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## Appendix

### Assembly of the Tenure and/or Promotion Dossier

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1. **General Directions.** This section contains explanations and examples of the materials that comprise the dossier and its attachments. The dossier must be assembled to include the information and documentation given in the sequence as listed and in the order as given below. Any dossiers which do not conform to this order or which contain inaccuracies will be returned to the department or college for correction. For a description of the required materials, please see section 3.11.5.1.A in this handbook. in this section. Each section must be arranged exactly as listed below and paginated with the section and page number (i.e. A-1, A-2; B-1, B-2, etc.). The original and two copies will be forwarded by the dean to the chief academic officer. One file copy must be retained in the department. Therefore It is recommended that four copies of the original be made, with one copy being kept by the department and one by the college.

*Sample forms and tables are provided in this appendix. The Master Checklist for Tenure Review is included at the end of this appendix.*

2. **Order of Presentation of the Dossier Contents (Table of Contents):** The letters below represent the sections. Number pages of each section consecutively (A-1, A-2, A-3, etc.), but begin each section with page 1 (e.g., B-1, C-1, etc.).
- A. Summary Sheet: Recommendations for Promotion and/or Tenure  
Educational History and Employment History  
Statement of Responsibilities  
Department and College Criteria Statements  
Certification of Competence to Communicate in English
  - B. Teaching Ability and Effectiveness  
~~Teaching Evaluation Summary~~
  - C. Research, Scholarship, Creative Achievement
  - D. Institutional, Disciplinary, and/or Professional Service
  - E. Candidate Signature Statement
  - F. External Letters of Assessment  
Sample Letter to External Evaluators for Tenure and/or Promotion Decisions  
Log of External Letters of Assessment  
Method of Selection of External Evaluators  
Qualifications of External Evaluators
  - G. Annual Retention Review Forms Materials (for tenure-track faculty seeking tenure and/or tenure and promotion only)  
Annual Review Forms Materials (for faculty seeking promotion only)  
Departmental Review Committee Recommendation to the Department Head (including minority reports, if any)  
Department Head's Recommendation Letter  
Dissenting Reports to Department Head's Recommendation  
Candidate's Response to Departmental Recommendations  
Collegiate / Intercollegiate Review Committee Recommendation to the Dean (including minority reports, if any)

Dean's Recommendation Letter  
Candidate's Response to Collegiate or Intercollegiate Recommendation  
Chief Academic Officer's Recommendation  
Candidate's Response to Chief Academic Officer's Recommendation  
Chancellor's Recommendation

3. **Number of copies required:** It is recommended that four copies of the original be made. The original and two copies will be forwarded by the dean to the chief academic officer. One file copy must be retained in the department, and one should be retained in the college.

#### 4. **Contents and Assembly of the Sections**

A. ~~Summary Sheet, Educational and Employment History, Statement of Responsibilities, Department and College Criteria Statements, Certification of Competence to Communicate in English~~ **Required biographical information and criteria statements.** The material in this section provides summary information for the review committees and administrative reviewers, arranged in the order given.

1) **Summary sheet.** The summary sheet records the basic data of the candidate's employment and eligibility for ~~tenure and/or promotion~~ review. The summary sheet also documents the process of review by peer committees and administrators. Care should be taken to ensure that all entries on the form are correct and complete. The numerical vote of each committee is reported on the summary sheet.

a. If ~~the recommendation for~~ **tenure review** comes earlier or later than that specified in the faculty member's letter of appointment (or for promotion after fewer than the ~~normal~~ **typical** number of years in rank), approval for early review ~~shall~~ **must** have been ~~requested and~~ granted by the department head, dean, and chief academic officer, **as stipulated in section 3.11.5 of this handbook.** A copy of the approval must be attached to the summary sheet.

2) ~~**Educational History and employment history.**~~ **An example of the format for presenting this information is given below.** ~~The candidate, in collaboration with the department head,~~ **prepares a list of her or his educational and academic employment history.**

3) **Statement of responsibilities.** The department head, in consultation with the faculty member, shall prepare a statement of the **candidate's** responsibilities. It is recommended that ~~the statement be composed~~ **a brief statement of responsibilities** within the first six months of employment and updated annually. The statement should ~~be descriptive, not evaluative, and should clarify~~ **describe** the areas of responsibility assigned to the faculty member in regard to the criteria used in promotion and tenure reviews. ~~The first statement of faculty responsibilities should be developed and~~, of the candidate for tenure and/or promotion. The assigned workload for full-time faculty consists of a combination of teaching, research/scholarship/creative activity, and service. ~~The normal maximum teaching responsibilities of a full-time faculty member engaged only in teaching is 12 credit hours each semester. The precise teaching responsibility of each individual shall be based on such factors as class size and the number of examinations, papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught and other appropriate considerations shall be used to determine teaching responsibility.~~

~~The actual responsibilities of a faculty member will typically be a mix of teaching, research/scholarship/creative activity, and service. These responsibilities will be determined in consultation between the faculty member and department head with their nature, status, and progress as documented on the Annual Retention Review Forms and/or the Faculty~~

~~Annual Review Forms for the faculty member, which become part of the dossier. The university requires that each member of the faculty perform a reasonable and equitable amount of work each year.~~

- 4) **Department and college statements of criteria and expectations.** Each department and college must include a description of the criteria used to appoint and evaluate faculty in these respective units as outlined in the *Faculty Handbook* 3.11.4. ~~(See Part III.D of this manual for information about the development, approval, and dissemination of department and college criteria statements.)~~
- 5) **Certification of Competence to Communicate in English.** The University of Tennessee Board of Trustees requires that certification of competence to communicate in English shall accompany the tenure and promotion dossier. **of any candidate who is not a native speaker of English.**

**B. Teaching Ability and Effectiveness.** The material in this section ~~should~~ documents clearly the candidate's teaching ability and effectiveness. This section contains the following statements and information arranged in the order given.

- 1) **Required statements, information, and reports.** Section B must contain the following items.
  - a. ~~A statement by the candidate~~ **Candidate's Statement / Self-Assessment:** The statement describes the candidate's ~~of his/her~~ teaching philosophy and **practices and reflects on teaching ability and effectiveness; its implementation;**
  - b. **Scheduled Classes Taught:** A list of courses taught ~~in resident instruction, continuing education, and international programs at UTK~~ for each term or semester of instruction **(including summer term). Include the following information:** ~~with enrollments in each course;~~
    - i. **enrollment;**
    - ii. **percent effort for co-taught classes;**
    - iii. **identify honors courses** ~~should be identified separately;~~
    - iv. **identify a record of clinical assignments or other forms of direct student supervision, if appropriate;** ~~will be included; and~~
    - v. ~~a list of advising responsibilities for the period will be included.~~
  - c. **Quantitative end-of-course student surveys:** ~~A concise compilation~~ **tabulation of results of end-of-course student surveys** ~~evaluation~~ **or documented evaluation of candidate's programs, activities, and skills;**
  - d. **Narrative end-of-course student survey materials:** ~~If a summary of student comments from end-of-course student surveys is included, the summary should be broadly representative of all the student comments received. include "the best liked" and "the least liked" qualities. These comments should be compiled by the department head from standard end-of-course student surveys. student evaluations of teaching;~~
  - e. **Peer review of teaching reports:** ~~A report from a Peer review evaluation of teaching reports and any other faculty input concerning the evaluation of teaching effectiveness, including any statements from colleagues who have visited the candidate's classroom for the purpose of evaluating his/her teaching, or who are in good position to evaluate fairly and effectively clinical or field assignments or advising. Internal letters about teaching effectiveness should be included in this section.~~

- 2) **Other Optional indicators of quality.** Section B may contain the following indicators of quality, as appropriate:
- a. ~~any~~ statements from administrators ~~which that~~ attest to the candidate's teaching and advising effectiveness;
  - b. other documentation of evidence of teaching and advising effectiveness (e.g., performance of students in subsequent courses, tangible results and benefits);
  - c. ~~any~~ honors and awards received for teaching;
  - d. a list of supervised graduate dissertations (or equivalent) required for graduate degrees with types of degrees and years granted;
  - e. membership on graduate degree candidates' committees;
  - f. a list of **supervised** undergraduate honor theses **or research supervised**;
  - g. ~~any evidence of expertise or experience in~~ international or intercultural **instructional** activities.

C. **Research/scholarship/creative activity.** The material in this section ~~should~~ documents **clearly** the candidate's achievements in research/scholarship/creative activity (according to the terms of the candidate's appointment). This section contains the following statements and information arranged in the order given.

- 1) **Required statements, information, and reports.** Section C must contain the following items.
- a. **Candidate's statement.** The statement describes the candidate's research/scholarship/creative achievement approach and/or agenda.
  - b. ~~Research and/or~~ **List of scholarly publications.** Publications should be listed in standard bibliographic form, preferably with the earliest date first. Citations should include beginning and ending page numbers or total number of pages, where appropriate. For multiple-authored works, the contribution of the candidate should be clearly indicated (e.g., principal author, supervised person who authored the work, etc.). ~~Manuscripts accepted for publication should be placed in the appropriate category as "in press"; letters of acceptance from editors for such contributions should be included at the end of this section.~~ Publications should be ~~listed~~ **grouped in the following categories and in the order given:**
    - i. Articles published in refereed journals;
    - ii. Books;
    - iii. Scholarly and/or creative activity published through a refereed electronic venue;
    - iv. Contributions to edited volumes;
    - v. Papers published in refereed conference proceedings;
    - vi. Papers or extended abstracts published in conference proceedings (refereed on the basis of abstract);
    - vii. Articles published in popular press;
    - viii. Articles appearing in in-house organs;
    - ix. Research reports submitted to sponsors;
    - x. Articles published in non-refereed journals;

- xi. **Manuscripts accepted for publication (include letters of acceptance at the end of this section C).**
  - xii. **Manuscripts submitted for publication (include where and when submitted).**
- c. **Creative activity.** This section should document exhibitions, installations, productions, or publications of original works of architecture, dance, design, electronic media, film, journalism, landscape architecture, literature, music, theatre, and visual art. Performance of original dance, literary, musical visual arts, or theatrical works, or works from traditional and contemporary repertoires of the performing arts should be chronicled with critiques.
- d. **Projects, grants, commissions, and contracts** (date, title, agency, amount). These should be ~~referenced~~ **grouped in the following categories and in the following order given:**
- i. Completed;
  - ii. Funded and in progress;
  - iii. Under review.
- e. **Papers presented at technical and professional meetings** (meeting and paper titles, listed chronologically in standard bibliographic form); indication of whether the candidate was the presenter, whether the paper was refereed, and whether the paper was invited.
- f. **Record of participation in, and description of, seminars and workshops** (short description of activity, with titles, dates, sponsor, etc.); indication of role in seminar or workshop, e.g., student, invited participant, etc.
- g. **Record of invitations to conduct workshops, master classes, seminars, etc. at other institutions.**
- 2) **Optional indicators of quality.** Section C may contain the following indicators of quality, as appropriate:
- a. Other evidence of research or creative accomplishments (~~identify~~ patents, new product development, international and intercultural expertise or experience, new art forms, new computer software programs developed, **notable citations and / or reviews of creative work or scholarship**, etc.);
  - b. honors or awards for research/scholarship/creative achievement;
  - c. ~~List of~~ Grants and contracts for instruction or for training programs, with an indication of the candidate's role in preparing and administering the grants and contracts.
- D. **Institutional, Disciplinary, and/or Professional Service.** The material in this section ~~should~~ documents the candidate's achievement in institutional, disciplinary, and/or professional service. This section contains the following statements and information arranged in the order given.
- 1) **Required statements, information, and reports.** Section D must contain the following items.
- a. **Candidate's statement.** The statement will describe the candidate's achievement in institutional, disciplinary, and/or professional service.
  - b. **Service activities:** The candidate provides a summary of his/her service record arranged according to the following categories.

- i. **Institutional service**
    - (1) Record of committee work at department, college, and university levels;
    - (2) Participation in university-wide governance bodies and related activities;
    - (3) Record of contributions to the University's programs, at home and abroad, to enhance equal opportunity, cultural diversity, and international and intercultural awareness.
  - ii. **Disciplinary service**
    - (1) Record of membership and active participation in professional and learned societies related to his or her academic discipline (e.g., offices held, committee work, journal refereeing, and other responsibilities);
  - iii. **Professional service**
    - (1) Service to public and private organizations or institutions in which the candidate uses his/her professional expertise;
    - (2) Service to governmental agencies at the international, federal, state and local levels;
    - (3) Service to industry, e.g., training, workshops, consulting;
    - (4) Participation in community affairs as a representative of the University.
- 2) **Optional indicators of quality.** Section D may contain the following indicators of quality, as appropriate:

- a. List of Honors or awards for service activity within the institution, academic discipline, and/or profession.

E. **Candidate Signature Statement.** See 3.11.5.1.A2)e. This section provides a statement, signed by the candidate, attesting that the candidate has reviewed sections A through D for accuracy and completeness.

F. **External Letters of Assessment.** See 3.11.5.1.A2)f. This section contains letters from external evaluators and The following items, including the letters and other required statements and information, must be arranged in the order given.

- 1) **Required statements, information, and reports.** Section E must contain the following items.
  - a. **External letters of assessment.**
  - b. **The dossier will typically include no fewer than five letters from external evaluators. In the event that a dossier has fewer than five letters from external evaluators, the department head must discuss the reasons with the dean and/or chief academic officer. The dean or the chief academic officer may ask the department head to solicit additional letters in order to meet the typical required minimum number of external assessments.**
  - c. **Sample of letter sent to external evaluators.** The head provides a sample of the letter that was sent to the external evaluators soliciting their assessments of the candidate's achievements in research/scholarship/creative activity. When letters are solicited, the request should be for letters of assessment rather than "recommendation" or "endorsement", and evaluators should be encouraged to concentrate on those aspects of the candidate's record which are most important to the external visibility and professional standing of the candidate.—A sample letter is included at the end of this appendix. Letters

to external evaluators should include the criteria for rank in the department, college, and university

- d. **Log of external letters of assessment.** The log documents the dates on which each external letter was requested, by the department, the date on which the letter was received, and entered into the dossier. The log also indicates whether the evaluator was recommended by the candidate or the department. All requests should be entered in the log regardless of whether a response was obtained. A sample log is included at the end of this appendix.
  - e. **Method of selection of external evaluators.** The head attaches a description of the procedure used for selecting external evaluators. A sample description is included at the end of this appendix.
  - f. **Qualifications of external Brief biography of evaluators.** The head attaches a brief biographical statement identifying those who have written the assessments, including evidence demonstrating the evaluator's qualifications and standing in his/her discipline. A sample statement is included at the end of this appendix.
- G. Evaluative Recommendations, Reports, and Statements.** [See 3.11.5.1.A.2]g] The following recommendations, reports, and statements are included This section includes the APPRs, retention reviews (as appropriate), and all evaluative statements by peer committees and administrators. given below.
- 1) **Required statements, information, and reports.** Section F must contain the following items, in the following order:
    - a. **Annual Performance and Retention Review Materials**
      - i. **For Tenure and/or Tenure and Promotion:** All Retention Review materials reports and Annual Performance and Planning Review (APPR) materials completed during the probationary period, including, but not limited to, the following documents:
        - a) Retention Review Report Form;
        - b) Faculty narrative from retention review;
        - c) Department Head of Director Retention narrative from any and all administrative levels; retention and/or performance review;
        - d) Candidate's responses to any and all official retention review narratives;
        - e) Dissenting statements from faculty.
        - f) APPR Form;
        - g) APPR narratives from any and all administrative levels;
        - h) Candidate's responses to any official APPR narratives.
      - ii. **For Promotion Only:** All materials from Annual Performance and Planning Reviews (APPR) Report Forms completed since the last promotion, during the probationary period, including, but not limited to, the following documents:
        - a) APPR Form;
        - b) APPR narratives from any and all administrative levels;

- c) Candidate's responses to any official review APPR narrative.
  - b. **Departmental Review Committee report**
    - i. Departmental review committee narrative;
    - ii. Any minority report from the departmental review committee;
    - iii. Any candidate response to the departmental review committee's and/or minority report.
  - c. **Department Head's recommendation**
    - i. Department head's recommendation;
    - ii. Any dissenting statement from members of the departmental review committee;
    - iii. Any candidate response to the department head's recommendation, or any dissenting statement from members of the departmental review committee.
  - d. **College or Intercollegiate Promotion and Tenure Committee recommendation**
    - i. College or Intercollegiate Promotion and Tenure committee narrative;
    - ii. Any minority report from the College or Intercollegiate Promotion and Tenure committee;
    - iii. Any candidate response to the College or Intercollegiate Promotion and Tenure committee report.
  - e. **Dean's Recommendation**
    - i. Dean's recommendation;
    - ii. Any candidate response to the dean's recommendation.
  - f. **Chief Academic Officer's Recommendation**
    - i. Chief Academic Officer's recommendation;
    - ii. Any candidate response to the chief academic officer's recommendation.
  - g. **Chancellor's Recommendation**
5. **Materials not to be included in the dossier.** The dossier should *not* contain the following items unless unusual circumstances prevail and the materials are necessary for making an assessment and recommendation. (This judgment shall be made by the dean.):
- A. Evaluative statements written by the candidate, other than the required statements at the head of each factual section of the dossier;
  - B. Statements about a candidate's personal life unless they are germane to the quality of the candidate's work;
  - C. Letters of appreciation or thanks except when they include an explanation of the contribution made to teaching, research/scholarship/creative activity, or service;
  - D. Course syllabi, outlines, and other course materials; course evaluation forms.