

College of Dentistry Guidelines
for
Faculty Appointment,
Promotion, and Tenure

The University of Tennessee Health Science Center

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Guidelines for Faculty Appointment and Promotion

General

Appointment to the faculty of the College of Dentistry is based on the demonstration or promise of excellence in teaching, research/scholarly activity, patient care, and service. Consideration for promotion in academic grade is based on achievement in these same areas. In general, appointment to the faculty is limited to dentists, dental specialists, dental scientists, non-dentist biomedical scientists, and other non-dentists whose training and skills support dental education.

Regular and Special Appointments

Two general types of appointments are available. "Regular" appointments pertain to the usual academic grades: Professor, Associate Professor, Assistant Professor, and Instructor. When an individual is given a "regular" appointment, no additional modifying words are added to the usual academic grade designation.

The second type of appointment is referred to as a "special" appointment. In this case the usual academic grade designations (i.e., Professor, Associate Professor, Assistant Professor and Instructor) are still used but, in addition, an adjective is used to modify the appointment. For example, "special" appointments are indicated by the words "Adjunct," "Clinical," and "Emeritus." These "special" appointments are usually reserved for those individuals who are volunteer, visiting, and emeritus faculty. A further explanation of these terms can be found in the UT Memphis Faculty Handbook.

Appointment Consideration

Faculty recruitment and searches are conducted according to College and University guidelines. Once a candidate for a position is identified, but before the employment offer is made, the academic grade of the initial appointment is considered.

Each candidate will be evaluated with respect to past performance in academic and research/scholarly activities appropriate to his/her field. Corroboration of the credentials of the candidate is necessary; documentation attesting to earned degrees, residencies, postdoctoral programs, fellowships, and other formal educational experiences is required. Once determined, the Chair of the department in which the appointment is to be made will consult the guidelines for academic grades and make a suitable recommendation to the Dean of the College. The candidate's achievements readily identifiable in the traditional realms of academic endeavor (i.e., teaching, research/scholarly activity, patient care, and service) are the major factors used to determine the appointment grade.

The Dean of the College will consider the documentation and recommendation provided by the Chair and may consult the College of Dentistry Faculty Appointment, Promotion, and Tenure Committee for its review and recommendation. Ultimately, the Dean of the College makes a recommendation to the Chancellor regarding the academic grade appropriate for the candidate.

Guidelines for Academic Grades

The academic ranks to be considered include Instructor, Assistant Professor, Associate Professor, and Professor. These ranks are presented as would normally occur with the evolution of a faculty member from an educated but inexperienced novice in academics to a skilled, experienced, and respected expert

in academics. The criteria presented below should be used in considering the rank of initial appointment at this institution as well as criteria for consideration of promotion.

With regard to appointment, the criteria suggest that the initial appointment for a person with no prior or substantive academic involvement will most likely be at the Instructor or Assistant Professor level. An initial appointment at the Associate Professor or Professor level could be considered in the case of an individual who has a substantial record of prior experience in academics or other scholarly pursuits, and where the credentials of the individual indicate that the person has demonstrated extraordinary quality of effort.

With regard to promotion, credentials are the prime method of documenting achievement and worth. Other factors considered include an assessment of the contributions of the individual to the overall development and goals of the institution and the specific department. Scholarly achievements readily identifiable in the traditional realms of endeavor of the faculty member (teaching, research/scholarly activity, patient care, and service) are the major elements considered when a promotion recommendation is evaluated.

When considering an academic grade, the main areas of academic endeavor usually evaluated are teaching, research/scholarly activity, patient care [if appropriate], and service. Outstanding performance by an individual in all of the main aspects of academic endeavor is usually the exception. Thus, in evaluating the candidate's credentials with regard to listed guidelines, outstanding accomplishments in at least one area may be a more reasonable and important consideration; it is expected, however, that some measure of activity and quality will be demonstrated in all applicable areas. Criteria listed in conjunction with each academic area should be used as guidelines. Such guidelines are presented in the form of broad generalizations. When these guidelines are considered, either collectively or individually, they should not be construed as rigid and necessary.

In general, evaluation of an individual for appointment or promotion to senior rank is based on the nature of the individual's prior responsibilities and previous allocation of effort. While some scholarly attainment is required for appointment or promotion to senior rank, individual's who have had a primary responsibility in clinical and didactic teaching will have an increased expectation of documentation of excellence in teaching, while those with primary responsibilities in the area of scholarly attainment, will be expected to have measurable research accomplishments.

Guidelines for appointment in or promotion to the various ranks are as follows:

Instructor (UTHSC FH 5.1.4)

- A. Training
 - 1. DDS degree or its equivalent; Ph.D. degree or its equivalent.
- B. Potential
 - 1. Commitment to excellence in teaching, research/scholarly activity, patient care, and service.
 - 2. Have an excellent scholastic record as a student.
 - 3. Demonstrate evidence of ability to relate effectively to students or professional colleagues.

The rank of instructor is generally considered tentative and transient. This rank assumes that the credentials of the individual are not yet adequate to judge whether the candidate will merit a more permanent faculty appointment; thus, appointment will be on an annual basis, with careful review of

continuation each year.

A formal review of the accomplishments of the individual is to be undertaken at each yearly interval by the Chair, and one of three recommendations is to be made:

1. Promotion to Assistant Professor
2. Continuation at the same rank
3. Termination of the appointment.

Chairs are urged to consider a final decision on retention (and generally, thus, promotion) of an Instructor no later than three (3) years after the original appointment.

Assistant Professor (UTHSC FH 5.1.3)

A. Training

1. D.D.S. degree or its equivalent and the completion of an advanced educational experience in dentistry or relevant experience in clinical dentistry. For the biomedical scientist, a Ph.D. degree and completion of a relevant postdoctoral fellowship or experience in research.

B. Potential

1. Potential for the development of excellence in teaching based upon student or peer group evaluations.
2. Promise of excellence in research/scholarly activity as determined by peer group evaluation. This evaluation should be based on documentation that indicates the potential for collaborative or independent research/scholarly activity leading to grant funding, presentations and/or publications.
3. Promise of excellence in patient care according to documentation of quality performance in an advanced dental education program and/or documentation of outstanding performance in patient care activities while in dental school or practice.
4. Potential for service to the department, College, University, or Community.
5. Have demonstrated ability to relate effectively to students or professional colleagues.

The rank of Assistant Professor ordinarily follows from the completion of all relevant training, during which the candidate has already presented evidence that he/she has an adequate background to develop a career in academic dentistry.

Time spent in the rank of Assistant Professor is intended to be a period during which a new faculty member is given ample opportunity and guidance to develop teaching skills, further develop clinical skills (if appropriate), instigate a program of research/scholarly activity, and participate in the work of the department, College, or University through service on committees.

On a yearly basis, the Chair undertakes a formal review of the accomplishments of an individual holding the rank of Assistant Professor, with appropriate input from senior staff of the department, and one of two recommendations is made:

1. Continuation of the appointment
2. Termination of the appointment

After two or three years (depending on the length of the probationary period), a mandatory Interim Probationary Review for the Award of Tenure must be conducted as described under the section on

mandatory Interim Probationary Review for the Award of Tenure. After four years at the rank of Assistant Professor, a third recommendation could be considered; promotion to the rank of Associate Professor. A period of four years is usually the minimum time in the rank of Assistant Professor before promotion to the rank of Associate Professor is considered. Tenure is usually not considered until the fifth or sixth year of service.

At a point no later than the end of six years in the rank of Assistant Professor, a complete and thorough review is made, and one of four recommendations is made:

1. Promotion to Associate Professor with tenure (if on a tenure track).
2. Recommendation for tenure only (because the person has already been promoted to the rank of Associate Professor).
3. Recommendation for consideration of tenure only and continuation at the rank of Assistant Professor.
4. Termination of the appointment.

Exceptional circumstances would have to exist for the third recommendation to be made; specific and detailed justification would be necessary.

Associate Professor (UTHSC FH 5.1.2)

A. Training

1. D.D.S. degree or its equivalent and the completion of an advanced educational experience in dentistry or relevant experience in clinical dentistry. For the biomedical scientist, a Ph.D. degree and completion of a relevant postdoctoral fellowship or experience in research.

B. Accomplishment

1. Demonstrated effectiveness in teaching and promise of continued development. In teaching, accomplishments must include demonstrated ability to promulgate in-depth knowledge to students at all levels by various means and the ability to stimulate students to greater scholarship. This may be documented by evidence of the design and implementation of innovative methods of presentation and evaluation and continued updating of methods and materials. Such evidence must include peer and student evaluations and may include publications in educational journals and honors received.
2. Demonstrated excellence in patient care and promise of continued development. Relative to patient care, excellence must have been demonstrated by the application of progressive and innovative programs in patient care and the utilization of data collected in patient care in advancing clinical knowledge and technology. He/she should not only demonstrate superior scientific knowledge and proficiency in the technology of his/her field, but also should be skilled in techniques of health care delivery. Publications in appropriate clinical journals may also be considered as evidence of accomplishment relative to patient care. Where appropriate, progress toward board certification is evidence of achievement relative to patient care.
3. Demonstrated record in research/scholarly activity and promise of continued development as assessed by evaluation of peer groups and the Chair. Relative to research/scholarly activity, a strong record must have been demonstrated by:
 - a. conduct of independent research projects or assumption of major role in collaborative research as evidenced by being a principal investigator or a co-principal investigator, or
 - b. publication of research/scholarly results in recognized, refereed journals, or

- c. demonstrated ability to generate funds for research support.
4. Demonstrated excellence in service and promise of continued development. Relative to service, excellence must have been demonstrated by committee and administrative involvement at the departmental, collegial, or institutional level.
5. Have demonstrated ability to relate effectively to students or professional colleagues.

C. Academic Leadership

1. Recognition by peers regarding overall academic accomplishments and value by election or appointment to scientific or professional organizations and groups where membership is honorable or selective.
2. Recognition outside the institution as documented by invited presentations, invited lectureships and similar activities.

A promotion to the rank of Associate Professor signifies considerable accomplishment in teaching, development of clinical skills (if appropriate), establishment of measurable research or other scholarly activity, and participation in the work of the department, College, or University through service. In addition to the accomplishment of these goals is the definite promise of continued productivity and development. Any recommendation for appointment or promotion to the rank of Associate Professor must be based on precise documentation.

A promotion to the rank of Associate Professor signifies every expectation of eventual promotion to the rank of Professor. A period of five years is usually the minimum time in rank of Associate Professor after which promotion to Professor could be considered.

Professor (UTHSC FH 5.1.1)

A. Training

1. D.D.S. degree or its equivalent and the completion of an advanced educational experience in dentistry or relevant experience in clinical dentistry. For the biomedical scientist, a Ph.D. degree and completion of a relevant postdoctoral fellowship or experience in research.

B. Accomplishment

1. Enthusiastic, effective and devoted leadership in the educational sphere and recognition as an excellent and stimulating teacher as determined by peer and student evaluations. Demonstration of progressive teaching methods and materials, publications in the area of education, academic honors, and other notations of continued development and accomplishment are signals of the value of the faculty member.
2. Innovative and significant contributions in clinical dentistry which signify improved and progressive delivery of health care. Recognition of knowledge, skill, and expertise at the institutional level and a broader (regional and national) level should be evident. Demonstration of such regard could be provided through publications, presentations, certification, and other credentials which indicate that accomplishment with regard to patient care is recognized on a broad scale.
3. Evidence of scholarly attainment based primarily upon evaluation by the Chair and peer group in the production of new information can be demonstrated by maintenance of an active program of research/scholarly activity for prolonged periods that have produced significant contributions to the profession through highly regarded research publications and continued attainment of research grant support. Evidence of scholarly attainment can also be demonstrated through the direct influence on young scholars who themselves

- have become productive and capable of independent investigation.
4. Demonstration of excellence in service through contributions to academic life by service and leadership on College and/or UT Health Science Center academic committees, or distinguished contributions to non-academic community or other groups which may enhance the public image of the College and University
 5. Have demonstrated ability to relate effectively to students or professional colleagues.
- C. Academic Leadership
1. Recognition by peers regarding overall academic accomplishments and value by election or appointment to scientific or professional organizations and groups where membership is honorable or selective. Leadership of regional or national organizations is particular demonstration of respect and value of contribution.
 2. Recognition outside the institution such as through honors, invited professorships, invited written contributions, participation on NIH study sections or other peer review panels, and/or appointments to specialty boards as members or examiners.
 3. Recognition within the institution through involvement on a leadership level in administration and policy-making functions.
 4. National recognition by peers as an authority in his/her particular field of clinical or scientific endeavor.

Attainment of the rank of Professor is an indication that, in the opinion of colleagues, the individual has made and continues to make outstanding contributions in teaching, patient care (if appropriate), scholarly activity, and service; has achieved a high level of creative productivity in the academic arena; and, has earned national and perhaps international recognition. It should be stressed that promotion or appointment to this rank, or any other academic rank, is recognition of accomplishment and value rather than a reward for longevity of service. Any recommendation for appointment or promotion to the rank of Professor must be accompanied by extensive and explicit documentation.

Guidelines for the Award of Tenure (Based on UTHSC FH 4.1)

Tenure Concept

Tenure is a principle that protects the academic freedom of a full-time faculty member in an institution of higher education and prevents his/her dismissal without adequate cause and due process. Both tenured and non-tenured faculty members enjoy academic freedom in The University of Tennessee, however, should a non-tenured faculty member claim that non-reappointment represents a violation of his/her academic freedom, the burden of proof of a tenure violation rests with the faculty member; the burden of proof of cause for dismissal of a tenured faculty member rests with the University. The economic security enjoyed by those who have been awarded tenure is also significant and must be recognized for the benefit of both the faculty member and the University.

Tenure reflects the recognition of a faculty member's importance to the future of The University of Tennessee. Hence, tenure is awarded only by positive action of the Board of Trustees of the University of Tennessee upon recommendation of the President. The President's recommendation is based, in turn, upon that of the Chancellor, Dean, and Chair, in consultation with the candidate's tenured faculty peers.

The awarding of tenure is based not only on the individual's professional excellence but also includes consideration of the anticipated needs of the department, College of Dentistry, and University for the foreseeable future. Professional excellence is reflected in good teaching, scholarship or other creative

work in the discipline, participation in professional organizations, willingness to contribute to the common life of the University, effective work with colleagues and students, and public service. The relative weighting of these factors in tenure determinations vary depending upon the mission of the particular academic unit and the characteristics of the individual.

A decision not to award tenure is in no sense a judgment of incompetence. Not all persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve the needs of the University's programs. The burden of proof that tenure should be awarded rests with the faculty member.

Tenure resides in a community of teachers/scholars competent to evaluate a candidate's professional contributions and to determine whether, on the basis of these past and potential contributions, he or she should be accepted as a permanent member of that community. Although the granting of tenure is an administrative decision that must be approved by the Board of Trustees, there shall be no positive recommendation for tenure without the required consultation with the tenured faculty of the unit to which the candidate belongs.

Eligibility

Tenure is considered for faculty occupying regular full-time academic positions. Tenure is an institutional responsibility of The University of Tennessee Health Science Center. Tenure also depends upon the needs of the department, program or College, the institution's goals and fiscal stability, and the candidate's present and potential value to the University.

Full-time Faculty

A full-time faculty member is considered to be eligible for tenure unless ineligibility is agreed upon in the initial Faculty Appointment Agreement form and the reason for ineligibility is specified. If less than 30 percent of the individual's salary support from the University of Tennessee is derived from state funds during the initial period of appointment, ineligibility for tenure will usually be specified.

A faculty member who is in the probationary period with respect to tenure, and who subsequently accepts transfer to a program supported by a contract or grant, continues to accumulate time toward eligibility for consideration for tenure unless the letter of transfer states otherwise.

A faculty member who is in the probationary period with respect to tenure and who is absent in an approved capacity (such as official leave of absence or on a Faculty Development Grant), will not continue to accumulate time toward eligibility for consideration for tenure and will be so notified in the leave of absence document or Faculty Development Grant contract.

Transfer to a Tenure Track

A faculty member may be transferred from a non-tenure track to a tenure track if he or she obtains a full-time appointment at the University and accepts the commitment through the action of the Chancellor, the Dean of the College, and the Chair of the department or other academic unit. The proportion of the time spent in academic service prior to transfer may be applied to the probationary period, when agreed to in writing by both the University and the faculty member.

Administrative Staff

No one shall be eligible for tenure in an administrative position. When a faculty member with tenure, or who is eligible for tenure, is appointed to an administrative position, he or she may retain tenure or be granted tenure in the faculty position only. The letter of appointment to the administrative position shall state the faculty member's status with regard to tenure.

When a non-tenured faculty member accepts a part-time faculty position or an administrative position with the University, such service is not counted as part of the probationary period leading to consideration for tenure.

Ineligibility

The following individuals are not eligible for tenure (and will be so notified in their initial Faculty Appointment Agreement forms and on the yearly reappointment letters): (a) part-time faculty members; (b) faculty who are appointed to positions funded from grants or contracts and who are notified in writing that such service is not applicable to consideration for tenure; (c) faculty holding a limited-term appointment; (d) individuals who are appointed to the University in administrative positions with academic rank and who are notified in writing that such service is not applicable to consideration for tenure; and (e) volunteer faculty or other categories of faculty who are not salaried through the University of Tennessee, Memphis. In terms of full-time faculty, normally tenure is not granted until an individual has completed at least one academic year at The University of Tennessee regardless of prior service or academic rank.

Interim Tenure Review (UTHSC FH 4.12.3.3)

. For each tenure-track faculty member whose probationary period is four or more years, an Interim Review will be conducted. The purpose of the Interim Review is to establish a mutual understanding between the faculty member and the Chair regarding his or her progress towards attainment of tenure. If the probationary period is four years, the Interim Review occurs in the second year. If the probationary period is five, six, or seven years, the Interim Review occurs during the third year. This two-part review will be conducted (a) by the tenured faculty in the department and (b) by the Chair at the same time as the Annual Performance-and-Planning Review. After reviewing each tenure-track faculty member's dossier (UTHSC FH 4.10.2), the tenured faculty will record a formal vote on the individual's progress towards tenure. A report will be written to the faculty member's Chair and will contain the following: a list of the tenured faculty members in attendance; all suggestions; the majority and minority views, if relevant; and the summary vote. The Chair will present and discuss the tenured faculty's report, as well as his or her own assessment, with the faculty member during the Annual Performance-and-Planning Review; this meeting with the Chair constitutes the second part of the Interim Review. The Chair will certify in the summary of the Annual Performance-and-Planning Review that the Interim Review by the tenured faculty has been completed and note the results thereof. Copies of these interim review documents are given to the faculty member and placed in his or her personnel file. .

The purpose of the interim tenure review is to establish a mutual understanding between the faculty member and the departmental leadership regarding his/her progress towards attainment of tenure. A negative interim review does not preclude the award of tenure but should place the candidate on notice of deficiencies that must be corrected before tenure could be recommended. A negative review should be accompanied by a definite written plan whereby the faculty member can meet the departmental expectations that would allow a favorable recommendation at the end of his or her probationary period. Alternatively, an unfavorable review may lead to a notice of non-reappointment of the faculty member.

This will be undertaken in keeping with guidelines and procedures outlined in the UTHSC Faculty Handbook 4.9, UTHSC Policy, and guidance provided in this document. A favorable interim tenure review does not commit the department or College to a subsequent recommendation for the award of tenure. At any time during the probationary period, the Chair may request that the tenured faculty review the faculty member's progress.

Process of Award

Criteria for Tenure Decisions

Criteria for tenure include performance in teaching, research/scholarly activity, creative activities, patient care (when applicable) and service. For tenure, the faculty member should be outstanding in one or more areas and satisfactory in the others. The following criteria are relevant to decisions governing the awarding of tenure. The list is not necessarily comprehensive, nor should it be assumed that the items are of equal significance, that each is essential for every individual under consideration, or that they are arranged according to relative importance.

1. Teaching effectiveness
2. Research accomplishments
3. Evidence of scholarship in written work and in teaching
4. Service to the community and the State
5. Staffing needs of the University
6. Professional degrees, awards, and achievements
7. Promise of professional growth
8. Advisory service to students
9. Direction of graduate student research
10. Professional activities
11. Membership and leadership in professional organizations
12. Participation in University sponsored programs
13. Ability to relate effectively to students and colleagues

Tenure Appointments and Awards (UTHSC FH 4.12.3.4)

The University of Tennessee Board of Trustees adopted the following statement on the granting of tenure at its June, 1971 meeting:

Tenure shall be granted only through positive action. No person shall attain or be granted tenure at the time of initial appointment or thereafter except upon the approval of the appropriate department Chair, Dean, Chief Academic Officer, Chancellor, the President of the University and the Board of Trustees.

Each regular full-time faculty member who is eligible for tenure, but is not tenured, is reviewed at appropriate intervals with respect to tenure. He or she will be given the opportunity to submit evidence relevant to the review of performance and future promise. A committee of tenured peers appointed by the Chair or Director of the academic unit will formally review the evidence and make a recommendation to the Chair or Director. In the case of a joint appointment, the committee shall include representatives of all departments or other academic units involved.

Tenure recommendations are made as follows (UTHSC FH 4.13): Recommendations are initiated within the department or academic unit and forwarded to the Chief Academic Officer of the College, who

presents the recommendations to the College Promotion and Tenure Committee (CPT). The CPT forwards its recommendation to the Dean, who makes an independent judgment and subsequently forwards his/her recommendation to the UTHSC Chief Academic Office, who, in turn, makes an independent recommendation and forwards it to the Chancellor who forwards his/her recommendation to the President of the University and, finally, the Board of Trustees. The results of the action of the Board of Trustees are transmitted from the President to the Chancellor and Dean who provide written notice of the awarding of tenure to the individual faculty member.

Notification of Tenure Status

Each faculty member, regardless of category, will be informed in writing of his or her individual status with respect to tenure at the following times:

1. The initial Faculty Appointment Agreement will give the status of the faculty member with respect to eligibility for consideration for tenure. If eligible, the latest date for consideration for award of tenure shall be given and, if not eligible for tenure, the reason for ineligibility shall be stated.
2. The yearly reappointment letters will also specify tenure status.

The Dean must inform a faculty member in writing of a change in eligibility for consideration for tenure that may occur.

Reappointment

All faculty members, whether tenured, probationary, or on a non-tenure track, are appointed on an annual basis by placing their names in the budget approved by the Board of Trustees. However, the University's obligation to continue such appointments in future years extends only to tenured faculty members.

Administrative Changes

Reorganization

Reorganizations that result in the merger or division of academic units do not affect the tenure or probationary status of the faculty involved. In particular, tenured faculty members affected by the reorganization will have tenure in that new unit to which they are assigned.

Transfer or Reassignment

Should a non-tenured faculty member transfer from one academic unit to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution, including possible credit for prior experience, in establishing the length of the new probationary period. All conditions relating to the new probationary period must be documented and accepted, in writing, by the transferring faculty member.

A faculty member who is awarded tenure and who is assigned subsequently to a program supported by a contract or grant, does not lose his or her tenure status.

Should a tenured faculty member voluntarily transfer from one UT campus to another, his or her tenured

status is not transferred. However, a review by the responsible administrators in consultation with the tenured faculty of the receiving academic unit may result in an immediate recommendation to the Board of Trustees that tenure at the new campus be granted to the transferred individual; on the other hand, a new probationary period in the receiving unit may be established. There shall be no involuntary transfer of faculty members between campuses. Transfers of tenure between academic units on the same campus do not require Board approval, but must be approved by the responsible campus administrators in consultation with the tenured faculty of the receiving unit, with notification of the Board of Trustees. In any event, prior to the effective date of the transfer, all conditions relating to tenure must be documented and accepted, in writing, by the transferring faculty member.

When a tenured faculty member accepts a part-time faculty position or an administrative position with the University, neither of which can carry tenure, the faculty member retains tenure in the department in which he or she was previously based.

Termination of Tenure

The services of tenured or non-tenured faculty members may be terminated because of (1) resignation; (2) death; (3) retirement; (4) discontinuance of a program or function; (5) extraordinary circumstances due to financial exigencies; or (6) adequate cause.

When a tenured faculty member resigns his or her position or fails to return to the University following an approved leave of absence, tenure is terminated.

Extraordinary Circumstances (UTHSC FH 7.1.3)

According to the Board's policy, in the case of academic program discontinuance, the termination of tenured faculty may take place only after consultation with the Faculty through appropriate committees of the department, the college, and the Faculty Senate. When termination of a tenured faculty appointment is based upon discontinuance of a program or function at UT Memphis, the Administration shall seek appropriate faculty discussion in arriving at such decisions, unless this decision is made by an authority outside The University, and shall exert every effort to make suitable reassignments of personnel. In every case of discontinuance of a program or department of instruction, resulting in termination of appointment, the tenured faculty member concerned will be given notice as soon as possible, and never less than twelve months' notice or twelve months' salary.

%According to the Board's policy, if termination of tenured faculty positions becomes necessary because of financial exigency or academic program discontinuance, the UT Memphis Administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member. The position of any tenured faculty member displaced because of financial exigency or academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer.

Adequate Cause (UTHSC FH 7.2)

Definition

Adequate cause refers to the types of permissible reasons for termination of the employment of a tenured faculty member³⁴. Adequate cause includes the following and similar types of reasons:

1. Category A: Unsatisfactory Performance in Teaching, Research, or Service
 - a. failure to demonstrate professional competence in teaching, research, or service;
 - b. failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to: (1) failure to comply with a lawful directive of the Chair, Dean, or UT HSC Chief Academic Officer with respect to the faculty member's duties or responsibilities; or (2) inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;
 - c. loss of professional licensure if licensure is required for the performance of the faculty member's duties; or with respect to Health Sciences faculty, failure to be granted or loss of medical staff membership and privileges at affiliated teaching hospitals; or
 - d. dishonesty or other serious violation of professional ethics or responsibility in teaching, research, or service; or serious violation of professional responsibility in relations with students, other faculty members, employees, or members of the community.
2. Category B: Misconduct
 - a. failure or persistent neglect to comply with University policies, procedures, rules, or other regulations, including but not limited to violation of The University's policies against discrimination and harassment;
 - b. falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;
 - c. theft or misappropriation of University funds, property, services, or other resources;
 - d. admission of guilt or conviction of: (1) a felony; or (2) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration; or
 - e. any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.

Procedures for termination due to adequate cause are outlined in the UTHSC FH 7.3.1, 7.3.2 and 7.3.3.

Sixth-Year Review of a Tenured Faculty Member

The Board's policy on tenure stipulates that there shall be comprehensive, formal, cumulative, performance reviews of all tenured faculty members to promote faculty development and to ensure professional vitality. At UT HSC the following policies and procedures ensure that these reviews include peer evaluation and take place with sufficient frequency. Called the Sixth-Year Review, a cumulative performance review of each tenured faculty member will be performed every six years, except when promotion has occurred during the previous six-year period or the faculty member has submitted to the Chair a letter of intent to retire or resign within the next 12 months.

The Sixth-Year Review is a peer review and evaluation process, conducted by the tenured faculty peers (UTHSC FH 4.3.2) and the Chair and summarized in a combined report. The Sixth-Year Review should be flexible enough to acknowledge different expectations in different disciplines and changing expectations at different stages of faculty careers. The focus of the Sixth-Year Review will be the faculty member's accomplishments made since the award of tenure or the previous cumulative review. This review offers a way of evaluating tenured faculty members that supports professional development as well as professional responsibility. The fundamental criteria for a positive cumulative review are fulfilling and meeting the distinctive requirements, established in writing by the department for the faculty position that the individual fills, and possessing a record of academic achievement at UT Memphis that indicates

successful development of his or her academic career. For an individual faculty member the key aspect of these reviews is establishment and fulfillment of the professional expectations, established at the departmental level. The basic standard for appraisal should be whether the faculty member under review discharges conscientiously and with professional competence the duties, goals, and objectives appropriately associated with his or her position, not whether the faculty member meets the current standards for the award of tenure, as those might have changed since the initial granting of tenure.

Bylaws of colleges and/or departments should limit peer reviewers to tenured faculty members, holding faculty rank(s) equal or superior to that of the faculty member whose performance is being reviewed. If less than three tenured faculty members, holding the appropriate rank(s), are available within a department to participate in the Sixth-Year Review process, the departmental bylaws will specify that the College Promotion and Tenure Committee (UTHSC FH 4.3.3) shall do so. Collegiate and/or departmental bylaws specify the mechanism by which the tenured faculty peers participate in the Sixth-Year Review of their tenured colleagues (UTHSC FH 4.3.2).

Appendix A

Procedures for Initiation and Processing Recommendations for Appointment to the Faculty

1. A recommendation for appointment to the faculty of the College of Dentistry is ordinarily initiated by the Chair of the department to which the faculty member will be appointed. If a faculty member is to be appointed jointly in two or more departments, the Chairs of all departments in which appointment is requested must submit such nominations, individually or jointly. Appointments may be made at any time during the academic year. The academic grade of the initial appointment will be determined by mutual agreement among the departmental Chairs, the faculty candidate, and the Dean of the College of Dentistry. The guidelines for appointment at any given rank are those stated previously.
2. When the departmental Chair submits a nomination for any new appointment to the Dean, the following additional documents must be submitted:
 - a. Certified copies of the documentation of relevant degree.
 - b. An up-to-date curriculum vitae constructed according to a suitable format.
 - c. Two supporting letters of recommendation. [For candidates who have previously held faculty or training positions at UT or affiliated institutions, faculty at UT HSC may author the letters. For candidates who seek to join UT Memphis from another institution, the letters should be from that institution or other sources outside UT HSC. For potential faculty members who are non-dentists and who are being considered for their first faculty appointment or who have completed their highest degree within the past three years, one of the letters of recommendation should ordinarily be from the major professor supervising the award of the degree. Appointment letters should be submitted by individuals who hold a faculty rank equal or greater to that which the individual seeks appointment. Additional letters, beyond the required two, from UTHSC or external faculty, may be submitted at the discretion of the departmental Chair.]
 - d. For faculty whose native language is not English, a completed "Certification of Effective Communication in English".

APPENDIX B

Procedures for Initiation and Processing Recommendations for Promotion and Award of Tenure

1. A recommendation for promotion or tenure is ordinarily initiated by the Chair of the department in which the faculty member is appointed. An individual faculty member has the privilege of requesting his/her own promotion or award of tenure. Such a request should conform to the relevant stipulations of this document, and it should be directed ordinarily to the departmental Chair. In the case of a faculty member who holds a joint appointment in two or more departments, promotion may take place in one department without its occurrence in the other department(s). In any case, the Chairs of all departments in which a promotion is requested must submit nominations, either individually or jointly. The Chair of the jointly appointed faculty member's base department recommends award of tenure, although tenure is an institutional responsibility.
2. When considering the award of tenure, the department Chair is required to form a tenure advisory committee consisting of tenured members of the faculty. When considering promotions, the department Chair will form a promotion advisory committee with members of equal or greater rank than that to which the individual seeks promotion. The faculty peers will review the dossier and meet for the purpose of recording a formal vote on the recommendation for promotion in rank (UTHSC FH 5.9.1). A quorum shall be fifty percent (50%) of the faculty eligible to vote on a given candidate or issue, and a positive or negative recommendation shall be decided by a simple majority of those faculty members present (UTHSC FH 4.3.2). The faculty peers' report to the Chair shall contain the following: a list of the faculty peers in attendance, the majority and minority views, if relevant, and the summary vote.
3. The Chair of the department reviews and considers the recommendations of the departmental advisory committees. After deliberation, the Chair then formulates a letter according to an acceptable format to be forwarded to the Dean of the College. In a case in which the award of tenure is not recommended, the Chair prepares a letter in which he or she states the reason(s) for the non-recommendation and forwards the letter to the Dean. If the Chair does not recommend promotion, he/she must inform the candidate in writing of the decision, stating that the faculty member may appeal the negative decision to the Dean. Should the Chair nominate a candidate for promotion or tenure over the objections of the departmental advisory committees, this fact must be noted in the nominating letter and the reasons for the Chair's action should be indicated. Whenever the recommendation of the Chair differs from that of the departmental faculty advisory committee, the Chair must notify the faculty peer committee who may meet again to consider whether a dissenting report should be developed, forwarded to the Department Chair, and subsequently to the Dean. In the case of nomination for award of tenure, the Chair, in his/her letter of nomination, shall include a summary of the opinion of the departmental advisory committee regarding the tenure recommendation. If no departmental promotions or tenure advisory committee can be formed (because of the small size of the department or lack of tenured faculty), the Chair formulates the letter recommending promotion or award of tenure on the basis of his/her best judgment.
4. The Chair will forward to the Dean the following:
 - a. A letter of recommendation written by the Chair and constructed according to the format suggested.
 - b. An up-to-date curriculum vitae constructed along the lines of the format suggested.

- c. Letters of support. The number and nature of support letters submitted to the Dean is explained below

Number of Letters

For any recommendation for promotion or tenure, a minimum of two letters are required, while a maximum of six letters may be submitted.

Qualifications of the Authors of the Support Letters

For any recommendation for promotion or tenure, individuals whose rank and tenure status equals, or is higher than, that of the proposed rank and tenure status of the candidate must submit the required letters of endorsement. Exceptions will not be made for these requirements. Supplemental letters (i.e., beyond those required) are not restricted according to rank or tenure status and may come from individuals not associated with academics.

Academic Association of the Authors of the Support Letters

For any recommendation for promotion to Assistant Professor, it is appropriate for the required letters of support to emanate from faculty in the candidate's department or colleagues in the College; while not required for consideration of promotion to Assistant Professor, extramural letters of support from individuals associated with the campus, community, region, nation, or in foreign countries can be used to supplement the nomination.

For any recommendation for promotion to Associate Professor, it is appropriate for the required letters of support to emanate from faculty in the candidate's department or colleagues in the College; while not required for consideration of promotion to Associate Professor, extramural letters of support from individuals associated with the campus, community, region, nation, or in foreign countries might be desirable to supplement the nomination.

For any recommendation for tenure, the required letters of support must emanate from faculty in the candidate's department, colleagues in the College, and from extramural sources (i.e., individuals associated with the campus, community, region, nation, or in foreign countries). The award of tenure implies that some degree of local, regional, national, and international recognition is developing or has developed; the letters of support should provide evidence that such is the case.

For any recommendation for promotion to Professor, the required letters of support must emanate from faculty in the candidate's department, colleagues in the College, and from extramural sources (i.e., individuals associated with the campus, community, region, nation, or in foreign countries). A promotion to Professor implies some degree of national or international recognition; the letters of support should provide evidence that such is the case.

Exceptions will not be made for these requirements.

Process for Solicitation of Letters

The candidate and the Chair will discuss the acquisition of letters, but all letters are solicited and received by the Chair, not the candidate. The candidate may suggest names of individuals to be asked to write support letters, but the decision as to who are asked to write support letters will be determined by the Chair. The Chair will

send a solicitation letter to each person who is being asked to write a letter of support. The Chair's solicitation letter should include information on the rank or tenure status being proposed, a request for the author to assess the candidate's teaching, research/scholarly activity, patient care, and service contributions, and direct the author of the support letter to only comment on contributions about which the author is familiar; a current curriculum vitae should be included with the Chair's solicitation letter.

- d. The following additional items must be submitted: 1) The initial appointment letter and annual reappointment letters with all information related to salary or income completely obscured; 2) Annual accomplishments and goals, written by the candidate, since accepting a tenure-track faculty appointment at UTHSC; and 3) Summaries of Annual Performance-and-Planning Reviews, written by the Chair and the faculty member's responses, if any, that correspond to the annual accomplishments and goals of item 2 above, and 4) Letter from the faculty peer committee.

If the recommendation includes consideration for tenure, documents pertaining to the candidate's Interim Review, if preformed, must also be submitted.

- d. Additional supporting materials. [Books, journal articles, videotapes, job descriptions, appointment letters, annual activity reports, student assessments, course syllabi, course handouts, other instructional materials, and so on, may be supplied for consideration within the College. Any materials that the candidate thinks will help the Department, College of Dentistry Faculty Appointment, Promotion, and Tenure Committee, and the Dean of the College in their consideration should be submitted. These additional supporting materials, however, may not be needed for campus consideration.]
5. Materials forwarded to the Chief Academic Officer of the College should be placed in a sturdy binder so that the materials are protected during handling and reading. Pertinent sections should be labeled and indexed. The design of the promotion and/or tenure packets is left to the candidate and Chair; they need not be elaborate.
6. All recommendations and supporting documents will be forwarded by the departmental Chair to the Chief Academic Officer of the College by the stipulated annual deadline.
7. Each recommendation will be presented to the College Promotion, and Tenure Committee. The Committee will make a positive or negative recommendation on each nomination to the Dean of the College. The recommendation of the Committee will represent the will of the majority of the membership, but minority views may also be transmitted. If the CPT Committee renders a negative recommendation, the Department Chair will be informed in writing of the reason(s) for the recommendation. The Department Chair may appeal to the Dean before the recommendation at the college level is made.
8. The Dean will make a decision on each recommendation based on the advice of the Faculty Appointment, Promotion, and Tenure Committee, Chair, Faculty Peer Committee and his/her personal knowledge of the candidate and on the basis of other circumstances. On those positive recommendations in which the Dean concurs, he/she will so advise the Chair making the recommendation. The recommendation with

appropriate supporting documents will then be forwarded to the Campus Chief Academic Officer for further consideration.

9. If the Faculty Appointment, Promotion, and Tenure Committee renders a negative recommendation and if the Dean concurs in rejecting the nomination, the Dean will provide the individual faculty member and the Chair with written notice of that recommendation. The faculty member must be notified about the negative recommendation and must be informed of his or her right to appeal a negative decision through the Faculty Senate (Promotion, UTHSC FH 5.9.4 and 6.3) or Chief Academic Office (tenure, UTHSC FM 4.13.3). The ultimate decision concerning the recommendation for promotion or award of tenure to the Chief Academic Officer and Chancellor is the responsibility of the Dean of the College.

Appendix C

Specific Procedures for Effecting a Promotion in Rank

- A. Promotion process initiated (July – September)
 1. By Chair - recommends faculty member
 2. By faculty member - informs Chair that he/she requests to be a candidate for promotion
 - a. Chair informs Academic Dean of candidate
- B. Compile Dossier (September)
 1. Current CV
 2. Initial appointment letter and all reappointment letters
 3. Goals and accomplishments relevant to period related to this promotion (annual report)
 4. Annual performance assessments
 5. Maximum of 6 letters of evaluation
 6. Other useful information
- C. Academic Dean (October)
 1. Selects Peer Committee
 - a. Promotion to Assistant Professor
 - (1) Representative full-time Departmental faculty ranked Assistant Professor or higher
 - b. Promotion to Associate or Full Professor
 - (1) All full-time faculty at or above requested rank
 - (2) Representative part-time faculty
- D. Departmental Peer Committee (October – November)
 1. Reviews dossier
 2. Records a formal vote
 3. Sends report to Chair
 - a. Members in attendance
 - b. Majority and minority views (if relevant)
 - c. Summary vote
- E. Chair's Recommendation (January)
 1. Chair completes Form 0005 and 0007
 2. Positive recommendation
 - a. Letter of nomination
 - (1) Name
 - (2) Date of original UT appointment
 - (3) Date of any prior promotion
 - (4) Promotion effective-date
 - (5) Discipline or field
 - (6) Accomplishments
 - (7) If disagreeing with a negative recommendation from Dept. committee, must state reasons
 - (8) Justification if early-promotion request
 3. Negative recommendation
 - a. Chair informs candidate of reasons for non-recommendation and informs candidate of right of appeal to Dean
 4. Chair forwards Form 0005 and 0007 and all attachments to College Academic Officer by required date in January
- F. Chief College Academic Officer
 1. Convenes College Promotion and Tenure Committee (CPT) (February)
 - a. Tenured CPT members review materials and record their vote
 - (1) Positive recommendation
 - 1). Forwarded to Dean
 - (2) Negative recommendation

- 1). Forwarded to Dean and Chair
 - a) Chair may appeal to Dean

G. Dean

1. Reviews all recommendations (Dept. Committee, Chair, CPT) and makes independent recommendation (April)
 - a. Positive recommendation
 - (1) Advises chair
 - (2) Forwarded to UT Memphis Chief Academic Officer (CAO)
 - b. Negative recommendation
 - (1) Notifies candidate and Chair
 - (2) Explains candidates right to appeal to Faculty Senate

H. Chief Academic Officer (CAO)

1. Reviews recommendations from Dean
2. Makes independent recommendation
3. Forwards to Chancellor

I. Chancellor

1. Reviews recommendations from CAO during April
 - a. Makes independent recommendation
 - b. Positive recommendations forwarded to President

J. President

1. Forwards positive recommendations to Board of Trustees
 - a. Candidate sent written notice of promotion effective date

APPENDIX D

Specific Procedure for the Final Probationary Review for the Award of Tenure

- A. Compile Dossier
 1. Current CV
 2. Initial appointment letter and all reappointment letters
 3. Goals and accomplishments since at UT (annual report)
 4. Annual performance assessments
 5. Interim review report
 6. Maximum of 6 letters of evaluation
 7. Other useful information
- B. Departmental Tenure Committee (all dept tenured faculty)
 1. Reviews dossier
 2. Records a formal vote
 3. Sends report to Chair
 - a. Members in attendance
 - b. Majority and minority views (if relevant)
 - c. Summary vote
- C. Chair's Recommendation
 1. Chair completes Form 0005 and 0006
 2. Positive recommendation
 - a. Letter of nomination
 - (1) Name
 - (2) Date of original UT appointment
 - (3) Date of any prior promotion
 - (4) Tenure effective-date
 - (5) Discipline or field
 - (6) Accomplishments
 - (7) If disagreeing with a negative recommendation from Dept. committee, must state reasons
 - (8) Justification if early-tenure request
 3. Negative recommendation
 - a. Letter of non-recommendation
 - b. Chair states reasons for non-recommendation
 - c. If Chair disagrees with Dept. Committee
 - (1) Chair notifies Dept. Tenure Committee
 - (2) Dept. Tenure Committee meets
 - 1). Decides whether to submit a dissenting report
 4. Forwards Form 0005 and all attachments to Collegiate Academic Officer by required date in January
- D. Chief Academic Officer
 1. Convenes College Promotion and Tenure Committee (CPT)
 - a. Tenured CPT members review materials and record their vote
 - (1) Positive recommendation
 - 1). Forwarded to Dean
 - (2) Negative recommendation
 - 1). Forwarded to Dean and Chair
 - a) Chair may appeal to Dean
- E. Dean
 1. Reviews all recommendations (Dept. Committee, Chair, CPT) and makes independent recommendation by beginning of April
 - a. Positive recommendation

- (1) Advises chair
 - (2) Forwarded to UT Memphis Chief Academic Officer (CAO)
 - b. Negative recommendation
 - (1) Notifies candidate and Chair
 - (2) Explains candidates right to appeal to CAO
- F. Chief Academic Officer (CAO)
 - 1. Reviews recommendations from Dean
 - 2. Makes independent recommendation
 - 3. Forwards to Chancellor
- G. Chancellor
 - 1. Reviews recommendations from CAO during April
 - 2. Makes independent recommendation
 - a. Positive
 - (1) Forward to President
 - (2) If reversing a negative recommendation, informs Dean, Chair and candidate
 - b. Negative
 - (1) Advises candidate of appeal process
 - (2) If reversing a positive recommendation, meets with Dean, Chair and candidate to explain action
- H. President
 - 1. Makes independent recommendation
 - 2. Forwards positive recommendations to Board of Trustees
 - a. Candidate sent written notice of tenure effective date
 - 3. Notifies Chancellor of any negative recommendations

APPENDIX E

Specific Procedure for the Sixth-Year Review of a Tenured Faculty Member

1. Chair informs tenured faculty member (6 months prior to review)
2. Faculty member prepares dossier (by March)
 - a) Current CV
 - b) Annual goals and accomplishments for the last 5 years
 - c) Summaries of last 5 Annual Performance-and-Planning Reviews
 - d) Summary of activities and accomplishments for the preceding academic year
 - e) Additional documentation
3. Faculty peer committee (April)
 - a) Tenured faculty at or above rank of reviewed faculty member (participants determined by College by-laws)
 - (1) If less than 3 peers meet the criteria, then College CPT considers the faculty member
 - b) Tenured faculty peers review dossier
 - (1) 50% of eligible members constitute a quorum
 - (2) Rate faculty member's performance as:
 - (a) Outstanding – uncommon level of meritorious performance
 - (b) Highly Satisfactory – consistently exceed goals
 - (c) Satisfactory – consistently meets goals
 - (d) Needs Improvement – did not consistently meet goals
 - (e) Unsatisfactory – adequate cause for termination
 - (3) Send report to Chair
 - (a) List of members in attendance
 - (b) Majority and minority views (if relevant)
 - (c) Summary vote
4. Chair
 - a) Requests faculty member to prepare materials for Chair's evaluation (April)
 - (1) Previous year's activities and accomplishments
 - (2) Proposed goals
 - b) Chair's evaluation (May-June)
 - (1) Review performance in achieving goals over total evaluation period
 - (a) If negative ("needs improvement" or "unsatisfactory"), Chair and faculty member develop a written plan whereby faculty member can meet expectations for coming year
 - (2) Prepare letter to Dean if Chair disagrees with committee
 - (3) Present and discuss tenured faculty peer committee report
 - (4) Present work assignment for coming year
 - (5) Determine goals for next academic year
 - (6) Chair's written summary
 - (a) Includes assessment in teaching, patient care, research/scholarly activities and service
 - (b) Review provided to faculty member
 - (i) Chair's summary with rating
 - (ii) Tenured faculty peer committee summary
 - (iii) Form 0003
 - (iv) Goals and expectations for next year
 - (v) Work assignment for next year
 - (c) Faculty member prepares written response if desired (within 10 days)
 - (d) Chair and faculty member sign Form 0003
5. Disposition (June)
 - a) "Outstanding" – to Dean who forwards to UT Chief Academic Officer
 - b) "Highly Satisfactory" and "Satisfactory" – to Dean

- c) “Needs Improvement” or “Unsatisfactory” written remedial plan attached and forwarded to Dean
 - d) Where substantial disagreement at Department level exists, Dean may request a recommendation from CPT
6. Chair forwards signed Certification of faculty Review to UT Chief Academic Officer

APPENDIX F

Specific Procedures for Interim Probationary Reviews for the Award of Tenure

- A. Two-part
 1. by the tenured faculty in the department (or division) or the College Promotion and Tenure Committee (if the Department does not have 3 tenured faculty)
 2. by the Chair at the same time as the Annual Performance-and-Planning Review
- B. When required
 1. If the probationary period is four years, the Mandatory Interim Review occurs in the second year
 2. If the probationary period is five, six, or seven years, the Mandatory Interim Review occurs during the third year
- C. Procedure
 1. Chair counsels faculty member to prepare dossier that must include:
 - a. Current Curriculum Vitae, in the form required by UT Memphis;
 - b. The initial appointment letter and annual reappointment letters with all figures related to salary or income completely obscured
 - c. Annual accomplishments and goals, written by the candidate, since accepting a tenure-track faculty appointment at UT Memphis
 - d. Summaries of Annual Performance-and-Planning Reviews, written by the Chair and the faculty member's responses, if any, that correspond to the annual accomplishments and goals
 - e. Optional inclusions
 - 1). sample publications
 - 2). summaries of student teaching evaluations
 - 3). other indicators of teaching performance
 - f. letters of evaluation (max of 6)
 2. Tenured Faculty Committee (or CPT if there are not 3 tenured faculty in department)
 - a. Review dossier
 - b. Vote on progress toward tenure
 - c. Majority
 - 1). Quorum is 50% of eligible tenured faculty
 - d. Prepare report to Chair
 - 1). a list of the tenured faculty members in attendance
 - 2). all suggestions
 - 3). the majority and minority views, if relevant
 - 4). summary vote
 3. Chair requests from each probationary faculty by May
 - a. a summary of activities and accomplishments for the previous academic year beginning July 1
 - b. a summary of the faculty member's proposed academic goals for the year beginning July 1
 4. Chair must meet with the faculty Member during May:
 - a. to review the faculty member's performance in achieving previously established academic goals during the probationary period, including the preceding academic year in teaching, research/scholarly activities, service, and/or patient care
 - b. to present and discuss the tenured faculty's report
 - c. to receive the work assignment for the coming academic year
 - d. to mutually establish the academic goals to be achieved by the faculty member during the coming
 - e. discussion must include the faculty member's progress toward tenure consideration
 - f. Chair should assess the overall performance of the faculty member and assign one of the performance ratings (outstanding, highly satisfactory, satisfactory, needs improvement, unsatisfactory)

5. Chair prepares narrative summary
 - a. progress toward tenure
 - b. assessment in each category
 - c. expectations for the next academic year
6. Narrative summary and Form 0002 presented to faculty member
 - a. within 5 days
 - 1). faculty members optional response must be made in 5 days
 - 2). if negative, remedial plan must be developed
7. Documents sent to Dean
 - a. summary
 - b. committee recommendation
 - c. goals
- d. remedial plan (if required)

APPENDIX G

Preparation of a Proposal Letter

A letter nominating a faculty member for promotion or award of tenure must include the following background information:

- a. Name of individual
- b. Date of original appointment
- c. Date of each prior promotion, if applicable
- d. Date of award of tenure, if applicable
- e. Date on which promotion or tenure is to become effective
- f. Individual's discipline or field
- g. Other relevant information as outlined below.

In preparation of the letter, the Chair should be aware that the letter of recommendation will be read by members of the College Promotion, and Tenure Committee, other appropriate individuals associated with the University of Tennessee, and may be read by the candidate.

The following outline describes some examples of important, specific information about which a department Chair will be more knowledgeable than the Faculty Appointment, Promotion, and Tenure Committee. Provision of this and other academically related data is needed for a fair and detailed evaluation by the College Promotion, and Tenure Committee and may be of decisive value. Each item noted below may not be applicable to every faculty member. Therefore, all items contained herein need not be addressed; items listed serve only as a guide to aid the Chair in considering and compiling the information to be contained in the proposal letter. The format for the departmental Chair's letter recommending promotion and/or tenure is included in the next appendix.

- A. Background
Listed Above
- B. Teaching
 1. Specific role(s) in:
 - a. Curriculum and/or course planning
 - b. Active participation in teaching students
 - c. Active participation in continuing educational activities
 2. Peer review of nominee's teaching performance
 3. Information derived from students regarding teaching competence and effectiveness.
 4. Special teaching accomplishments and skills
 - a. Founded a course or developed a manual
 - b. Innovative seminar or conference leadership
 - c. Teaching awards
 5. Special contributions
 - a. Invited participation in conferences of other departments or divisions
 6. National educational activities
 - a. Editor, on editorial board of, or expert consultant to refereed publications

2. Role in various College committees and subcommittees
 3. Role in UT Memphis committees or activities
 4. Significant administrative responsibilities, especially those that may not be well known outside the department
 - a. Deputy chair, division director, program director
 - b. Director and/or developer of departmental units or special clinics
 - c. Role in departmental, college, University, or extramural administrative activities
- F. Other Individual Activities and Accomplishments
1. Significant election to a professional organization
 - a. Status of the society in the field
 - b. Criteria for election
 2. Activities in societies, foundations, or similar local, regional or national professional organizations
 - a. Offices held
 - b. Committee member or Chair
 3. Special awards from universities, societies, or other groups
- G. Effect of the Appointment, Promotion, or Tenure on the Department
1. Relate to other faculty at the same rank and tenure status
 2. Relate to the major mission of the department
 3. If the recommendation is successful, note the effect on the department
 4. If the recommendation is unsuccessful, note the effect on the department

APPENDIX H

Suggested Format of Departmental Chair's Letter to the Dean of the College Recommending Promotion and/or Tenure

Dear Dean (Name):

I recommend (name) for promotion to the rank of (rank) in the (department). I also recommend that (name) be awarded tenure in the College of Dentistry. In support of this recommendation, I attach a current curriculum vita and submit the following supporting information:

- A. Background
 - Name of individual
 - Date of original appointment
 - Date of each prior promotion, if applicable
 - Date of award of tenure, if applicable
 - Date on which promotion or tenure is to become effective
 - Individual's discipline or field
- B. Teaching.
[Detail all teaching responsibilities and assignments, as applicable. Evaluate performance in each, including interactions with students.]
- C. Research and Other Scholarly Activity.
[Detail research/scholarly activities and accomplishments. Evaluate past performance and significance of accomplishments. Project future accomplishments and potential.]
- D. Patient Care.
[Detail responsibilities, as applicable. Evaluate performance.]
- E. Service and Administrative Responsibilities.
[Detail responsibilities, as applicable. Evaluate accomplishments.]
- F. Other Activities and Accomplishments.
[Detail additional activities that relate to this recommendation. Evaluate accomplishments.]
- G. Effect of this Appointment, Promotion, or Tenure on Department.
[Evaluate the overall effect of this appointment on the department and its mission. Include number of faculty members presently appointed in this rank and the number tenured.]

APPENDIX I

Note: This format is intended as a guide. Names of categories may be changed as needed by individuals. Not all categories may be applicable to all individuals; inapplicable ones should be omitted. The list of categories is not all-inclusive; some individuals may need to add other categories.

Date of Preparation _____

CURRICULUM VITAE

NAME: BIRTHDAY: (OPTIONAL) BIRTH PLACE: (OPTIONAL)

EDUCATION:

Undergraduate: College or university attended, dates (month, year), degree, date of degree
Graduate/Professional School: College or school attended, dates (inclusive months, years), degree, date of degree
Internship: Type, hospital(s), dates (inclusive months, years)
Residency: Type, hospital(s), dates (inclusive months, years)
Postgraduate Training Type, hospital(s), dates (inclusive months, years)
College or school attended (inclusive months, years)

HONORS/AWARDS:

Honorary Organizations Institutional, regional, national, or international awards may be grouped according to educational (e.g., undergraduate, or graduate) and/or professional subcategories.

MILITARY SERVICE:

Branch, dates served, training in service, current status

BOARD CERTIFICATION:

Board name, date of certification

LICENSURE:

Profession, state, number, date issued, status

SOCIETY MEMBERSHIPS:

UNIVERSITY (AND COLLEGE) APPOINTMENTS:

Chronological order from most recent to earliest- type and rank of appointment, University or College name, location, dates (inclusive months, years) For UT Memphis list primary appointment, followed by secondary appointment(s) and specify type of each

HOSPITAL/CLINICAL APPOINTMENTS:

Chronological order from the most recent to earliest - name of institution, type of appointment, (active, consultant), offices held

PRACTICE/PROFESSIONAL EXPERIENCE:

For those with any time in administration or in clinical practice (not as a faculty member) List chronologically from most recent to earliest

OTHER ACADEMIC APPOINTMENTS:

Adjunct or affiliated appointments at other academic institutions

PRIVATE SECTOR APPOINTMENTS:

For those with relevant experience in the private sector List chronologically from most recent to earliest

TEACHING EXPERIENCE:

Title of course, course number ? May be subcategorized as appropriate for different colleges and/or academic institutions Actual student contact hours or credit hours, numbers of students taught. If appropriate, indicate roles as course director, designer of course, lecturer, etc.

VISITING PROFESSORSHIPS AND INVITED LECTURES:

List dates and locations ? May be subcategorized as international, national, regional, or local

EDITORIAL APPOINTMENTS:

Books, journals - Type of appointment Name of book/journal, publisher, dates of appointment or date of publication)

COMMITTEES AND OFFICES HELD:

Include dates of service May be subcategorized by departmental and institutional committees, grant advisory committees, study sections, journal review assignments, offices held in organizations, national and regional committees and offices, consultant appointments and board examiner or member appointments, etc.

OTHER PROFESSIONAL AFFILIATIONS AND ACTIVITIES: (OPTIONAL)

FELLOWS/GRADUATE STUDENTS TRAINED:

Name; degree; inclusive dates; degree awarded, if any, as a result of this training; title of thesis or dissertation May be subcategorized by institution

RESEARCH AND OTHER EXTERNAL SUPPORT:

List agency from which support was received, title of the project or program, dollar amount and inclusive dates May be subcategorized by role on project or program

BOOKS AND BOOK CHAPTERS:

Numbered in chronological sequence ? Choose a citation style and be consistent throughout Authors in exact order (your name may be underlined, in bold, italics), title of the paper, editors, location of publisher, date of publications, inclusive pages

PEER-REVIEWED JOURNAL ARTICLES:

Numbered in chronological sequence - Choose a citation style and be consistent throughout
Authors in exact order, title of paper, name of journal, volume, inclusive pages, date of publication; note
if letter

OTHER PUBLICATIONS: (OPTIONAL) or other appropriate category

APPENDIX J

Proficiency in English

Individuals who are candidates for appointment to a teaching position, promotion, or for award of tenure and whose native language is not English will be evaluated by the department Chair as to their ability to communicate effectively with students using the English language. If the Chair finds this ability acceptable, he or she shall so certify in writing to the Dean and the Dean to the Chancellor. If the Chair cannot so certify, he or she shall not appoint the individual to a teaching position, assign teaching responsibilities, or recommend the individual for promotion or tenure. (Reference: Policy 1.080, Certification of Effective Communication in English.)

Individuals not certified by the Chair will be given the opportunity for reevaluation following: (1) self-training, (2) completion of an off-campus course emphasizing spoken English, or (3) completion of a special course offered on campus (if available) toward this end.

APPENDIX K

Appointment of Non-Dentist Biomedical Scientists or Scientists in Health Care-Related Fields Who Possess a Doctoral Degree

In general, only a dentist may be awarded a regular academic faculty appointment in a clinical department, but such limitation is not mandatory. Non-dentist scientists who possess a doctoral degree in a biomedical or related fields may be eligible for faculty positions in clinical departments under certain circumstances. Recommendations by Chairs for appointments of such scientists will be considered on an individual basis.

A non-dentist scientist who possess a doctoral degree in a biomedical or related field who is not involved by licensure in patient care may be appointed to the faculty of a clinical department as set forth in the UT HEALTH SCIENCE CENTER GUIDELINES FOR ACADEMIC TITLES. Occasionally, a joint appointment for such a person will be made in the department appropriate to his/her discipline, such as the Department of Biochemistry for a Ph.D. biochemist. Ideally, from the academic viewpoint, the primary appointment for such a person would be in the department appropriate to his/her discipline. However, in many cases this is not possible or practical because an appropriate department may not exist on this campus or loyalties and lines of evaluation are in the clinical department. In addition, it is usually the clinical department that recruited the faculty member, and that faculty member's joint appointment in the department reflecting his/her discipline is made primarily in a spirit of cooperation. The appointment may not be in keeping with the Chair of that latter department's priorities for development of his or her academic unit. The primary appointment of the faculty member may thus be in the clinical department that recruited the candidate. The faculty member is eligible for tenure, but the tenure consideration relates only to the college of the clinical department into which the candidate was recruited.

APPENDIX L

Appointment of Individuals Who Possess Less Than a Doctoral Degree

This section pertains to non-dentist health care professionals (e.g., dental hygienists, dental assistants, physical therapists).

Such individuals are not ordinarily eligible for faculty appointments in the College of Dentistry, but may be appointed to an “other academic” (i.e., programmatic) position (e.g., “Research Associate” or “Clinical Associate”). The personnel policy for this “other academic” category must be followed as well. Faculty appointments should ordinarily be sought in the other, more appropriate, colleges that make up UTHSC (e.g., in the College of Allied Health Sciences).

Exceptions can be requested in special instances.

APPENDIX M

Appointment of Dental (and Other) Staff Members of Affiliated Institutions

The Veterans Administration Medical Center is an affiliated institution in which appointments to the faculty of the full-time dental professional staff of the Veterans Administration Medical Center are the same as the full-time faculty except that such appointees (full-time VAMC) are not eligible to be placed on a tenure track in the College of Dentistry. With this exception, academic policy items relative to full-time faculty thus apply to the full-time dentist and other doctoral level professional staff of the Veterans Administration Medical Center who are appointed to the faculty in the College of Dentistry. A VAMC faculty member may be eligible for a tenure track appointment in the College under certain circumstances.

Other affiliated institutions that have their own full-time paid professional staffs may have an affiliation agreement with the University that stipulates that University appointments may be offered. The recommendation for appointment of a member of the staff of an affiliated institution to the faculty of the UT Memphis College of Dentistry is made at the discretion of the Chair of the appropriate College department and the Dean of the College of Dentistry, based on the candidate's potential contribution to the program of that department. The staff member of the affiliated institution, if awarded a faculty appointment in the College of Dentistry, is responsible to the Chair of that department for his or her activities as a faculty member in that department, whether carried out in the affiliated institution or elsewhere.

If granted, the appointment is a regular appointment, not on a tenure track, and follows previously stated rules for dentists and non-dentists. The appointment is to be re-evaluated annually relative to a continuing role in the respective department. Salary support for the position may be derived from the affiliated institution only or from both the affiliated institution and the University of Tennessee.

APPENDIX N

Appointments of Persons Who are Not Biomedical or Related Scientists and Who Hold Professional Administrative Positions

This section pertains to academic faculty appointments for individuals who possess educational training (not dental or medical) at or below the doctoral level degree and who are not biomedical scientists, who seek professional administrative positions within the College.

A professional administrative staff member in a department of the College of Dentistry, who is not a biomedical or related scientist, is ordinarily not eligible for a faculty appointment; staff positions are usually more appropriate. However, such a person may be nominated for an academic appointment in an appropriate department on the basis of appropriate credentials.

APPENDIX O

Joint Appointments in the College of Dentistry

Joint appointments of a faculty member in more than one department in the College of Dentistry are often of mutual benefit to the departments involved and to the goals of the College of Dentistry in general. The Dean, when requested by the department Chairs involved, considers appointments in more than one department of the College of Dentistry for approval

In case of joint appointments, the person who is to receive a joint appointment should have documented credentials in the discipline of each department or appropriate to the goals of each department. In addition, the joint appointee should have a documented bona fide role in each department. It is the responsibility of the Chair of each department involved to reach an agreement on a joint appointment and to make a joint recommendation to the Dean, with the agreement of the faculty member involved. The academic rank need not be the same in both departments. In considering joint appointments, department Chairs should bear in mind the value to the entire institution, not just to his or her own department. An individual holding a joint appointment should be evaluated annually by all respective departmental Chairs regarding his/her contribution to each department.

APPENDIX P

Appointment of Part-Time Faculty Members

Part-time appointments are for those faculty members who devote less than one hundred percent (100%) of their academic or professional efforts to the mission and programs of UT Memphis. There are two versions of part-time appointments — regular and limited-term. Part-time faculty members are not eligible for tenure (UTHSC FH 4.4). Appointees may be either salaried for routinely recurring service or receive special payments for services performed on an irregular basis. Part-time faculty members may be eligible for some University benefits, depending on their percentage of effort. Each part-time faculty member meets annually with the Chair for the Annual Performance-and-Planning Review (UTHSC FH 4.14.3). At the end of the appointment term, the faculty member's employment will be discontinued, if the appointment has not been renewed.

A person who accepts a part-time faculty appointment has made a commitment to the University relative to time and effort. The University, in offering a part-time faculty appointment, also assumes an obligation and makes a commitment to that person. The commitments made by the University and the person will be spelled out clearly in the appointment documents, so that no misunderstanding is possible on the part of either party involved. This appointment will be reviewed annually and its renewal each year will depend on positive action by the University. The appointment will not continue without that positive action.

In view of the fact that a part-time faculty member makes a commitment to the University relative to time and effort, for which he or she receives regular payroll remuneration from the University, such a faculty appointment may be a regular appointment without eligibility for tenure or, if paid on a contract-for-services basis, may be a special appointment with a prefix "Clinical" or "Adjunct", as determined by agreement between the department Chair, faculty candidate, and the Dean. If such a person later becomes a full-time faculty member, the time he or she held a part-time faculty position may be considered as part of a probationary period after which a recommendation for awarding tenure may be made. Candidate, Chair, and the Dean, prior to the appointment to the tenure track position, will determine credit for the earlier appointment.

APPENDIX Q

Appointment of Volunteer Faculty Members

Volunteer appointments are for faculty members who devote a portion of their effort to serve on the UT HSC faculty without monetary compensation or benefits from UT Memphis or from an affiliated institution. Appointees are not eligible for tenure (UTHDC FH 4.4). Appointees are assigned standard faculty ranks based on their qualifications and experience (UTHDC FH 5.1). Their faculty titles have a prefix of adjunct or clinical. Adjunct (e.g., Adjunct Professor) designates an appointee whose contribution is non-clinical. Clinical (e.g., Clinical Assistant Professor) designates an appointee whose contribution includes clinical activities (e.g., patient care). If an individual is awarded a volunteer faculty appointment at UTHSC, that individual is responsible to the Chair of the appointing department for his or her activities as a faculty member in that department. Each volunteer faculty member is evaluated and reappointed every three years relative to his or her continuing role in the department. If the faculty appointment is not renewed, the appointment will be discontinued at the end of the appointment term.

APPENDIX R

Appointment of Dental Specialists of One Discipline in a Clinical Department of Another Discipline

When a dental specialist is to be appointed to the faculty of a particular clinical department other than that reflected by his/her specialty, and is not to be appointed jointly in the department of his/her specialty, agreement from the Chair of the specialty department will be solicited before the appointment will be made.

APPENDIX S

Criteria and Procedure for Award of Emeritus Status

UT Memphis may award emeritus status to faculty members at the time of retirement. A faculty member with emeritus status holds an honorary faculty appointment at a specified rank. Emeritus status is granted to those individuals who have distinguished themselves in service to UT Memphis and who have received recognition for their academic contributions. The status is not granted automatically upon retirement of a faculty member but rather upon the recommendation of the faculty member's Chair, with the endorsement of the Dean, and subsequent approval of the Chancellor. The status is usually reserved for individuals retiring at the rank of full professor and such individuals are designated as Emeritus Professor. An administrator retiring with the rank of dean or above usually is designated Dean Emeritus, etc. An individual retiring at a lower rank may be granted the status of emeritus at that rank, this award being based on the length and quality of service to UT Memphis.

Approximately three months prior to an individual's retirement from the University, the departmental Chair should submit to the Dean a recommendation letter suggesting consideration of emeritus status; a current curriculum vita on the candidate should be included. The Chair's letter should specify the individual's outstanding contributions to the University, as well as the individual's contributions outside UT Memphis.

If requested by the Dean, the College Promotion, and Tenure Committee will review the candidate's credentials and advise the Dean. The Dean will then either support or reject the Chair's nomination for emeritus status. When the Dean approves an emeritus nomination, the recommendation is forwarded to the Chancellor, asking that emeritus status be granted. If the Chancellor concurs, he or she will notify the individual in writing of the emeritus award.

The Chancellor's letter of notification to the candidate serves as official documentation of the faculty member's emeritus status. No other documentation is required. Annual evaluations and reappointment letters are not required since this is a lifetime award.

APPENDIX T

Appointment of Staff in Interdisciplinary Programs

An individual appointed to the staff of an interdisciplinary program or center must also be appointed to an existing department of the College. As in all other categories of appointments, the primary criterion for the faculty appointment of a member of the staff of an interdisciplinary program is appropriateness of credentials. Because the faculty member holds a staff position in the center and a faculty appointment in a department, the role the faculty member plays in each unit must be defined and agreed upon by the faculty member, the director of the program or center, the Chair of the relevant department, and the Dean. The source and level of compensation are also to be determined jointly. Ultimately, the Chair is responsible for annual reviews and the promotion and tenure process. Recruitment is also a joint responsibility.

APPENDIX U

College of Dentistry Faculty Appointment, Promotion, and Tenure Committee (Structure and Charge)

Charge and Responsibility

The College, Promotion, and Tenure Committee is responsible for (1) reviewing and recommending policies, procedures and programs in the area of appointments, promotions, and tenure of the faculty of the College of Dentistry to the Dean of the College of Dentistry; (2) implementing and evaluating procedures on appointment, promotion, and tenure of faculty; (3) reviewing and recommending to the Dean action on all individual nominations by department Chairs for appointments at the level of Instructor or above, promotion, and award of tenure; and, (4) consulting with appropriate Chairs for the purpose of assisting in the development of the faculty, and acting as a faculty peer committee for Sixth-Year Review when the Department does not have 3 appropriate faculty peers.

Members of the Faculty Appointment, Promotion, and Tenure Committee assume a weighty responsibility in reviewing the academic credentials of present and future faculty members. Because of the importance of this task and the confidential nature of the material under consideration, College of Dentistry faculty members chosen to serve on the Faculty Appointment, Promotion, and Tenure Committee should be individuals whose own academic accomplishments and personal qualities have earned them a high level of respect among their peers.

Committee Structure

In addition to the Chair, appointed by the Dean, the Committee shall consist of a minimum of eight members from the College of Dentistry. Committee membership will reflect the composition of the faculty of the College of Dentistry, with representation of minority and female faculty members, and can include faculty whose primary role is administrative. It shall include three faculty members from clinical departments, a faculty member from the Dental Research Center, and a department chair. In addition, the Committee membership must include at least 5 tenured faculty members (including the chair) so that those individuals can function as a subcommittee to consider tenure recommendations. The criteria for Committee composition are not mutually exclusive (e.g. one of the three clinical faculty might be female and tenured, thus satisfying three criteria). In addition, the collegiate academic officer shall serve ex officio as a voting member

The faculty of the College of Dentistry elects three members of the Committee. Any individual nominated for this election must have served on the College of Dentistry faculty for a minimum of three years. The Dean, in a manner that ensures that all criteria for Committee composition are satisfied, appoints all other members of the Committee.

In addition to the Chair of the Committee, the Dean designates a Temporary Chair from the Committee membership to serve in a temporary capacity in the event that a conflict of interest develops involving the regular Chair and an appointment, promotion, or tenure recommendation. For each meeting, the Committee Chair will designate a Secretary who will have the responsibility of keeping minutes of the meeting and tabulating the votes.

Members of the College Promotion, and Tenure Committee shall serve three-year terms that are

staggered so as to ensure continuity from one year to the next. The three elected positions are staggered in such a way that one new member is elected each year. In general, Committee members shall not be eligible for reappointment or reelection within three years of the expiration of the original appointment or election; the Chair of the Committee may be reappointed to successive terms. Terms of appointment will become effective on January 1 and terminate on December 31. The College Promotion, and Tenure Committee shall meet regularly and in special session as required to consider nominations for appointment, promotion and tenure or other matters of concern to the Committee.

Conflict of Interest

A "direct" conflict of interest exists when a member of the Committee is being considered for promotion and/or tenure, is the Department Chair of the candidate, or has written a letter of recommendation on behalf of the candidate. A member of the Committee in direct conflict may not participate in, or be present during, discussions or activities pertinent to his or her nomination and may not vote.

An "indirect" conflict of interest exists when a member of the Committee is from the same department, division, or center as a nominee for promotion and/or tenure. If a Committee member is in "indirect" conflict because the member is from the same department, division, or center as a candidate, the Committee member will still participate in the consideration of the nominee by casting a vote, but will not be allowed to participate in, or be present during, discussions or activities pertinent to the nomination. The Chair, at his or her discretion, can ask the Committee member in "indirect" conflict for comments on the nomination.

Committee members may declare that they hold a conflict of interest based on personal reasons. In this case, the Committee member will not be required to explain the circumstances of the declaration and will be judged to be in "direct" conflict.

Obvious or perceived conflicts of interest will be discussed by the Committee; decisions as to conflict of interest will be determined the Chair of the Committee who will consult with the Dean when appropriate.

Committee Voting Procedures

A quorum must be present for the Committee to take action (i.e., vote). A quorum will consist of a simple majority (50%) of the faculty eligible to vote on a given candidate or issue. . Only tenured committee members will be present for the consideration and vote for tenure recommendations.

Persons who are absent (for reasons other than a conflict of interest) can provide input regarding Committee decisions, but cannot cast a vote. Committee members who anticipate being absent should provide written comments to the Chair of the Committee before scheduled meetings. The chair will read the comments at the meeting and then see to their destruction.

Votes will be cast by secret ballot. When votes are being cast, members may vote yes or no on each recommendation; abstentions will not be allowed. If members think that additional information must be gathered before a vote is taken, a motion to table or defer the recommendation to a specific date can be made. A motion to table a recommendation cannot be made after a vote on a recommendation has been taken.

A motion to table a tenure nomination for the purpose of deferring a tenure consideration to the following year cannot be made; such will be ruled out of order. Likewise a vote to defer consideration of

promotion to the following year cannot be made except by a negative vote.

The Chair of the Committee will not vote, except to break tie votes.

Committee Confidentiality

The Committee Chair will instruct the Committee members regarding the confidentiality of matters before the Committee. In general, matters discussed by the Committee regarding submission materials, results of voting, and content of Committee correspondence are considered confidential materials.

All materials used in the consideration of candidates are considered confidential. Such materials are kept in a secure area in the Dean's office and may not be removed except by the Chair of the Committee as is necessary for Committee activities. No one is to alter the materials after they have been submitted, except under the directive of the Dean.

Violations of Committee Rules

Members who violate Committee rules regarding voting, confidentiality, or who fail to attend a majority of the Committee meetings will be asked to resign their appointment. Violations will also be reported to the Dean who can elect to terminate the appointment immediately, regardless of whether the member was elected or appointed.