

FACULTY AND THE UNIVERSITY

A brief from the University Faculty Council

How to use this guide

Welcome to the UT Board of Trustees. This guide was prepared by the current UFC. The **first page** serves as an executive summary of issues explained in the body.

Tenure Reviews

Initial Search: pool up to 400.

Enhanced Tenure-Track Review: year 3, pre-tenure.

Tenure and Promotion: year 6.

Annual Performance and Planning Review: 1-3 year rolling window, annually.

Enhanced Post-Tenure Performance Review: catches under-achievers, attempts remediation before dismissal.

PTR/PPPR: new, not yet implemented, every 6 years.

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Shared Governance

- The University Faculty Council (UFC) is composed of the current Presidents of each of the Faculty Senates on the UT campuses plus one campus representative and is charged with advising the President and the System office.
- Shared governance recognizes that the faculty provide the expertise that makes up a university. We share a unique interest in and responsibility for its future.

University Faculties

- We build our campus faculties by attracting, hiring, and retaining first-tier professors in their fields; professors and institutions both make **long-term investments** of time and resources to achieve academic excellence.
- Declining numbers of tenure-track jobs have increased competition, with up to 400 candidates vying for one job.

Tenure and Post-Tenure Review

- **Tenure is not a job for life;** it is a guarantee of due process.
- Tenure protects the national reputation of the university and the pursuit of knowledge and truth against outside influence or political retribution.
- We measure the productivity of faculty through Enhanced Tenure-Track Review (**ETTR**), the Tenure and Promotion process, and Annual Performance and Planning Reviews (**APPR**). Negative APPR reviews are flagged for Enhanced Post-Tenure Performance Review (**EPPR**) and require the completion of a mandatory improvement plan to avoid dismissal.
- The new **PTR/PPPR** Board policy, drafted in February and approved in March of 2018, introduces an additional, committee-intensive review on top of existing mechanisms. The UFC has registered its concern about this policy.

Faculty Workload, Rights, and Responsibilities

- Faculty have both rights and responsibilities, defined by Board policy, the Faculty Handbook, and departmental bylaws.
- Faculty workloads vary in their percentage of effort for research, teaching, and service or outreach; they can change over a career.



“Meaningful and respectful consultation helps to avoid some of the unintended consequences of policy changes, including the proliferation of expensive layers of management and wasted time.”

Shared Governance

Shared governance is the hallmark of the American university and fundamental to its strength. Faculty Senates help set policy about educational standards, faculty hiring and firing, mission, administrative officers, budgets, and long-range planning. The most effective universities have records of strong faculty/administrative collaboration, high levels of transparency, and mutual respect.

Further Resources

The AAUP (American Association of University Professors) <https://www.aaup.org/>

The AGB (Association of Governing Boards) <https://www.agb.org/>

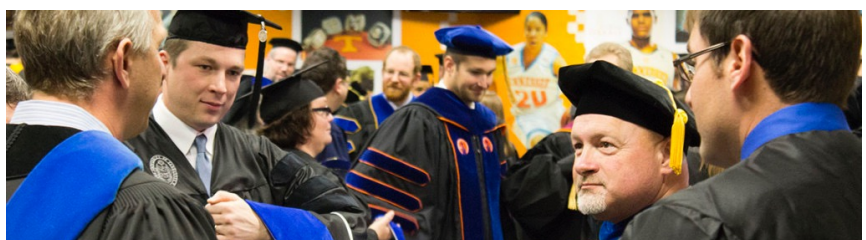
Faculty Senates and the UFC

The **University Faculty Council** represents all System faculty to the President. It is made of the Presidents of each of the four UT System Faculty Senates (UTK, which represents UTIA and UTSI; UTC; UTM; and UTHSC) plus one other elected representative from each campus. Each Senate advises and works with its Campus administration to recommend and help develop policies and procedures on matters concerning:

- educational objectives
- criteria for faculty appointment, tenure, and retirement
- selection criteria for campus administrative officers
- priorities for the University budget.

Senates advocate for the needs and concerns of their respective faculties and are the chartered body for faculty representation to the administration.

The AAUP reported in 2014 that nationally, communication between governing boards and faculty on campuses has worsened, but **we would like to buck that trend**, beginning with this document. Boards drawn from the business community bring many perspectives on the future of higher education, and they can benefit from the expertise of the faculty in genuine, open, and honest conversation about the university. Just as a hospital board uses the input of its surgeons and doctors to govern effectively and efficiently, trustees are in a better position to provide leadership for the university when they consult with faculty members. The 2017 **Association of Governing Boards’** report highlights the importance of working with elected faculty representatives in forming policy. Meaningful and respectful consultation helps to avoid some of the unintended consequences of policy changes, including the proliferation of expensive layers of management and wasted time.



Building UT's Future Together: Some Similarities and Differences Between Private Business and Public Universities

Criteria	Private Business	Public Universities	
Success Metrics	Profit Market share Innovation Reputation/Brand	Enrollment/FTE Graduation rate Innovation (teaching, R & D expenditures) Reputation/Brand Retention rate	ACT percentile Federal grant income Faculty salaries Gift income National ranking Creative achievement
Key Stakeholders	Shareholders Customers/clients Suppliers Community Board Employees	Students Parents/Guardians Alumni Community Board Faculty and Staff	Governor Legislature Employers Donors Accrediting Bodies
Public Policy Role	Focus on conforming to laws, regulations Lobbying for changes	Implementing state, national educational policy Public services	Grants for policy design and implementation Extension agents
Economic aims and benefits	Profits Provide employment Product R & D Embracing diversity Innovation Community investment Clear communicators	Low-income access Preparing workforce Non-proprietary R & D Embracing diversity Innovation Community investment Clear communicators	Citizenship skills that support democracy Critical thinking, moral reasoning Knowledge dissemination
Governance	Board appoints executives	Shared with: Legislature	Executive Faculty
Income Sources	Customers/sales Share price Licensing	Tuition Foundation income Licensing State appropriations	Grant Agencies (public and private) Donors Auxiliaries

*Similarities in bold

Building a First-Tier Faculty

Faculty make a university's national standing. A rigorous filtering process has gone on for years before we even interview a tenure-track faculty member. Nation-wide, of the roughly 10% of college graduates who go to graduate school, only 50% of those finish a PhD, only 25% find any employment in the university, with only 12% entering tenure-track jobs, and

only 10% (which is 0.25% of college graduates, or 2.5% of those who start graduate school) will get tenure (data drawn from nces.ed.gov)

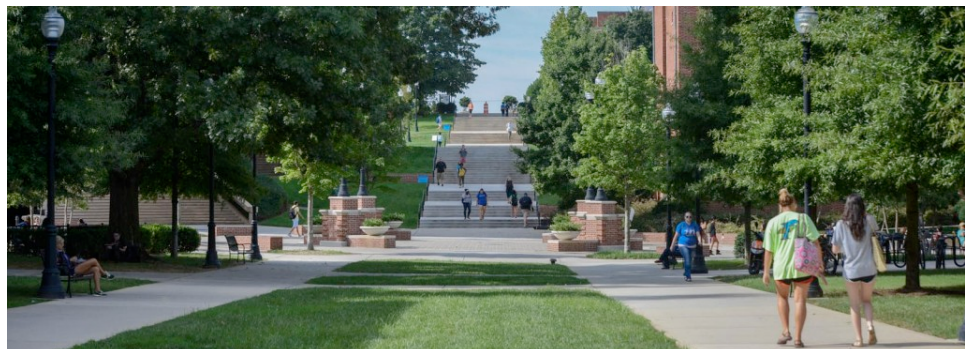
The Job Search

When the university invests in a faculty hire, it is usually an international, executive-level search, with hundreds of candidates competing for a single post, dedicated startup funds, and a tenure clock that is running; each stage of the subsequent review increases selectivity. The process of advertising and recruiting for a faculty position nationally and internationally begins with approval of the request to search by the Office of Equity and Diversity (OED). A search committee for an open position typically has five or six faculty, who work with colleagues to develop a precise job description, naming the qualities and specializations that will be used to judge the resulting pool. We make search committees as diverse as possible. The search committee also receives implicit bias training and must meet with and be approved by the Office of Equity and Diversity.

In addition to placing national and international advertisements, search committee members contact their colleagues in universities, industry, and government to solicit recommendations of excellent candidates. Applicants are asked to submit a cover letter, résumé or CV, and references. All applications are acknowledged in writing. The number of applicants for a position is typically 50 to 200 qualified candidates, but sometimes **as many as 400 candidates apply**. The search committee then identifies a principal (primary) pool and an alternate (secondary) pool. Both groups must meet the minimum requirements.

Some committees will request examples of the applicant's work, such as published papers, course syllabi, and teaching philosophy. To further narrow the pool, the committee may conduct phone or in person interviews in which the best candidates are asked a common set of questions. In establishing the principal and alternate pools, the committee gathers as much information as possible from the applicants' references and the applicants themselves. For each principal or alternate candidate the search committee prepares a narrative summary including the candidate's relative strengths and weaknesses and their resume or CV, which is submitted to the Office of Equity and Diversity. The narrative summaries help to ensure that we identify and consider a qualified diverse applicant pool. If no self-identified females or racial minority applicants have been included in the principal or alternate pools, the search committee must include a discussion of the weaknesses and strengths of each excluded applicant to explain that decision.

“Tenure, respect for faculty time, and a positive work environment help keep research dollars and expertise here.”



Annual Reviews

Each tenured faculty member completes an Annual Planning and Performance Review (APPR), reporting on their research, publication, teaching, and service with a planning statement for the next year. APPR is at the heart of ongoing post-tenure review. The department head reviews and ranks each professor and holds them to the planning statement the following year. The dean and chief academic officer review those materials and certify the rating. At some campuses, research productivity is also tracked in electronic databases.

Enhanced Tenure-Track Review

In addition to annual reviews and retention votes, each tenure-track professor goes through ETTR, an intensive pre-tenure review and vote, to determine whether the faculty member is on track to meet the requirements for tenure. This process provides guidance and, when necessary, the message that the faculty member might not make it so that they can pursue another career.

Hiring and Retention

On-campus interviews are an opportunity to evaluate the candidate in person, but they also sell candidates on UT and the local region.

During their visit, their presentation gives faculty and students an opportunity to evaluate

their communication and teaching abilities as well as the depth of their scholarship. In addition, they will meet with departmental faculty, students, the department head, and the college's dean or an associate dean. Search committees make their top recommendations to the department head who, with the dean, other administrators, and a sign-off from OED, makes an offer. Factors in a successful offer include the **salary and moving allowance, start-up funding** (anywhere between a few thousand dollars to over \$1,000,000 for experimental Chemistry and Physics at UTK), clear tenure expectations, and partner-spousal accommodations if needed. These factors can be critical in convincing a candidate to choose UT over a more highly ranked, prestigious, or geographically advantageous university.

Competition from other universities is always a threat to attracting and retaining faculty members. Universities that don't offer tenure or weaken it lose the competition for top faculty. Once a faculty member has established a reputation through their research or other creative activities, they become **recruiting targets** for academic as well as private-sector employers who can pay much more. Tenure, respect for faculty time, and a positive work environment help keep research dollars and expertise here. When faculty members are supported, appreciated, and retained, our students benefit and the research profile of UT improves. Our faculty are drawn from around the world and have national and international reputations. We ask them to invest in the institution, so we want them to have a good answer to the question, "**Why should I stay at UT?**"



Tenure and Academic Freedom

The research, teaching, and service that make up the life of a faculty member and the international reputation of a university are founded on academic freedom and respect for tenure. Tenure ensures that a professor can research all lines of inquiry on a subject without restraints and speak the truth candidly without fear. In times of political uncertainty, tenure helps protect **democratic principles and the free exchange of ideas**. While many point to the 1940 AAUP Statement of Principle on Academic Freedom and Tenure, the process of extensive vetting and establishing a record of scholarly excellence over time before being awarded a permanent professorship goes **back to the earliest universities in the West,**

including the University of Bologna (1088), the University of Paris (1150), and the University of Cambridge (1218).

Tenure also helps to attract talented individuals the university would be unable to hire at private market salaries in many fields.



Tenure is not a “job for life” but **guarantee of due process** built on a strict credentialing process and rigorous peer review. Without it, UT would not be able to recruit and retain top-tier faculty. Pre-tenure, the burden of proof is on the individual to establish an outstanding record, which is vetted by internal and external reviewers, to keep their job. Post-tenure, the burden of proof is on the institution to make the case if a professor is to be fired. While each campus has specific requirements and procedures for tenure, we share a commitment to protecting the pursuit of truth, without fear of reprisal, coercion, or undue influence, as a public good. **Tenure is difficult to obtain** and is only revoked for cause to protect that pursuit of truth and to establish long-term investments in UT.

When the university invests in a faculty position, the tenure clock is already running. A negative tenure vote within the first 6 years means the loss of the position. As they approach year 5, faculty members who have failed to assemble a strong portfolio of published work or creative achievements are **usually counseled not to go up for tenure** and to look for other employment. Not all faculty members are even eligible for tenure; only those recruited on tenure track contracts stand for tenure. As part of the tenure procedure, professors from other peer universities evaluate the merit of the faculty member’s



contribution. Departments use these reviews, along with a portfolio of the faculty member's research/creative achievements, publications, teaching record, annual reviews, and service or engagement to decide whether to recommend tenure. Promotion and Tenure committees, the College, the Provost, and the President then review that decision. These vetting processes, plus APPR, ETTR, and mentoring, mean that high rates of tenure conferral should be the norm.

Post-Tenure Review: EPPR and PPPR/PTR

All UT Campuses have additional forms of post-tenure review beyond the APPR system. In 2000 UT initiated CPR (Cumulative Post-Tenure Review), which was eventually abandoned after implementation difficulties. The current Board policy of EPPR (**Enhanced Post-Tenure Performance Review**) replaced CPR and has been **in effect since 2017**. EPPR is usually triggered by weak annual evaluations and requires an extensive individual improvement plan. In the fall of 2017, a workshop with trustees, faculty leaders, and administrators recommended that the university wait and see how the new EPPR worked before further changes. In 2018, the Board of Trustees instituted an **additional Periodic Post-Tenure Review** (PPPR/PTR) every 6 years, which re-reviews faculty members through numerous committees across the System. The outgoing board set the November 2018 Board meeting as the deadline for both the final System policy text and the Campus implementation plans.

FACULTY WORKLOAD, RIGHTS, AND RESPONSIBILITIES

John V. Lombardi, former president of both LSU and Florida, describes the university in terms of its **academic core**, composed of faculty guilds, and its administrative shell. We are proud to be the core of this university. The University of Tennessee Board of Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure, adopted in 1998, and all subsequent amendments, govern faculty rights and responsibilities. Depending upon their appointment and their area of disciplinary expertise, faculty members have a variety of responsibilities to conduct research and scholarship, to teach, and to serve. Research professors supervise labs or institutes and have few or no hours in the traditional classroom, while others teach more, provide university service, additional advising, or public engagement, based on their strengths and the needs and mission of their department, college or campus.

Faculty are responsible for conducting ethical, peer-reviewed research, for translating this disciplinary knowledge into effective teaching, and for engaging with their profession, the university, and the larger community through service. Faculty members are also expected to comply with



applicable Federal, State, IRB, Board, Title IX, and other policies and ethical standards. We mentor and supervise students to prepare them to be thoughtful, engaged, skilled and prepared for future studies or careers. We uphold these commitments to our students before and after they graduate, providing an important connection point to the university for thousands of UT alumni.

Faculty Workload

Faculty workload is set by the faculty member's unit supervisor and calculated based on 100% effort. Many teaching faculty on nine-month appointments typically devote the summer months to advancing and publishing their research, scholarship and creative work; improving their teaching skills; and pursuing meaningful forms of service. Their annual report (APPR) on their work over the prior year includes a review of the past 1-3 years of effort, depending on the campus, and a planning and goals statement, to which the faculty member is held in next year's evaluation.

Faculty Rights

Faculty members have the right to academic freedom and are expected to seek and to speak the truth as they perceive it on the basis of expertise and research in their discipline, even when they hold minority views in their discipline or the culture at large. Faculty members fulfill the discovery mission of the university in different ways depending on their area of expertise. When faculty members communicate as citizens on matters of public concern, they operate independently of the university. In this situation, faculty members have rights common to all citizens. When exercising this right, faculty members must respect the university by not claiming to represent the positions or views of the university.

Faculty Responsibilities in Research, Scholarship, Teaching, and Service

Faculty members are expected to contribute to the university's mission to pursue the creation of new knowledge. For some faculty members, these activities are measured through grants and contracts, while for others, the significance of their work is measured in terms of the number and quality of their publications, conference papers, creative works, and/or other achievements. These different contributions are in accordance with the terms of a faculty member's appointment, departmental bylaws, discipline and rank.

Faculty members are responsible for teaching effectively and facilitating student learning. Advising and mentoring undergraduate and graduate students are part of university-level teaching. The teaching mission for some extends to teaching other educators, such as primary and secondary teachers, extension efforts, certificate programs, and off-campus outreach to improve professional expertise and public understanding.

Faculty members are expected to participate in department, college, and university governance and service. Faculty members serve their disciplines by providing leadership in appropriate public, private, professional and governmental organizations, which enhances the national reputation of the university and helps in recruiting the best undergraduate and graduate students. Many faculty members also serve the community by lending their professional expertise to non-profit or community organizations.