3. The Tennessee Higher Education Commission (THEC), in light of the governance change, revised a number of policies that pertain to required approvals of Academic actions. Those actions are reflected in the Academic policies that the ETSU Board of Trustees approved at its initial meeting on March 24, 2017. It should be noted that THEC is revising additional policies, and ETSU will have to reflect those revisions once THEC has communicated what they are.
4. Authority for final approval of new academic programs, types of program modifications, other program changes, and related policies or other matters is specified by Tennessee Code, by THEC, by the Board of Trustees, by the President, by respective vice presidents, or by other specified internal University committees or officials. Established protocols depict (a) the participants in review of various academic actions and likewise depict (b) those individuals or bodies who will receive required "notifications" when actions have been taken. **See Attachment C [Matrix Depicting Final Authority for approval of Academic Policy or Actions]**
5. The Division of Student Affairs is developing a comparable matrix depicting (a) participants in the review of and (b) final authority for approval of student-related policies. The timeline for that development is



undetermined because the University is seeking clarification relative to state rule-making requirements (e.g., pertaining to matters such as housing, etc.) and appropriate levels of approval authority required.

6. Shared governance is at the heart of the principle that faculty has the preeminent role in University curriculum. Academic policies and actions emerge from a formal internal governance protocol that assures review and approval of actions required by those policies (which may or may not require Board approval as per its *Bylaws*).

The major internal governance body assigned to assure adherence to that protocol is the Academic Council. Proposals or policies that emerge from that body generally require approval by the President even though some operational decisions or guidelines may not. While that approval is sometimes final, specified actions (as indicated in #4 above) require approval by the Board of Trustees and - in many cases - subsequent approval by THEC. See Attachment D [Charge and Membership of the Academic Council]

7. As Provost and Vice President for Academic Affairs, I chair the Academic Council and I also serve as your staff - that is, as primary staff for the Board of Trustees Committee on Academic and Student Affairs.

Apropos of that, I likewise served for twelve years similarly with the Tennessee Board of Regents—that is, I served as Vice Chancellor for Academic Affairs, the System’s chief academic officer, and likewise served as primary staff for the governing Board’s Academic Committee (which included Student Affairs). Based on what I saw over that period of time, I can tell you that changing Chairs and members of the Committee on Academic and Student Affairs differed over time as to what reports or other agenda items they wished to see in addition to what Tennessee Code or the THEC mandated that they oversee if the University is to operate.

8. **The Committee has a great deal of discretion as to how it wishes its agenda to address the scope of the fourteen (14) areas for which it is charged to review and provide policy oversight.** When I talked with Dr. Latimer last week I indicated I could share with her and the Committee recurring agenda items that the TBR Academic Committee had considered as well as types of data they frequently requested as reports. She indicated that I should share that for your initial consideration.

9. While you may wish to define agendas of other types, there have been a *traditionally recurring cycle of Academic Reports* that relate to public policy issues, to priorities, and to outcomes to which the Committee wishes to accord special attention. The ETSU Board and your Committee can obviously determine whether you wants to continue or to amend that Cycle. **See Attachment E [Cycle of Reviews or Reports by the Academic and Student Affairs Committee of the ETSU Board of Trustees]**

10. A second traditionally recurring cycle of reports has focused on enrollment, faculty, academic programs, academic planning, and “Student Success and the Drive to 55.” Specific reports associated with those include:

a. Student Enrollment and Success Profile

- | |
|--|
| <ol style="list-style-type: none">1) Historical enrollment and credit hours<ul style="list-style-type: none">• By full-time/part-time• By new and returning status• By college and level• By gender• By race• By age• By location: |
|--|



- In-state (that is, the traditional fifteen counties in upper east Tennessee and, by contrast, the “expanded footprint” extending beyond those counties in Tennessee)
 - Out-of-state (border counties and by state, international by country and level and program)
 - First-time freshmen
 - First-time transfers
 - By housing status
- 2) Student Success
- Retention, progression, and graduation
 - Engagement profile

b. Faculty Profile

1. By type and credit hours produced
 - Full-time and part-time
 - permanent
 - Temporary (full-time and adjunct)
 - Tenure/tenure-track
 - Clinical track
 - Research track
2. Historical teaching distribution (by course level, by faculty type, by college)

c. Program Profile

- Historical enrollment and degrees conferred
- By college
 - By department
 - By program
 - By level

d. Cycle of Strategic and long-range Academic Plans (alignment with the University Strategic Plan)

The Board of Trustees approved the University *Strategic Plan* on March 24, and the Bylaws adopted at that time for the Committee specify its role in “strategic and long-range academic plans.” The University chief Planning Officer (Mike Hoff) is developing the calendar for this development of “strategic and long-range academic plans” that align with the University *Strategic Plan*.

e. Status of measurable outcomes pertaining to Student Success and the *Drive to 55*

In addition to Student Success data referenced in 10 a (above), state or THEC reports or directives sometimes mandate visible ad hoc reporting.

11. There have also been a traditionally ad hoc - though not cyclic - series of reports that staff wish to propose for presentation to the Committee based on their high priority, timely relevance, or public interest. Dr. Bishop, Dr. Sherlin, and I have met to identify matters from their respective areas for your consideration. I would



recommend that you consider whether you wish to consider any of these at appropriate times during the year. Those matters are:

a. Academic Affairs (Provost)

- Status of the "Arts Initiative" - Programming and the Center
- Status of recent Initiatives Pertaining to Online Education and the Growth Agenda-(1) Online Master Teacher designation, (2) Targeted short-term Marketing Plans for Programs with Capacity, and (3) Status of addressing Capacity for Tennessee eCampus and for potential corporate partnership focused on disruptive enrollment change

b. Health Affairs

- Potential Implications of the Pending Hospital Merger or ETSU's on Health Affairs
- Center for Inter-professional Education and Research

c. Student Affairs

- Policy and procedures to support the safe participation of non-student minors in programs and activities on the campus
- Policy and procedures addressing speakers and campus public forum areas
- Emergency preparedness planning and implementation on the campus (ex. weather emergencies, threat/active shooter emergencies, health outbreak emergencies)
- Scope, calendar, and significance of the Culp Center renovation



SECTION 5.

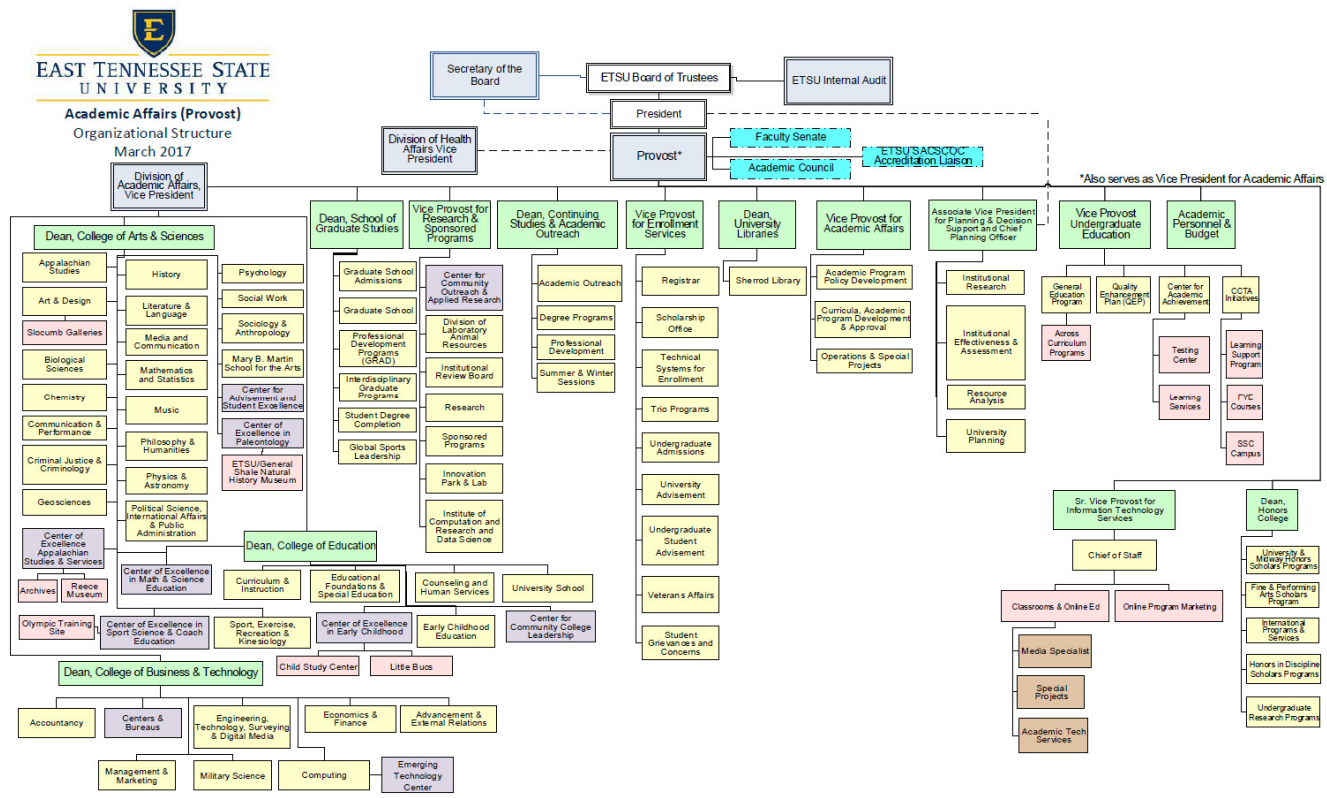
Academic and Student Affairs Committee

The purpose of the Academic and Student Affairs Committee is to assist the Board in fulfilling its oversight responsibilities for the following activities:

- A. Approval of strategic and long-range academic plans;
- B. Approval of proposals concerning the development of new academic programs and the significant revision of existing programs relating to instruction, research, and service;
- C. Establishment of new academic organizations, such as major campuses, institutes, colleges or schools, and academic departments;
- D. Evaluation of existing academic programs and their administrative structures;
- E. Termination of programs and structures that no longer are needed;
- F. Approval of admission, progression, retention, and graduation standards;
- G. the University's policy on Academic Freedom, Responsibility, and Tenure; campus implementing procedures; and any other faculty personnel policy requiring Board approval;
- H. Approval of proposals and any necessary policies concerning information technology;
- I. Approval of proposals and any necessary policies concerning use of academic services including libraries and computer labs;
- J. Approval of university rules concerning student conduct, rights, and responsibilities required to be promulgated under the Tennessee Uniform Administrative Procedures Act;
- K. Approval of proposals and any necessary policies related to the nonacademic aspects of student life, including student services and student conduct;
- L. Approval of proposals and any necessary policies related to campus enrollment and facilities capacity;
- M. Approval of policies relating to intercollegiate athletics competition for the University, consistent with rules and guidelines issued by the National Collegiate Athletics Association (NCAA);
- N. Verification that the Intercollegiate Athletics program reflects and supports the University's academic values and mission.

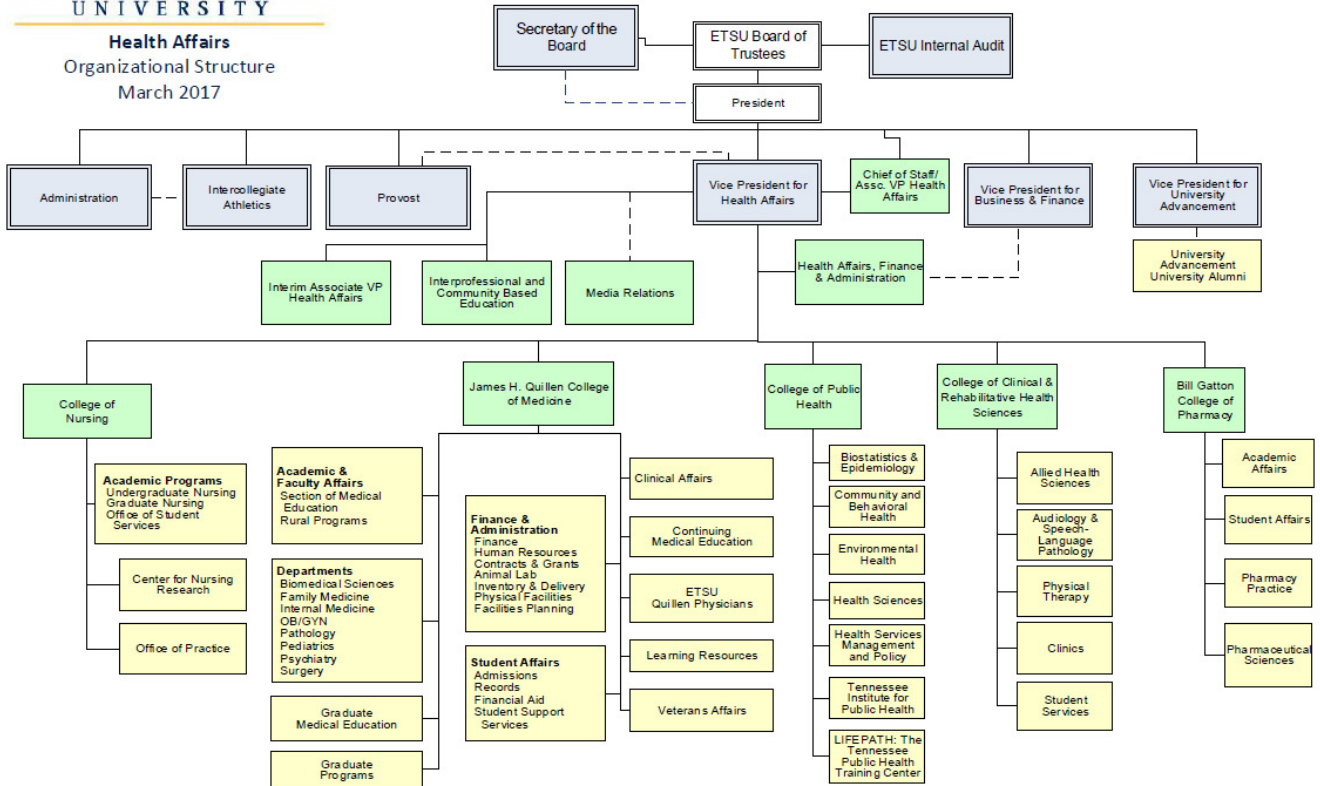


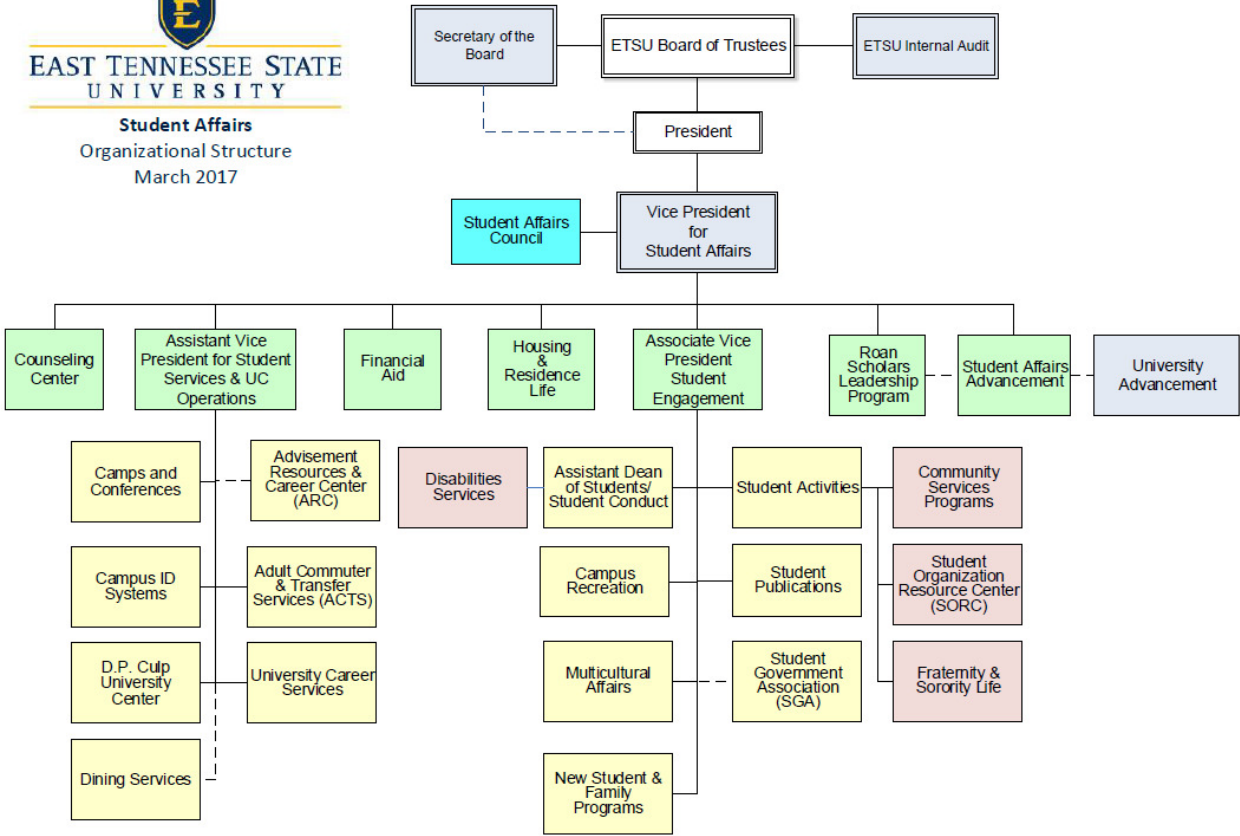
Attachment B
Organizational Charts: Academic Affairs





EAST TENNESSEE STATE UNIVERSITY
Health Affairs
Organizational Structure
March 2017





Matrix Depicting Final Authority for Approval of Academic Policy or Actions

Academic Approvals
(February 23, 2017)

Academic Action	Department Originator	College Curriculum Committee	Teacher Education Advisory Committee	Dean and Vice President	UG Curriculum Committee /Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
THEC Academic Policies										
A1.0 New Academic Programs: Approval Process										
Establish New Academic Program	x	x	if appropriate	x	x	x	x	x	Approve	Approve
Establish New Certificate 24 – up credits	x	x	if appropriate	x	x	x	x	x	Approve	Approve
THEC Academic Policies										
A1.1 Academic Program Modifications										
Change or add a program degree designation when change does not involve a significant curriculum shift in redefining the program's purpose	x			x		x	x	Notify	Notify	Approve
Change degree designation for an existing academic program or concentration per written recommendation of a disciplinary accreditation body	x			x		x	x	Notify	Notify	Approve
Establish free-standing academic degree program from an existing concentration with steady enrollment/degrees awarded within both the degree designation and all concentrations under that degree for a period of the last three years.	x	x	if appropriate	x	x	x	x	Notify	Notify	Approve
THEC Academic Policies										
A1.3 New Academic Units										
Establish College/School: Instructional unit that includes several departments and is administered by a dean or director	x			x		x	x	x	Approve	Approve



Academic Action	Department Originator	College Curriculum Committee	Teacher Education Advisory Committee	Dean and Vice President	UG Curriculum Committee /Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
Establish Division: Two or more departments within a college or university which may be administered by an assistant or associate dean	x			x		x	x	Notify	Notify	Approve
Establish Academic Department: Organized around common and similar academic areas and administered by a department chair	x			x		x	x	Notify	Notify	Approve
THEC Academic Polices A1.5 Academic Actions Notification*										
Establish New Certificate 12-23 credits	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Name/Title Change for Program/Concentration	x			x		x	x	Notify	Notify	Notify
Establish New Concentrations	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Change (increase or decrease) in number of hours of an existing program	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Consolidation of two or more existing academic programs into a single academic program without an essential change in the original approved curriculum and without a net gain in the number of programs an existing academic program	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Extension of an existing academic program to an approved off-campus center	x			x		Notify		Notify	Notify	Notify
Change of the primary delivery mode for an existing academic program. The extension to 100% off-campus delivery requires additional action if the location of delivery is to be converted from an off-campus site to a center	x			x				Notify	Notify	Notify



Academic Action	Department Originator	College Curriculum Committee	Teacher Education Advisory Committee	Dean and Vice President	UG Curriculum Committee /Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
Inactivation of an existing academic program or concentration. If the inactivated academic program or concentration is not reactivated within a period of three years, the academic program or concentration will automatically be terminated and removed from the institution's inventory	x	x	if appropriate	x		Notify		Notify	Notify	Notify
Reactivation of an academic program or concentration that was placed on inactivation within the past three years. The date of inactivation and the date of the proposed reactivation must be provided	x	x	if appropriate	x		Notify		Notify	Notify	Notify
Termination of an academic program or concentration. A teach-out plan should accompany the notification of termination	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify + teach-out plan
ETSU Academic Actions										
Admission, Progression, Retention, Graduation Policies (University)	x	x		x	x	x	x	Approve	Approve	N/A
Admission, Progression, Retention, Graduation Policies (Program)	x	x	if appropriate	x	x	x	x	Notify	Notify	N/A
Establish minor (18-21 credits)	x	x	if appropriate	x	x	x	x	Notify	Notify	N/A
Significant revision of existing academic program: degree, certificate, concentration, or minor	x	x	if appropriate	x	x	x	x	Notify	Notify	N/A
Establish Institutes and Centers (not a budget line item)	x			x		x	x	Notify	Notify	N/A
Site Codes	x			x				N/A	N/A	Assign
*THEC Notification Schedule										
May 15	Actions approved between Jan 1 and April 30					The chief academic officer at each university will submit all academic program actions designating that each action has been approved through appropriate institutional and/or governing board processes.				
August 15	Actions approved between May 1 and July 30									
January 15	Actions approved between Aug 1 and Dec 31									





**OFFICE of the PROVOST
and VICE PRESIDENT for
ACADEMIC AFFAIRS**
EAST TENNESSEE STATE UNIVERSITY

ACADEMIC COUNCIL
Reports to Provost

Charge	<ul style="list-style-type: none"> • Take action on curricular proposals emerging from Undergraduate Curriculum Committee, Graduate Council, and General Education Advisory Committee (GEAC); • Take action on university-wide admission and retention policies; • Consider (and take action when warranted) on proposals to create new entities or pursue new or revised major academic initiatives/agendas/policies (e.g., summer school, continuing studies, research, etc.); • Process information, advise, and take action (when warranted) regarding proposals involving distance education, online education, cohort students, extended campus initiatives, student retention and persistence to graduation; • Advise, consider, and take action (when warranted) regarding academic issues brought forth for consideration by the provost or by any member of the council; and • Advise, consider, and take action (when warranted) regarding matters impacting academic standards, academic honors, and assessment of academic effectiveness. 		
Membership Information	<ul style="list-style-type: none"> • Members are appointed by the positions/titles indicated below, unless otherwise noted • Terms are indefinite. • All members are voting members unless otherwise noted; ex-officio members are non-voting 		
	Provost and Vice President for Academic Affairs	Chair	Bert Bach
	Vice Provost for Academic Affairs		Marsh Grube
	Director of Institutional Effectiveness and SACS Liaison		Cheri Clavier
	Vice Provost for Enrollment Services		Ramona Williams
	Vice Provost for Research and Sponsored Programs		Bill R. Duncan
	Vice Provost for Undergraduate Education		Bill Kirkwood
	Senior Vice Provost for Information Technology Services		Karen King
	Associate Vice President for Health Affairs		Jane Jones
	Associate Vice President for Student Affairs		Jeff Howard
	Dean, Arts and Sciences		Gordon Anderson
	Dean, Business and Technology		Dennis Depew
	Dean, Clinical and Rehabilitative Health Sciences		Don Samples
	Dean, Continuing Studies		Rick Osborn
	Dean, Education		Richard Rhoda, Interim
	Dean, Graduate Studies		Cecelia McIntosh
	Dean, Honors College		Judy Slagle
	Dean, Libraries		Patricia Van Zandt
	Dean, Medicine		Robert Means
	Dean, Nursing		Wendy Nehring
	Dean, Pharmacy		Debbie Byrd
	Dean, Public Health		Randy Wykoff
	President, Faculty Senate		Susan Epps
	Vice President, Faculty Senate		Bill Flora
	Past President, Faculty Senate		Virginia Foley
	Chair, Council of Chairs		Wallace Dixon
	Chair, Graduate Council		Lori Marks
	Chair, Research Development Committee		David Hurley
	Chair, Undergraduate Curriculum Committee		Keith Green
	Representative, General Education Advisory Council		Kellie Price
	President, Graduate and Professional Student Association		Rachel Kamnkhwani (designee)
	President or designee of Student Government Association		Philip Gadzekpo (designee)
	Special Assistant to the President for Equity & Diversity (ex-officio)		Mary Jordan
	Associate Vice President for Planning and Decision Support (ex-officio)		Mike Hoff



Cycle of Reviews or Reports by the Academic and Student Affairs Committee of the ETSU Board of Trustees

	2017/18	2018/19	2019/20	2020/21	2021/22
October	<p>Review ETSU Outcomes Based Funding Performance Metrics</p> <p>Markov chain Enrollment Projections by College 2018</p> <p>Program Reviews and Academic Audits</p> <p>Program Accreditation Status (if changes)</p> <p>FSSE Overview</p> <p>Adult Learner Overview</p> <p>Licensure Exam Results</p>	<p>Review ETSU Outcomes Based Funding Performance Metrics</p> <p>Markov chain Enrollment Projections by College 2019</p> <p>Program Reviews and Academic Audits</p> <p>Program Accreditation Status (if changes)</p> <p>PEG Overview</p> <p>Adult Learner Overview</p> <p>Licensure Exam Results</p>	<p>Review ETSU Outcomes Based Funding Performance Metrics</p> <p>Markov chain Enrollment Projections by College 2020</p> <p>Program Reviews and Academic Audits</p> <p>Program Accreditation Status (if changes)</p> <p>NSSE Overview</p> <p>Adult Learner Overview</p> <p>Licensure Exam Results</p>	<p>Review ETSU Outcomes Based Funding Performance Metrics</p> <p>Markov chain Enrollment Projections by College 2021</p> <p>Program Reviews and Academic Audits</p> <p>Program Accreditation Status (if changes)</p> <p>Satisfaction Surveys Overview</p> <p>Adult Learner Overview</p> <p>Licensure Exam Results</p>	<p>Review ETSU Outcomes Based Funding Performance Metrics</p> <p>Markov chain Enrollment Projections by College 2022</p> <p>Program Reviews and Academic Audits</p> <p>Program Accreditation Status (if changes)</p> <p>NSSE Overview</p> <p>Adult Learner Overview</p> <p>Licensure Exam Results</p>
February	<p>Final Quality Assurance Funding Results</p> <p>Administrative Reviews</p>	<p>Final Quality Assurance Funding Results</p> <p>Administrative Reviews</p>	<p>Final Quality Assurance Funding Results</p> <p>Administrative Reviews</p>	<p>Final Quality Assurance Funding Results</p> <p>Administrative Reviews</p>	<p>Final Quality Assurance Funding Results</p> <p>Administrative Reviews</p>
May	<p>Learning Outcomes Assessment</p> <p>Administrative Outcomes Assessment</p> <p>A Review of the Teaching Profile of ETSU by Time Status and Tenure Status</p>	<p>Learning Outcomes Assessment</p> <p>Administrative Outcomes Assessment</p> <p>A Review of the Teaching Profile of ETSU by Time Status and Tenure Status</p>	<p>Learning Outcomes Assessment</p> <p>Administrative Outcomes Assessment</p> <p>A Review of the Teaching Profile of ETSU by Time Status and Tenure Status</p>	<p>Learning Outcomes Assessment</p> <p>Administrative Outcomes Assessment</p> <p>A Review of the Teaching Profile of ETSU by Time Status and Tenure Status</p>	<p>Learning Outcomes Assessment</p> <p>Administrative Outcomes Assessment</p> <p>A Review of the Teaching Profile of ETSU by Time Status and Tenure Status</p>



EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

COMMITTEE ON ACADEMIC AND STUDENT AFFAIRS

ACTION ITEM

DATE: April 18, 2017

ITEM: Adoption of policies on tenure, promotion, definition of faculty and types of appointments, and academic freedom and responsibility

RECOMMENDED ACTION: Approval

PRESENTED BY: Bert C. Bach, Provost and Vice President for Academic Affairs

These long-standing policies currently reside in ETSU's Faculty Handbook and align with corresponding Tennessee Board of Regents policies. To maintain the integrity of tenure and promotion reviews underway in academic year 2016-17, ETSU staff made only non-substantive revisions to prepare the policies for Board of Trustees approval. The Academic Council reviewed the revisions, found that they were non-substantive, and endorsed the policies. Dr. Susan Epps, President of the Faculty Senate, and Dr. Virginia Foley, chair of the senate's Faculty Handbook Committee, similarly concluded that the revisions were non-substantive and endorsed the policies.

The proposed changes are as follows:

Tenure

Minor editorial changes, e.g. removing references to TBR.

Page 6 (*Non-Renewal of Tenure-Track Faculty*): Removed hyperlink to TBR policy 5:02:03:60, inserted the following text from that policy: “[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.”

Pages 18-22 (*Termination for Adequate Cause*): Removed hyperlink to TBR policy 1:02:11:00, inserted the text of that policy.

Faculty Ranks and Promotion

Minor editorial changes, e.g. removing references to TBR.

Pages 2-3: Replaced TBR's generic definition of “terminal degree” with the complete definition used at ETSU, authorized in writing by TBR.

Definition of Faculty and Types of Appointments

Minor editorial changes, e.g. removing references to TBR.



Deleted a section on post retirement faculty appointments, which linked to TBR policy 5:01:03:03 and guideline P-160. ETSU Human Resources is preparing a policy on post retirement for inclusion in the university's personnel policies.

Academic Freedom and Responsibility

Minor editorial changes, e.g. removing references to TBR.

I recommend that the committee advise the Board of Trustees to approve the policies listed above.



East Tennessee State University Policy Revision

Policy Title: Tenure

Policy Type: Academic **New/revised:** Revised

Old Policy #: 1:02:11:00, 5:02:03:60, and ETSU Faculty Handbook

Approval level: Board of Trustees
 President
 Vice President
 Other (specify here)

Purpose

To define tenure and to provide the principles, guidelines, and process of faculty tenure.

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 East Tennessee State 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. ETSU 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 elsewhere in this policy.

Tenure is awarded only by positive action of the Board of Trustees, pursuant to the requirements and procedures of this policy. No faculty member shall acquire or be entitled to any interest in a tenure appointment at ETSU without a recommendation for tenure by the President of the university and an affirmative award of tenure by the Board of Trustees. 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 this policy.

Financial Exigency

Financial exigency is the formal declaration by the Board of Trustees that the 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.

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.

Policy

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 East Tennessee State 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.

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 ETSU's policy on faculty ranks and promotion; (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 ETSU's policy on definition and types of faculty.

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 Board of Trustees.

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 East Tennessee State 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 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.

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. 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 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. 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. 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 ETSU policy on appeals to the Board, decisions that are not subject to appeal to the Board of Trustees 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 ETSU policy, 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 ETSU policy.

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 this policy 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 Board of Trustees, 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 Board of Trustees. 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. 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, 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 Trustees.



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 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 this policy; results of peer evaluations of teaching, as described in this policy; 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, the university 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

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.

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.

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 a declaration by the Board of Trustees that such financial conditions exist. Personnel decisions (including those pertaining to tenured faculty) that result from a declaration of financial exigency will comply with ETSU policy.

Termination of Tenure for Curricular Reasons

Definitions

"Program is deleted from the curriculum" means that the university 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."



"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."

Procedure

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 Board of Trustees as provided in ETSU policy.

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.

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 with a tenure-track or temporary appointment prior to the annual specified term of the appointment, shall be subject to the following procedures:

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



5. If no mutually acceptable resolution is reached through step 4 the following steps shall be taken.
 - a. The faculty member shall be provided with a written statement of the specific charges alleged by the university which constitute grounds for termination and a notice of hearing specifying the time, date, and place of the hearing. The statement and notice must be provided at least twenty (20) days prior to the hearing. The faculty member shall respond to the charges in writing at least five (5) days prior to the hearing. The faculty member may waive the hearing by execution of a written waiver.
 - b. A committee consisting of tenured faculty or tenured faculty and administrators shall be appointed to hear the case and to determine if adequate cause for termination exists according to the procedure herein described. 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 President of the Faculty Senate. 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.
 - c. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Members of the committee shall not discuss the case outside committee deliberations and shall report any ex-parte communication pertaining to the hearing to the President who shall notify all parties of the communication.
6. The hearing committee shall elect a chairperson who shall direct the proceedings and rule on procedural matters, including the granting of reasonable extensions of time at the request of any party and upon the showing of good cause for the extension.
7. The chairperson of the hearing committee may in his/her discretion require a joint pre-hearing conference with the parties which may be held in person or by a conference telephone call. The purpose of the pre-hearing conference should include but is not limited to one or more of the following:
 - a. As notification as to procedure for conduct of the hearing.
 - b. To exchange witness lists, documentary evidence, and affidavits.
 - c. To define and clarify issues.
 - d. To effect stipulations of fact. A written memorandum of the pre-hearing conference should be prepared and provided to each party.



8. A hearing shall be conducted by the hearing committee to determine whether adequate cause for termination of the faculty member exists. The hearing shall be conducted according to the procedures below.
 - a. During the hearing, the faculty member will be permitted to have an academic advisor present and may be represented by legal counsel of his/her choice.
 - b. A verbatim record of the hearing will be taken and a typewritten copy will be made available to the faculty member, upon request, at the faculty member's expense.
 - c. The burden of proof that adequate cause exists rests with the university and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
 - d. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the committee in using its best efforts to secure witnesses and make available documentary and other evidence that is under its control.
 - e. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and, if possible, provide for interrogatories. An affidavit may be submitted in lieu of the personal appearance of a witness if the party offering the affidavit has provided a copy to the opposing party at least ten (10) days prior to the hearing and the opposing party has not objected to the admission of the affidavit in writing within seven (7) days after delivery of the affidavit or if the committee chairperson determines that the admission of the affidavit is necessary to ensure a just and fair decision.
 - f. In a hearing on charges of incompetence, the testimony shall include that of qualified faculty members from the university or other universities of higher education.
 - g. The hearing committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
 - h. The findings of fact and the report will be based solely on the hearing record.
 - i. The President and the faculty member will be provided a copy of the written committee report. The committee's written report shall specify findings of fact and shall state whether the committee has determined that adequate cause for termination exists and, if so, the specific grounds for termination found. In addition, the committee may recommend action less than dismissal. The report shall also specify any applicable policy the committee considered.



9. After consideration of the committee's report and the record, the President may in his/her discretion consult with the faculty member prior to reaching a final decision regarding termination. Following his/her review, the President shall notify the faculty member of his/her decision, which, if contrary to the committee's recommendation shall be accompanied by a statement of the reasons. If the faculty member is terminated or suspended as a result of the President's decision, the faculty member may appeal the President's action to the Board of Trustees pursuant to the university's policy titled, "Appeals and Appearances before the Board of Trustees." Review of the appeal shall be based upon the record of hearing. If upon review of the record, the Board notes objections regarding the termination and/or its proceedings, the matter will be returned to the President for reconsideration, taking into account the stated objections, and, at the discretion of the President, the case may be returned to the hearing committee for further proceedings.



East Tennessee State University Policy Revision Template

Policy Title: Faculty Ranks and Promotion

Policy Type: Academic **New/revised:** Revised

Old Policy #: 1:02:11:00, 5:02:03:60, and ETSU Faculty Handbook

Approval level: Board of Trustees
 President
 Vice president
 Other (specify here)

Purpose

To define faculty ranks and to provide the principles, guidelines, and process of faculty promotion.

Policy

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 ETSU 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 ensuring 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 Board 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

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. 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.
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.
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. 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.
4. **Terminal Degree.** ETSU will use national discipline standards to determine which degrees are considered to be "terminal" within each discipline.



- a. The current list of terminal degrees includes the following:
 - i. Earned Doctorates
 - ii. Masters
 - iii. M.F.A. (studio art, creative writing)
 - iv. M.L.S. or Master's in Library Science (library science)
 - v. M.M. (certain specialties in music)
 - vi. Masters in Engineering or Masters with Major in Engineering (engineering technology)
- b. National practice does not recognize the J.D. as a doctorate; however, the J.D. may be considered a terminal degree in disciplines directly associated with legal studies.
- c. "Equivalent work experience credit" may be requested 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 experience gained as an administrator, counselor, librarian, journeyman, or the like. ETSU will adhere to the SACS guidelines for faculty credentials:
<http://www.sacscoc.org/pdf/081705/faculty%20credentials.pdf>

Faculty Ranks

1. Assistant Professor. Those faculty members promoted to or hired at the rank of Assistant Professor should meet the following criteria:
 - a. Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.
 - b. 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.
 - c. Evidence of good character, mature attitude, and professional integrity.
 - d. 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.
 - e. Promise of productive creative and scholarly research and professional service.
2. 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:
 - a. Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.
 - b. A faculty member may apply for promotion to associate professor after having completed five full years in the rank of assistant professor.
 - c. 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.
 - d. Documented evidence of teaching effectiveness.
 - e. Documented evidence of professional service activities of a significant nature.



- f. Documented evidence, as accepted within the discipline, of scholarly productivity in research or creative endeavors.
 - g. Evidence of good character, mature attitude, and professional integrity.
3. 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:

- a. Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.
 - b. 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.
 - c. Documented evidence of teaching effectiveness.
 - d. 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.
 - e. 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.
 - f. Evidence of good character, mature attitude, and professional integrity, and a high degree of academic maturity and responsibility.
4. Rank at appointment
- a. New faculty members will normally be employed, based upon their qualifications, at the rank of instructor, assistant professor, associate professor or professor.
 - b. 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.
5. Exceptions to minimum rank qualifications



- a. 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 minimum rank qualifications can be recommended to the Board 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.
- b. 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.

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 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.

1. Command of subject matter, and a record that indicates that the individual has remained current in his/her field of specialization.
2. Ability to organize and present subject matter in a logical and meaningful way.
3. Ability to motivate students.
4. Curriculum and/or program development; development of instructional techniques or teaching methods, including development of on-line teaching methods and courses.
5. 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.
6. 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.
7. 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.)
8. 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.

1. 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.
2. 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.
3. Performances or exhibitions that are invited or juried by internationally, nationally, or regionally recognized members or groups within the discipline.
4. Research in progress: Verification of stages of development is mandatory.
5. 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.

1. 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.

2. 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.
3. 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:

1. 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.
2. 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).
3. 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.

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 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 ETSU policy.

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 ETSU policy 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 of each year, 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, on each promotion recommendation will be taken by the President. When a recommendation is approved by the President and subsequently by the Board, 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 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 Board.

Upon final action taken by the Board, 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 in accordance with the university's policy on appeals to the Board.



East Tennessee State University Policy Revision Template

Policy Title: Definition of Faculty and Types of Appointments

Policy Type: Academic **New/revised:** Revised

Old Policy #: 5:02:01:00, 5:02:07:10, ETSU Faculty Handbook

Approval level: Board of Trustees [Select box for appropriate level of anticipated final approval]

President

Vice President

Other (specify here)

Definition of Faculty

1. The term "Faculty" shall be limited to regular, full-time personnel at institutions whose regular assignments include instruction, research, and/or public service as a Principal Activity, and who hold academic rank as professor, associate professor, assistant professor or instructor, senior instructor, or master instructor, and as senior vocational teacher, intermediate vocational teacher, vocational teacher. Institutions may limit, but may not expand the scope of the definition of Faculty for the purposes of this policy.
2. The term "Regular, Full-time Personnel" as used in the definition of "Faculty" is limited to those persons whose appointments are for a complete academic or fiscal year.
3. The term "Principal Activity" as used in the above definition shall mean that the person's regular assignment in the areas of instruction, research and/or public service must be at least fifty percent (50%) of the total assigned duties.
4. The terms "Instruction," "Research," and "Public Service" shall be limited to those academic activities properly assignable to the institution's current funds expenditures accounts designated as "Instruction," "Research," "Public Service," and "Academic Support." The terms exclude those activities properly assigned to accounts for "Student Services" (with the exception of remedial instruction which, at the discretion of the institution, may be treated as regular "Instruction"), "Institutional Support," "Operation and Maintenance of Plan," etc.*
5. The term "Faculty" shall not, for the purposes of this statement, include members of an institution's instructional personnel defined as "adjunct faculty," part-time teachers, post-doctoral fellows, visiting lecturers, and graduate assistants. "Adjunct Faculty" is defined as professional staff members of businesses, industries and other agencies and organizations who are appointed by institutions on a part-time basis to carry out instructional, research or public service functions.
6. If not otherwise included within the above definition of "Faculty," the term "Faculty" may include, provided they hold academic rank, academic department or division chairpersons or directors, academic deans,



academic vice presidents, and the President, who have direct line authority over Faculty as herein above described, and associates or assistants for the above positions. In addition, the term "Faculty" may include persons previously designated as members of the Faculty who are assigned to other positions at the institution.

7. Academic rank is an element of Faculty status, and shall be limited to Faculty within the above definition. Academic rank may only be assigned to Faculty who meet the minimum rank criteria under the ETSU Faculty Ranks and Promotion policy, and that policy shall control any promotion in rank.
8. Exceptions to this policy can be made upon recommendation by the President.

Types of Faculty Appointments

1. **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 President.
2. **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.
3. **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 without a recommendation for tenure by the President and an affirmative award of tenure by the Board of Trustees. 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.

4. **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.
5. **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.
6. **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.
7. **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.



8. 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.

9. 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.
10. Graduate Faculty Appointments. Guidelines for appointment to the Graduate School Faculty are located at <http://www.etsu.edu/gradstud/documents/forms/gradfacproc212.pdf>.
11. 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.

Role of Administrators with Faculty Status in Departmental Matters



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.



East Tennessee State University Policy Revision Template

Policy Title: Academic Freedom and Responsibility

Policy Type: Academic **New/revised:** New

Old Policy #: 5:02:03:30

Approval level: Board of Trustees [Select box for appropriate level of anticipated final approval]
 President
 Vice President
 Other (specify here)

Purpose

The purpose of this policy is to define the exercise of academic freedom and responsibility.

Policy

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. 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 professional conduct: These and other grounds as set forth in university policy may constitute adequate cause for dismissal or other disciplinary sanctions against faculty members. 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.

