

Faculty Expectations of the Department of Chemical and Biomolecular Engineering

These faculty expectations were pulled from the Chemical & Biomolecular Engineering Bylaws,
revised on 03/01/2018

Article III Faculty Responsibilities, Retention, Promotion And Tenure

A faculty member's responsibility is to inspire excellence in others and to strive to maintain and improve the academic quality of the Department, College, and University. In return, he or she merits trust and recognition from the University being manifest in tangible form by retention, promotion and, ultimately, tenure. The overriding criterion in all deliberations regarding retention, promotion and tenure is evidence of commitment to superior intellectual attainment. Demonstration of achievement in areas of teaching, research and scholarship, including the exercise of professional expertise, is an indispensable qualification for promotion and tenure. For retention, a reasonable potential for achieving these criteria must be evident. Effective participation in University and professional service is a necessary component of a faculty member's activities. Insistence on the highest attainable standards for faculty members is essential for the maintenance of the quality of the University as an institution dedicated to the discovery as well as the assimilation and dissemination of knowledge. Maintaining these standards throughout a faculty member's working lifetime is also necessary. To this end, annual reviews and a periodic thorough re-evaluation of a faculty member's contributions must be carried out in accord with University Regulations.

A. General Procedures

1. The Retention, Promotion and Tenure Committee (RPT) will be commissioned on an as-needed basis. It shall consist of all tenured/tenure track faculty at or above the professorial level that the candidate is pursuing. This might result in more than one committee during each promotion/tenure cycle.
2. A chairperson of the committee shall be selected by the Department Head prior to the first meeting of the committee.
3. All tenured faculty above the rank of assistant professor will vote on retention matters. An annual retention review of tenure-track faculty is conducted by the Department Head in consultation with the tenured faculty during the fall semester. As the first step in the annual retention review process, the tenure-track faculty member must prepare a summary of teaching, research / scholarship / creative activity, and service during the previous academic year, in accordance with Department Bylaws. The tenured faculty will review the summary and solicit input from the faculty member's mentor or mentor committee. The tenured faculty review is intended to provide the faculty member with a clear, thoughtful, and professional narrative that describes and discusses his or her progress toward promotion and tenure in the context of his or her appointment and Department Bylaws. After completing its review, the tenured faculty will take a formal retention vote.

The narrative developed by the tenured faculty and the record of the retention vote by the tenured faculty will be shared with the faculty member and the Department Head.

4. All tenured or tenure-track faculty who are at and above the proposed professorial level of each candidate will review and vote on promotion matters.
5. All tenured faculty will discuss and vote on tenure matters.
6. A sub-committee of at least two will be appointed to assist in dossier preparation and to report back to the full committee on each formal action. One member, the advocate, will be chosen by the candidate.
7. It is the responsibility of each candidate to ensure that all required documentation is submitted to the sub-committee in a timely manner.
8. All formal actions for tenure and promotion will require letters of recommendation from outside authorities.
9. A formal meeting of the RPT Committee will be held at an appropriate time to meet the deadlines set by the College for forwarding the results to the College RPT Committee.
10. The promotion and tenure process in the Department of Chemical and Biomolecular Engineering is an entirely confidential process. The members of the RPT committee are not at liberty to discuss the existence of the committee with anyone not on the committee.
11. The order of business of the formal RPT Committee Meeting will be as follows:
 - a. Retention of assistant professors
 - b. Promotion from assistant to associate professor
 - c. Retention of untenured associate professors
 - d. Tenure of associate professors
 - e. Promotion from associate professor to professor
 - f. Tenure of professors
12. The chairman of the RPT Committee will submit a report to the Department Head on each candidate. The Department Head will submit a report to the College RPT Committee and the Dean of Engineering with the Department's RPT Committee report as an appendix.

B. Specific Procedures

Review of Performance

The Department Head will, each year, review the teaching, research, thesis and dissertation supervision, committee assignments, publication record, scholarly contributions, and University and public service activities of each faculty member. The Department Head and the faculty member will discuss plans for the future and individual goals and objectives. How these goals and objectives relate to the Department's long-term objectives and strategic plan will also be discussed. The review will culminate in a narrative describing strengths, weaknesses and expectations of the faculty member and a rating of the faculty performance on the following scale:

EXCEEDS EXPECTATIONS FOR RANK	consistently strong contributions to program
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MEETS EXPECTATIONS FOR RANK	meets basic faculty responsibilities and makes important contributions to program
NEEDS IMPROVEMENT	underachieving, not reaching potential
UNSATISFACTORY	unacceptable

In accord with the directives of the UT Board of Trustees and the directives of the Faculty Handbook, each tenured professor will undergo a post-tenure review by his or her peers approximately every five years. This review is intended as an aid to the individual in assessing his or her performance and the determination of changes that need to be made to improve it. In cases where the performance is deemed to be unsatisfactory with respect to teaching, research and service, this review may serve as a basis for initiation of termination procedures for adequate cause. In cases where the annual reviews by the Department Head have resulted in unsatisfactory reviews for a period of not less than two successive years, the Department Head will ask the Professorial Faculty to review the faculty member's performance in teaching, research, and service, and to vote on the question of whether termination proceedings should be initiated for adequate cause. Termination proceedings may also be initiated for (a) misconduct, (b) due to financial exigency or program discontinuance, or (c) due to an unauthorized leave of absence, as defined in the University of Tennessee publication entitled "Policies Governing Academic Freedom, Responsibility, and Tenure" and in the Faculty Handbook.

Retention

Annual informal retention reviews are conducted by the Department Head. A formal retention review will be conducted by the RPT committee for untenured assistant professors during their third or fourth year, the particular year to be recommended by the Department Head. Untenured associate professors and professors will be reviewed formally no later than their third year. For assistant professors whose first formal review uncovered problems serious enough to make ultimate tenure doubtful, a second formal review will be conducted one year later. Such a procedure, well documented, allows the individuals concerned adequate time to correct deficiencies and credits the individual with progress made.

In instances of unsatisfactory performance, the Department Head may, at his or her discretion, ask the committee to vote on whether to recommend that termination proceedings be initiated for the candidate.

Promotion

The normal times at which promotion will be awarded to appropriate individuals are the seventh year for assistant professors and the fifth year for associate professors. Early promotion can be awarded to suitably qualified individuals, especially when prior service has occurred at equivalent institutions. Years spent in fulltime administration will not be included in the time period except at the request of the candidate. Documentation on the case is to consider, at a minimum, the following four areas: (a) teaching, (b) research, (c) scholarship, (d) University and professional service. Evidence appropriate to each area is listed in a separate section.

As stated in the preamble, a commitment to superior intellectual attainment is of overriding importance and is manifest through excellence in teaching, the education of graduate students, authorship of texts and refereed articles, all corroborated by peer review. Although success in obtaining research funding and authorship of refereed articles explicitly involve peer review, individual overall assessments by authorities in a candidate's chosen area of specialty are essential. After consultation with the faculty member, the Department Head will seek the advice of at least three and preferably four to six persons not on the faculty of the University of Tennessee, Knoxville, whose expertise is closely related to that of the candidate and who are willing to provide thoughtful evaluation of the candidate's written work or other suitable evidence of scholarly and/or creative research performance. None of these references may be the former thesis advisor, postdoctoral mentor, or a collaborator. Further procedures for evaluating and granting tenure will be consistent with those stated in these Bylaws, the Faculty Handbook, the Manual for Faculty Evaluation, and the Tickle College of Engineering Guidelines for the Tenure and Promotion Review Process.

After having been denied promotion from associate professor to professor, an individual may request reconsideration of the case for promotion after a period of no less than two years.

Tenure

Granting of tenure is regarded as the University's most critical personnel decision and will not be considered for assistant professors. Whenever possible, tenure will be granted on promotion to associate professor status, but it will entail a separate decision. The award of tenure is in response to an individual's demonstrated achievements in teaching, research, and scholarship. It involves a strong assumption that those standards will be maintained or surpassed in future years. Accordingly, documentation must cover the areas of (a) teaching, (b) research, (c) scholarship, and (d) University and professional service. At least six letters of recommendation will be required, with no more than 50% being suggested by the candidate. These must conform to the restrictions described under the paragraph on "Promotion." Procedures for evaluating and granting tenure will be consistent with those stated in these Bylaws, the Faculty Handbook, the Manual for Faculty Evaluation, and the Tickle College of Engineering Guidelines for the Tenure and Promotion Review Process.

C. Documentary Evidence

Teaching

Ability to teach effectively, at both the undergraduate and graduate levels, is required of all faculty. Appropriate sources of documentation include student evaluations, peer review by colleagues and exit interviews of graduates. Demonstrated ability to develop courses and participate effectively in curriculum design is essential.

Research

Participation in both research and direction of graduate students is recommended. All faculty should serve on graduate supervisory committees and chair some of those committees. The ability to direct research is manifest in the production of undergraduate and master's theses and doctoral dissertations by supervised students. The following are all forms of recognition of research ability: (a) publication of research papers and patents, (b) the award of research funds by external organizations using competitive peer review, such as government agencies, national laboratories, and industrial consortiums, (c) active participation at research meetings of professional societies, (d) presentation of seminars and invited lectures, (e) reviewing of journal articles and research proposals, and (f) further evidence of sustained research and scholarly activities.

Scholarship

There are many forms of evidence of scholarly activities. These include: (a) awards and prizes, (b) fellowships in professional societies, (c) authorship of texts, (d) authorship of review articles and book chapters, (e) sole authorship of articles in peer-reviewed journals, (f) co-authorship of articles in peer-reviewed journals, (g) authorship of articles in conference publications, and (h) citation reports.

Service

Two major forms of service indispensable to the University and the profession are (a) willing and active participation in committee activities at the departmental, college and university levels, and (b) participation in the activities of professional societies at the local, regional, national, and international levels.

Examples of the former include curriculum development, student advising, recruiting at all levels, service as safety officer, and active efforts to solve the various problems and concerns raised in routine committee assignments, service on the Faculty Senate, and service on the Undergraduate and/or Graduate Council, to name but a few.

Examples of the latter include such activities as serving as an officer of a professional society, development of symposia at regional, national or international meetings, and serving on professional society committees. Other examples of professional service include participation, as advisors, in local, state and federal government agencies as well as to national organizations.

D. Level of Performance Expected

Professorial Faculty are expected to perform at a level that will bring respect and honor to themselves, to the Department of Chemical and Biomolecular Engineering and to the University of Tennessee. Such efforts will involve certain activities carried out at a level that is sufficient to maintain and grow both our undergraduate and graduate programs. It is recognized that faculty are a diverse group with some being more adept at teaching, while others may be more capable researchers. However, all tenure track faculty must engage in scholarly activities, teaching, research, and service at a reasonable level. A typical faculty member is expected to continuously support and direct the research of graduate students, teach two to four classes per year, publish multiple refereed journal articles per year, participate actively in appropriate professional technical societies (including presentation of papers at national and international meetings, holding offices, serving on committees, organizing symposia, etc.), and effectively serving on Department, College, and University-wide committees and governing bodies. While quantity of effort and output must be sufficient to maintain an active presence in the field of expertise, quality of teaching, research, scholarship and service are of the greatest significance in determining level of performance and qualifications for promotion and pay increase.

- Assistant professors are expected to exhibit evidence of growing research activity and competency at teaching and instruction.
 1. Appropriate service activities include reviewing journal papers and proposals for external funding agencies.
 2. Exhibit promise as effective teachings as evidenced through student surveys and periodic peer reviews.
 3. Serve as primary research advisor to graduate students.
- Associate professors are expected to have demonstrated a sustained ability to conduct research and service while maintaining instructional quality.
 1. Appropriate service activities include serving as session chairs at technical conferences, helping to organize topical conferences, and performing University, College, and Department service on committees.
 2. Display evidence of consistent, effective teaching through student evaluations and peer reviews.
 3. Serve a primary advisor and provide support through external grants to multiple graduate students.
 4. Have of a growing international reputation of scholarship in the appropriate technical disciplines.
- Professors are expected to display prominence in their fields of research, to be actively engaged in all aspects of University and community service, and to exhibit the highest quality of instructional ability.
 1. Appropriate service activities include serving as officers of technical societies, administrators of funding agencies, and participating in and chairing of upper-level University and College committees.
 2. Display a high level of teaching effectiveness, as evidenced through student and peer evaluations.
 3. Serve as primary advisor to multiple graduates students and provide support from external funding. Leading multidisciplinary proposal and grant teams.
 4. Have an internationally recognized leadership position in appropriate technical disciplines and worldwide recognition of superb scholarship.

Guidelines for expected levels of achievement for promotion in each area by rank are presented in the Department's *Guidelines on Expectations for Promotion and Tenure*, which may be updated biannually or as necessary to maintain its integrity as based on metrics determined from other top public university departments of chemical engineering that are aspirational peers, as identified in the *Guidelines on Expectations for Promotion and Tenure*. This document will be maintained by the Department Head and retained in the Department's permanent files.

The following represent some guidelines that may be used to establish rankings in individual categories based on the above described scale (Article III.B). It is important to keep in mind that the final assessment is an overall determination, averaged over all the faculty member's activities.

Teaching

Each faculty member will undergo periodic teaching evaluations by a Peer Teaching Review Committee. The peer teaching review team should consist of three faculty members. The chair of the team is selected by the department head. The faculty member being reviewed will have the opportunity to select a team member if they wish. The third team member is provided by the Associate Dean for Faculty Affairs from the College pool of reviewers. This third reviewer must not have a faculty appointment in the department of the faculty member who is being reviewed. For the review of tenure-line faculty members, team members must be tenured faculty members of the same rank or above. For the review of non-tenure-line faculty members, team members may be tenure-line or not but must be of the same rank or above. Reviews may occur as regularly planned events during the promotion progression of a faculty member or after reaching the senior rank for her/his type of faculty appointment. Reviews may also occur as part of a faculty improvement plan or cumulative performance review, and as such would be added into the set of needed reviews for a given academic year with the previously planned reviews. The recommended frequency of the planned reviews is:

- Lecturer - twice during the period for progression to senior lecturer.
- Senior lecturer - twice during period for progression to distinguished lecturer.
- Assistant professor of practice - twice during period for progression to associate professor of practice.
- Associate professor of practice - twice during period for progression to full professor of practice.
- Assistant professor - twice during period for progression to associate professor.
- Associate professor - twice during period for progression to full professor.
- Distinguished lecturers, Full professors of practice and Full professors - periodically after appointment to rank.

These reviews will be conducted in accordance with policies set forth by the Tickle College of Engineering. Of course, other forms of evidence of quality teaching will also be considered in making the final evaluation, such as individual course student assessment surveys. Faculty members are also encouraged to find other means to demonstrate the quality of their teaching.

Research

Publication of research papers in peer-reviewed journals is an important measure of research accomplishment; however, the quality of the papers is as important as the quantity. In addition, faculty are expected to have successfully acquired external grants and contracts. Invited seminars and presentations at national and international meetings are also expected. In order to achieve "meets expectations for rank," a faculty member must typically also provide support for multiple graduate students from externally funded research projects. Faculty who rarely publish and who do not contribute to the support of graduate students will be categorized as "unsatisfactory" with respect to the research function. For a faculty member to be categorized as "exceeds expectations for rank" with respect to research, he or she must substantially exceed the above stated criteria for "meets expectations for rank." Expectations for promotion and tenure decisions are presented in the Department's *Guidelines on Expectations for Promotion and Tenure*.

Scholarship

Scholarship should be at a level that will be sufficiently recognized that the faculty will be asked to prepare review articles or will publish books, etc. Faculty will grow into this level of expectation. Early years will involve preparation of scholarly papers. Faculty whose primary activity is in teaching are expected to write textbooks and/or publish in educational journals. Evidence of scholarly achievement may be quantified via scholarly citation indices and statistical indicators, such as the h-index.

University and Professional Service

Faculty are expected to accept and perform well in the various Department, College and University-wide committees. A consistent absence of such efforts will constitute grounds for concern in the overall evaluation. Faculty members are also expected to associate with appropriate professional societies consistent with their areas of special expertise. They should seek leadership positions in these societies and, in particular, they should perform such service as developing symposia at national and international meetings, refereeing papers and proposals, etc.

Non-tenure track faculty

Non-tenure track faculty (NTTF) are those not specifically designated as Professorial Faculty; i.e., lecturers, research professors, and professors of practice. Levels of expectation in each category above will be set by the Department Head in consultation with the NTTF member. Of course, not all categories will apply to each individual appointment. Discretion is left to the Department Head in establishing expectations and criterion, as well as the methodology of review and evaluation, in accordance with the Faculty Handbook, the TCE Guidelines for Promotion of Research Faculty, and the TCE Guidelines for the Promotion of Lecturers.

Article IV Recommendations for New Appointments

Recommendations for new appointments to the Faculty shall be prepared and forwarded by the Department Head to the Dean of Engineering when a majority of the voting members of the Department concur. No vote on an appointment shall be taken until all voting members of the Department have been notified of the candidacy. Searches for new academic appointments will be conducted in accordance with the Faculty Handbook. The Department Head or delegated representative shall oversee the organization of an ad hoc search committee to engage in the screening and interviewing process designed to establish a pool of candidates for the position. All searches will be conducted in a way consistent with Faculty Handbook. The Department Head or delegated representative shall also have responsibility for overseeing the advertising of position vacancies, the processing of position applications, the arranging and scheduling of interviews, and the keeping of all records necessary for the recruitment appointment of new faculty members, all in keeping with the letter, spirit, and intent of Equal Employment Opportunity and Affirmative Action procedures at The University of Tennessee. All tenure track positions will be filled by the established UT search process and will be aligned with strategic directions established by the faculty. The search committee will actively identify, and seek applications from, candidates deemed to be highly qualified. Once candidates have been identified and interviewed, all voting members of the department shall have an opportunity for input to the committee and approve the committee's recommendation before final recommendations are made to the Department Head. The Department Head, in consultation with the Dean of the Tickle College of Engineering, will select from the list of acceptable candidates reported by the search committee and negotiate an offer.

Other Faculty Appointments

Candidates for non-tenure track, JFU, JFO, lecturer, research professor, professor of practice, or adjunct professor positions will be screened and evaluated by the Department Head and voted on by the faculty.

Appointments with Tenure

The *College of Engineering Guidelines for Faculty Appointment with Tenure* governs the appointment with tenure process. Such appointments may be considered only for individuals who currently hold or have held a tenured or tenure-track position at another university. Three faculty votes are required for appointment with tenure.

1. A vote on the appointment within the Department (vote by all faculty);
2. A vote on award of tenure (vote by all tenured faculty);
3. A vote on appointment rank (vote by all faculty of equal or higher rank than intended for the candidate).

Article V Personnel Matters

Formal recommendation in matters concerning reappointment, promotion and tenure shall originate with the Department Head, and shall follow the guidelines of the University of Tennessee Faculty Handbook. The Department Head shall make such recommendations on advice of the tenured Faculty members.

Article VI Department Head

Department Head searches will be conducted according to procedures stated in the Faculty Handbook. The Department Head is appointed to a five-year term and serves at the discretion of the Dean of the Tickle College of Engineering. The Department Head can be reappointed to additional five-year terms indefinitely. A recommendation to the Dean of Engineering concerning continuation of the appointment of the Department Head of Chemical and Biomolecular Engineering shall be made every five years by the Professorial Faculty in residence; or at such other times when at least 2/3 of the voting Professorial Faculty in residence deem that such a recommendation is necessary. Departmental faculty members provide annual objective evaluation of the Department Head to the Dean of the Tickle College of Engineering according to current College standard practice.

Article VII Teaching Assignments

Each semester, the Department Head shall distribute teaching assignments for future semester(s) before they are due at the University's course scheduling office. These teaching assignments are to have been arrived at by prior interactions with the faculty; however, final decisions are at the sole discretion of the Department Head.

Article VIII Amendments

No more than three years after adoption of these Bylaws, the Department Head shall appoint a committee to review them and submit to the faculty for its approval any amendments it deems advisable. A vote of two-thirds of the Professorial Faculty of the Department shall be required to amend these Bylaws. Any proposed amendment to the Bylaws will be circulated to the Faculty no less than ten days before the meeting at which it is to be introduced. No amendments shall be voted on at the meeting at which they are introduced.

Article IX Appointment and Retention of Adjunct Professors

Adjunct faculty members provide a useful service to the education and research mission of the Department by mentoring graduate research, serving on degree committees, hosting graduate students at their home institutions for research and educational experiences, and, in some cases, providing material or financial support for a student or the student's research. The Department encourages the appointment of adjunct faculty provided certain conditions are met.

1. Upon request, the applicant will submit a departmental application to the Department Head requesting adjunct status upon initial consideration.
2. The applicant must have a permanent position at an academic, corporate, or governmental organization. Other applicants, such as retired professionals, can be considered on a case-by-case basis.
3. The applicant must have sufficient experience and/or an outstanding reputation in his/her areas of expertise, as deemed by the Faculty.
4. The applicant has the endorsement of a member of the Professorial Faculty.
5. The applicant will give a seminar in the Department showcasing his/her research experience and expertise related to the proposed interactions with his/her sponsor from the Faculty. This requirement may be waived on a case-by-case basis subject to a majority vote of the Professorial Faculty.
6. The appointment must be approved by a majority vote of the Professorial Faculty.

Adjunct appointments are for an initial period of two years, renewable indefinitely. All requests for renewals will require a continued endorsement by a member of the Professorial Faculty, who is not necessarily the same one who provided the original endorsement. All adjunct appointments will be reviewed prior to renewal. Adjunct faculty who are deemed by the Professorial Faculty to be no longer contributing to the mission of the Department will not have their appointments renewed at the end of the two-year period. All renewals are subject to a majority vote of the Professorial Faculty.

Department of Chemical and Biomolecular Engineering

Guidelines on Expectations for Promotion and Tenure

(Approved March 2018)

Summarized below are guidelines for promotion and/or tenure in the Department of Chemical and Biomolecular Engineering of the University of Tennessee-Knoxville. These guidelines were determined after careful review of institutional data from nationally-ranked chemical engineering departments of public universities as ranked between 16-32 according to popular ranking publishers/entities (such as U.S. News & World Report). These requirements were developed by an ad-hoc committee appointed by the Department Head during the 2016-2017 academic year, and were approved by vote of the Professorial Faculty of the Department at a faculty meeting held on April 13, 2017. Metrics not specifically mentioned below will be consistent with those stated in the Department Bylaws, the Manual for Faculty Evaluation, and the College of Engineering Guidelines for the Tenure and Promotion Review Process.

By the time an assistant professor is considered for promotion and tenure, he or she will have averaged at least 2 peer-reviewed publications/yr as arising from research performed at the University of Tennessee-Knoxville for the five years prior to submission of the promotion dossier. The average annual expenditure for assistant professors should be on track for at least \$100,000/yr from external funding sources with a reasonable portion derived from competitive funding agencies such as NSF, DoD, DoE, etc. Therefore, an anticipated cumulative total of \$500,000 over the previous five-year period is a reasonable baseline by the time the candidate were to apply for tenure and promotion. At least one Ph.D. student should have been graduated by the time of consideration for promotion and tenure. At least 5 person-years of graduate student support derived from external grants and contracts is consistent with the level of performance at the 16-32 ranked institutions, mentioned above.

An associate professor meriting promotion to full professor will have averaged at least 4 publications/yr and have expenditures of at least \$200,000/yr over the five-year period prior to submission of the promotion dossier. Hence during this period, a cumulative total of 20 peer-reviewed publications arising from research performed at the University of Tennessee and \$1,000,000 of competitive external funding is normally expected. Associate professors meriting promotion should have averaged 1/2 Ph.D. student graduated per year over the preceding five year period. At least 10 person-years of graduate student support derived from competitive external grants and contracts is consistent with the level of performance at the 16-32 ranked institutions, mentioned above.