

MIDDLE TENNESSEE STATE UNIVERSITY  
POLICIES AND PROCEDURES MANUAL

POLICY NO.: II:01:05B      DATE: August 1, 1999  
SUPERSEDES POLICY NO.: II:01:05B      DATED: August 1, 1996  
SUBJECT:      POLICIES AND PROCEDURES FOR PROMOTION AND  
                    APPOINTMENT  
APPROVED:      James E. Walker, President

I. GUIDELINES FOR FACULTY PROMOTION RECOMMENDATIONS

Introduction

Promotion in rank is a recognition of the achievements as well as of the considered potential of the person being recommended for promotion. The policy of Middle Tennessee State University is to make promotions strictly on consideration of merit tempered by institutional and fiscal considerations.\* In maintaining this policy, promotions are made objectively, equitably, and impartially in accordance with the policies and procedures outlined below. It is important to note that the listed criteria represent minimums set by the Tennessee Board of Regents and Middle Tennessee State University. Moreover, colleges and departments may have their own criteria. All college and department policies and guidelines relating to the promotion process must meet or exceed the policies as specified herein and shall be reviewed and approved for consistency with University and Board of Regents policies by the vice president for academic affairs. College and departmental criteria should be made available to the faculty in the office of their department chairperson or dean.

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\*The President of Middle Tennessee State University is responsible for the master staffing plan of the University. In developing and maintaining the plan, the President will consider: (1) the fiscal impact of each promotion recommended to the Board; i.e., resources allocated to the University and distributed throughout the University for current operation; and (2) the rank distribution in each department to ensure it is commensurate with the mission outlines for the department; e.g., level of courses being taught as well as student demand for offerings.

A. Minimum Academic Rank Criteria\*\*

## 1. Instructor

- a. Master's degree in the instructional discipline, or related area, from an accredited college or university. The department chairperson, college dean, and vice president for academic affairs must approve the degree as being related if the degree is outside the faculty member's teaching field; this determination shall normally be made at the time of a faculty member's initial appointment.
- b. Potential ability in instruction, public service, and research and/or creative activity.
- c. Evidence of character, attitude, and personality that will ensure cooperation with colleagues and commitment to programs and students of the department, the college, and the university.

## 2. Assistant Professor

- a. Except as noted below, the rank of assistant professor requires that a person shall hold an earned doctorate from an accredited college or university in a major appropriate to the teaching field. If the degree is outside a faculty member's discipline, the department chairperson, dean, and vice president for academic affairs shall determine whether the degree is appropriate to the teaching field, a determination that is normally made at the time of a faculty member's initial appointment.

[In certain special areas--as determined by the vice president for academic affairs--in which professional achievement is of unusual importance, or in which personnel holding higher degrees are not available, the master's degree, when accompanied by extensive, distinguished professional experience and/or a record of distinguished accomplishment, may meet the minimum requirement for the rank of assistant professor. The department chairperson, college dean, and vice president for academic affairs are responsible for evaluating a candidate's professional experience and record of accomplishments. They are also responsible for determining whether the candidate's degree is appropriate to the teaching field if it is outside a candidate's discipline. These determinations shall normally be made at the time of a faculty member's initial appointment.]

[When the earned doctorate is not normally available in a faculty member's teaching field, other degrees--for example, the M.F.A.--may substitute for the earned doctorate. It shall be the responsibility of the department chairperson, dean, and the vice president for academic affairs to determine whether an earned doctorate is

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\*\*When a faculty member's appointment begins in January, service for that semester shall be counted toward promotion as one whole academic or fiscal year. In order to ensure the development of a faculty of the highest quality and at the same time, to ensure access to appropriate rank for all members of the faculty, justifiable exceptions to these criteria may be recommended. Exceptions to Board criteria may be made by recommendation of an exception by the President and approval by the Board. Exceptions to Middle Tennessee State University criteria may be made by recommendation and approval of the Board.

normally available in a faculty member's teaching field. This determination shall normally be made at the time of a faculty member's initial appointment.]

[A master's degree (M.A. or M.S., or their equivalent degrees) plus thirty (30) semester hours beyond the master's degree in a doctoral program at an accredited college or university may substitute for the earned doctorate. The graduate hours beyond the master's degree shall be in that instructional discipline or related area, and the faculty member must have at least three (3) years of full-time collegiate experience in the instructional discipline or related area. These determinations shall normally be made by the department chairperson, college dean, and vice president for academic affairs at the time of a faculty member's initial appointment].

- b. Ability in instruction (potential ability for a person appointed to this rank; documented ability if promoted to this rank).
- c. Potential ability in research and/or creative activity and in public service.
- d. Evidence of character, attitude, and personality that will ensure cooperation with colleagues and commitment to programs and students of the department, the college, and the university.

### 3. Associate Professor

- a. Except as noted below, the rank of associate professor requires that a person shall have an earned doctorate from an accredited college or university in a major appropriate to the teaching field. If the degree is outside a faculty member's discipline, the department chairperson, dean, and vice president for academic affairs shall determine whether the degree is appropriate to the teaching field, a determination that is normally made at the time of a faculty member's initial appointment.

[In certain special areas--as determined by the vice president for academic affairs--in which professional achievement is of unusual importance, or in which personnel holding higher degrees are not available, the master's degree, when accompanied by extensive, distinguished professional experience and/or a record of distinguished accomplishment, may meet the minimum requirement for the rank of associate professor. The department chairperson, college dean, and the vice president for academic affairs are responsible for evaluating a candidate's professional experience and record of accomplishments. They also are responsible for determining whether the terminal degree is appropriate to the teaching field, if it is outside a candidate's discipline. These determinations shall normally be made at the time of a faculty member's initial appointment.]

[When the earned doctorate is not normally available in a faculty member's teaching field, other degrees--for example, the M.F.A.--may substitute for the earned doctorate. It shall be the responsibility of the department chairperson, dean, and vice president for academic affairs to determine whether an earned doctorate is normally available in a faculty member's teaching field. This determination shall normally be made at the time of a faculty member's initial appointment.]

- b. Five (5) years of full-time collegiate experience in the teaching field or related area as an assistant professor. If the experience is outside a faculty member's discipline, the department chairperson, dean, and vice president for academic affairs shall determine whether the experience is appropriate, a determination

that is normally made at the time of a faculty member's initial appointment to the University.

- c. Documented evidence of quality professional performance in instruction.
  - d. Documented evidence of continuing direct participation in research and/or creative activity and in public service.
  - e. Documented evidence of thorough and systematic study of the research and/or creative activity of others.
  - f. Evidence of character, attitude, and personality that will ensure cooperation with colleagues and commitment to programs and students of the department, the college and the university.
4. Professor
- a. Except as noted below, the rank of professor requires that a person shall hold an earned doctorate from an accredited college or university in a major appropriate to the teaching field. If the degree is outside a faculty member's discipline, the department chairperson, dean, and vice president for academic affairs shall determine whether the degree is appropriate to the teaching field, a determination that is normally made at the time of a faculty member's initial appointment.

[In certain special areas--as determined by the vice president for academic affairs--in which professional achievement is of unusual importance, or in which personnel holding higher degrees are not available, the master's degree when accompanied by extensive, distinguished professional experience and a record of distinguished accomplishment may meet the minimum requirement for the rank of professor. The department chairperson, college dean, and vice president for academic affairs are responsible for evaluating a candidate's professional experience and record of accomplishment. They also are responsible for determining whether the terminal degree is appropriate to the teaching field if it is outside a candidate's discipline. These determinations shall normally be made at the time of a faculty member's initial appointment.]

[When the earned doctorate is not normally available in a faculty member's teaching field, other degrees--for example, the M.F.A.--may substitute for the earned doctorate. It shall be the responsibility of the department chairperson, dean, and vice president for academic affairs to determine whether an earned doctorate is normally available in a faculty member's teaching field. This determination shall normally be made at the time of a faculty member's initial appointment.]

- b. Ten (10) years full-time collegiate experience in the instructional discipline or related area.
- c. Five (5) years of full-time collegiate experience in the teaching field or related area as an associate professor.
- d. Documented evidence of quality professional performance in instruction.
- e. Documented evidence of quality professional productivity in research and/or creative activity and in public service. Regional recognition is expected in at

least one of these areas. The term “regional” shall mean beyond the state of Tennessee.

- f. Documented evidence of thorough and systematic study of the research and/or creative activity of others.
- g. Evidence of character, attitude, and personality that will ensure cooperation with colleagues and commitment to programs and students of the department, the college and the university.

#### B. Performance Criteria for Promotion

Faculty members considered shall be evaluated with respect to their performance in (1) instruction, (2) research and/or creative activity, (3) public service, and (4) cooperation with colleagues and commitment to programs and students. They are expected to demonstrate excellence in two of the first three areas. The expectations of excellence shall depend on the rank to which a faculty member seeks promotion. All faculty members shall be expected to demonstrate quality teaching. Moreover, all faculty members are expected to demonstrate evidence of character, attitude, and personality that will ensure cooperation with colleagues and commitment to programs and students of the department, the college, and university.

##### 1. Instruction

- a. Faculty members considered shall be evaluated by the department chairperson, academic dean, and peers with respect to:
  - (1) Teaching.
  - (2) Efforts to improve their own courses and also the course and curriculum offerings of the department, the college, and the university.
  - (3) Efforts to improve their instructional techniques, including efforts to integrate appropriate new instructional technologies into their courses.
  - (4) Performance in the advisement of students.
  - (5) Supervision of specialized instructional activities (student research, thesis direction, internships, student teaching, etc.).
  - (6) Honors received and recognition for contributions to teaching.
  - (7) Continued intellectual development within the field of specialization.
  - (8) Efficiency in meeting the expectations of the University pertaining to record keeping and reporting, attendance at faculty meetings, and other such duties and responsibilities related to their role as a member of the university professional community.
  - (9) Seeking internal and external funding for instructional activities; funded grants from Middle Tennessee State University, public agencies, or private foundations; submitted proposals for external funding by public agencies or private foundations. The quality of the grant proposals, whether funded or unfunded, shall be stressed in the evaluation.

- b. Faculty members considered shall be evaluated by their students with respect to teaching.
2. Research and Other Creative Activity

Research

- a. Evaluation of faculty members' research shall consist of documenting their:
  - (1) Direct participation in scholarly investigation; published articles or presentations before one's professional peers; monographs, proprietary research and other evidence of scholarly investigation shall constitute documentation. The quality of scholarly work published shall be stressed in the evaluation.
  - (2) Thorough and systematic study of the research and creative work of others; textbooks, monographs, published articles, or presentations before one's professional peers based on one's study of the research and creative activities of others shall constitute documentation. The quality of scholarly work published shall be stressed in the evaluation.
  - (3) Seeking internal and external funding for research activities; funded grants from Middle Tennessee State University, public agencies, or private foundations; submitted proposals for external funding by public agencies or private foundations. The quality of the grant proposals, whether funded or unfunded, shall be stressed in the evaluation.
- b. Faculty members shall be evaluated by the department chairperson, the college dean, and their peers with respect to the extent and the quality of their participation in research activity.

and/or

Creative Work and Performances

- a. Evaluation of faculty members' original and/or creative activity shall consist of documenting their direct participation in the creation or the creative performance of the work. Published work and exhibition of original work shall constitute documentation of original work. Published programs or reviews of public performance or public display shall constitute documentation of performance of creative work. The quality of the creative activity shall be stressed in the evaluation.
  - b. Faculty members shall be evaluated by the department chairperson, the college dean, and their peers with respect to the extent and the quality of their participation in creative activity.
3. Public Service and Professional Activities
- a. Evaluation of the public service component shall be based on performance in three areas: (1) public service to the community as defined by the university's role and mission; (2) service to the University, which shall include serving on departmental, college, and/or university committees; and (3) work related to

similar kinds of time-consuming assigned initiatives and projects across the University; and service within the bounds of the person's academic discipline and budgeted assignment.

- b. Specific evaluation criteria shall include the following:
  - (1) An appraisal of faculty members' ability, resourcefulness and creativity, and an assessment of the results of their work. This should include: benefits or savings to clientele, ratings of work output, success, tasks completed, and the origination of new public service programs that have been seen through to successful completion.
  - (2) An evaluation of faculty members' effectiveness, as judged by their impact on individuals, groups, or organizations served. This should include indices of the success of the service, in terms of improvement of communities, programs, operating agencies, production processes, or management practices. The evaluations should also include indications of client satisfaction with the service provided by the person, and of the magnitude and complexity of his or her work (as opposed to perfunctory activity that does not lead to noteworthy results).
  - (3) An appraisal of faculty members' local, regional, and national stature. Although the achievement of national stature is sometimes difficult for public service faculty whose activities are primarily directed to groups within the state, public service professionals should take advantage of every opportunity to project their accomplishments among peers on a local, regional, and national basis. Public service work is sometimes not publishable. The results may be in the form of direct consultations, planning reports, or instructional time directed largely to the recipients of university-service programs. But certain aspects of applied research and the results of other public service work are suitable for publication in professional journals. For example, unique techniques developed to motivate clients, or new approaches to the transfer and application of knowledge, would be of interest to peers in other public service programs across the nation.
  - (4) Seeking internal and external funding for public service and professional activities; funded grants from Middle Tennessee State University, public agencies, or private foundations; submitted proposals for external funding by public agencies or private foundations. The quality of the grant proposals, whether funded or unfunded, shall be stressed in the evaluation.

#### 4. Cooperation with Colleagues and Commitment to Programs and Students

- a. Faculty members considered shall be evaluated by the department chairperson, college dean, and peers with respect to character, attitude, and personality that will ensure cooperation with colleagues and commitments to programs. Departments are expected to design and use instruments to measure objectively these behavioral characteristics. Such instruments shall be filed with each academic dean and vice president for academic affairs.
- b. Faculty members shall also be evaluated by students with respect to their commitment to students' intellectual growth and development.

### C. Documentation

1. Candidates for promotion shall submit a completed Outline of Faculty Data form. Candidates may also submit an orderly file of supporting materials (reprints, letters of support, creative works, etc.), but this is not required. A list of any supporting materials shall be attached to the Outline of Faculty Data form. However, the supporting materials themselves shall be stored in the department. Administrators and committees involved in the review process may be asked to review any or all of these supporting materials at their discretion. Departments and/or colleges may require additional specific supplemental documentation.
2. Administrators and committees involved in the review process shall submit materials, forms, letters, etc. as appropriate in the course of the review process described below.
3. Student evaluations shall be added to the candidate's file by the department chairperson and should be made available to all others involved in the review process.

## II. PROCEDURES FOR PROMOTION RECOMMENDATIONS

### A. Departmental Review

1. Consideration for promotion originates in the departments to which eligible faculty have been assigned. Faculty members are responsible for initiating the promotion process and are responsible for submitting to the department chairperson such pertinent supporting materials as are called for in I-C above. The Tennessee Board of Regents' nepotism policy shall apply to all steps of the promotion process.
2. The department chairperson, after examining all materials submitted by each candidate, then forwards the materials to the department promotion and tenure review committee, composed of tenured department members elected annually by the full-time faculty. Temporary faculty are not permitted to vote on the structure, membership and operating procedures of any review committee. The department promotion and tenure review committee shall select one member to serve as department chairperson. Faculty competence in teaching, research and/or creative activity, and public service shall be represented among the members of the committee. Neither persons undergoing evaluation nor the department chairperson shall serve as a member of the promotion and tenure review committee.
3. In situations where the peer committee staffing procedures cannot be implemented because of a small number of faculty, an alternate plan may be developed with the annual approval of the academic dean, vice president for academic affairs, and faculty senate president prior to consideration of promotion applications.
4. The department chairperson and the promotion and tenure review committee will consider each candidate's qualifications for promotion on such departmental, college, and university criteria as have been developed, along with the student evaluations. If conflicting recommendations result, the department chairperson and the department promotion and tenure review committee will collaborate in an attempt to resolve conflicts. Separate reports shall be filed by the committee and by the department chairperson on each candidate to the college dean and to the college promotion and tenure review committee. When deliberations are concluded, the department chairperson and the committee will notify each person considered for

promotion of the recommendations that have been forwarded to the academic dean. The department chairperson will afford each candidate an opportunity to meet and discuss the review process and the data upon which the decision was made. The promotion and tenure review committee will also afford the candidate the same opportunity. It is the candidate's responsibility to initiate any request to review the process and data upon which the decision was made.

5. The candidate for promotion may withdraw from the review process at any level without prejudice.

#### B. College Review

1. Members of the college promotion and tenure review committee shall be tenured faculty. They are responsible for reviewing all departmental recommendations on promotion and for making recommendations from their respective colleges to the vice president for academic affairs. Members of the aforementioned college promotion and tenure review committee shall be elected by full-time, tenured and tenure-track faculty to terms of three years. It is important to remember that temporary faculty may not participate in membership selection to any peer review committee at the department or college levels. (To provide for committee rotation, those tenured faculty elected to serve on the first college promotion and tenure review committee shall draw numbers to determine whether they serve for periods of one, two, or three years; one-third of the members shall rotate off the committee each year.) Neither persons undergoing evaluation nor the department chairperson shall serve as a member of the promotion and tenure review committee. Colleges will determine whether there shall be rank requirements for those faculty members serving on the college promotion and tenure review committee. Colleges with six or more departments will elect one faculty member from each department to the committee; colleges with five or fewer will elect two faculty members from each department to the committee. Committee members will review the recommendations of the department chairpersons and the peer committees, as well as the information upon which the recommendations are based. They will consider each candidate's qualifications on established criteria and will forward all materials submitted, along with their own recommendations, to the college dean.
2. Each college dean shall provide--normally by the end of the first week of October--to the faculty senate president the names of those elected to college promotion and tenure review committees in his or her college. The faculty senate president, in consultation with the faculty senate steering committee, may in turn appoint up to two additional faculty members to each college promotion and tenure review committee to ensure diversity, which shall provide for representation that reflects the make-up of the University.
3. Colleges shall develop written procedures that cover the establishment, purpose, and election of the college promotion and tenure review committee. A copy of the written procedures shall be placed on file in the office of the vice president for academic affairs and in the office of the faculty senate president.
4. Deans of the undergraduate colleges are responsible for reviewing all recommendations on promotion and for making recommendations from their respective colleges to the vice president for academic affairs. Deans will review the recommendations of the department chairpersons, department promotion and tenure review committees, college promotion and tenure review committees, as well as the information upon which the recommendations are based. If conflicting

recommendations result between the college dean and the college promotion and tenure review committees, they will collaborate in an attempt to resolve conflicts. Separate reports shall be filed by the college dean and the college committee to the vice president for academic affairs. When deliberations are concluded, the academic dean, the pertinent department chairperson, and the college promotion and tenure review committee will notify each person considered for promotion of their recommendations. Deans will consider each candidate's qualifications on established criteria and will forward all materials submitted, along with their own recommendations, to the vice president for academic affairs. Deans will afford each candidate for promotion an opportunity to meet and discuss the review process and data upon which the decision was made. College committees will afford the candidate that same opportunity. It is the candidate's responsibility to initiate any request to review the process and data upon which the decision was made.

#### C. University Review

1. The aforementioned vice president for academic affairs is responsible for reviewing all recommendations on promotion, making recommendations, and forwarding his/her recommendations to the President of the University.
2. The vice president for academic affairs shall review the recommendations and the materials sent forward. Each candidate's qualifications on all established criteria shall be considered. The vice president for academic affairs shall forward his or her report to the President.
3. After the vice president for academic affairs renders a decision, he or she shall on the same date notify each person considered, along with the college dean and the department chairperson, of his or her decision. The vice president for academic affairs shall afford each person considered an opportunity to meet and discuss the review process and the data upon which the decision was made. It is the candidate's responsibility to initiate any request to review the process and data upon which the decision was made.

#### D. President's Review

The President of the University will review the recommendations forwarded to him or her and then prepare his or her own recommendations, which shall be submitted to the chancellor of the Tennessee Board of Regents. The President shall notify candidates, department chairpersons, college deans, and the vice president for academic affairs of his or her recommendations. When notified of board action, he or she will inform the parties concerned of the Board's decisions.

#### E. Appeals

An appeals process provides for official review by members of the university grievance and appeals committee and others. Appellants are directed to University Policy No. II:01:05C. If a faculty member decides to appeal a promotion decision, the appeal process should commence after the vice president for academic affairs has rendered his or her decision and notified the candidate of the decision.