

# East Tennessee State University

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## Table of Contents

### SECTION 1 - GENERAL INFORMATION

[University Organization Structure](#)

[Vision, Values, Mission/Institutional Purpose](#)

[Academic Chair Appointment and Stipend Policy \[Excluding Medicine\]](#)

[Conflict of Interest in Sponsored Programs](#)

[Copyright Fair-Use Guide for Faculty](#)

[Drug-Free Campus Policy Statement](#)

[Faculty Senate](#)

[Harassment Policy](#)

[Information Technology Policies](#)

[Intellectual Property Policy](#)

[Misconduct in Scholarship and Research](#)

[Nepotism Policy](#)

[Safety and Security on Campus](#)

[Smoking / Tobacco Use Policy](#)

### SECTION 2 - EMPLOYMENT

[Definition and Types of Faculty](#)

[Employee Grievance/Complaint Procedures](#)

[Equal Employment for Opportunity](#)

[Faculty Ranks and Promotion](#)

[Financial Exigency Policy](#)

[Hiring Procedures for Faculty](#)

[Personnel Policies: Records Leaves, Retirement, and Benefits](#)

[Selection and Periodic Review of Academic Administrative Personnel](#)

[Standards of Conduct for Faculty](#)

[Tenure](#)

[Workload, Reporting, and Evaluation for Full-Time Faculty](#)

[Workplace Violence Prevention Guideline Policy](#)

### SECTION 3 – PROFESSIONAL DEVELOPMENT

[Advanced Degree Study for Full-Time Faculty Members](#)

# East Tennessee State University

---

[Educational Expenses Support for Faculty and Staff](#)

[Faculty Awards: Nominations, Selection, Presentation, and Criteria](#)

[Faculty Development](#)

[Fees and Tuition -- Classification of Employees, Their Spouses,  
and Children, and Graduate Assistants](#)

[Instructional Development Grants](#)

[Non-Instructional Assignments](#)

[Presidential Grant-in-Aid](#)

[Research Development Committee Grants](#)

## SECTION 4 – COMPENSATION

[Extra Compensation](#)

[Outside Employment](#)

[Part-Time Instruction Pay Rate Policy](#)

[Travel](#)

[Uncompensated Adjunct Faculty](#)

[Winter/Summer/Intersession Faculty](#)

## SECTION 5 – ACADEMIC AND OTHER POLICIES PERTAINING TO STUDENT MATTERS

[Gatton College of Pharmacy Student Handbook](#)

[Graduate Catalog](#)

[Quillen College of Medicine](#)

[Undergraduate Catalog](#)

## SECTION 6 – CURRICULUM

[Courses Credit](#)

[Curriculum Proposals](#)

[Electronic Courses](#)

[Experimental Courses](#)

[SACS COC Substantive Changes](#)

[Study Abroad Courses](#)

[Textbook Policies](#)

## SECTION 7 – FACILITIES

# East Tennessee State University

---

[Facilities Use Policy](#)

[Quillen College of Medicine Medical Library](#)

[University Libraries](#)

# East Tennessee State University

---

## Section 1 General Information

[University Organization Structure](#)

[Vision, Values, Mission/Institutional Purpose](#)

[Academic Chair Appointment and Stipend Policy \[Excluding Medicine\]](#)

[Conflict of Interest in Sponsored Programs](#)

[Copyright Fair-Use Guide for Faculty](#)

[Drug-Free Campus Policy Statement](#)

[Faculty Senate](#)

[Harassment Policy](#)

[Information Technology Policies](#)

[Intellectual Property Policy](#)

[Misconduct in Scholarship and Research](#)

[Nepotism Policy](#)

[Safety and Security on Campus](#)

[Smoking / Tobacco Use Policy](#)

## University Organization Structure

View [ETSU's organization\\_blank](#) structure

07/01/91; 05/15/01; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

## Vision, Values, Mission/Institutional Purpose

The Vision, Mission, and Values of East Tennessee State University can be accessed at the following link:

<http://www.etsu.edu/president/mission.aspx>

11/94; 06/95; 11/97; 11/99; 11/05; 01/10; Effective 10/11, policy changes will appear on the webpage cited

[Back to Top](#)

# East Tennessee State University

---

## Academic Chair Appointment and Stipend Policy

[Excluding Medicine]

### Notice of Vacancy, Selection Protocol, and Periodic Review of Department Chairs

Provisions for providing notice of a vacancy in the position of Academic Chair and the selection protocol to be employed for a search are described in the section on Selection and Periodic Review of Academic Administrative Personnel of this Handbook. Provisions for periodic review of department chairs are also described in this section.

### Initial Appointments of Department Chairs

For externally hired chairs, an initial faculty salary level should be established based on the range of traditional considerations used to determine salary levels.

For internally hired chairs, the base salary may be subject to adjustment based on the range of traditional considerations used to determine salary levels.

When some faculty members in the department are on AY contracts, the base salary for initial appointment of a chair should be established for the academic year.

For AY appointed chairs, the designated summer stipend should also be established.

When an AY base salary is to be converted to a fiscal year appointment, the AY salary is increased by 25% to establish the FY salary.

The designated administrative stipend is added to either the AY or FY salary.

The appointment letter and contract for a department chair should clearly indicate the base faculty salary, term of appointment (FY or AY), summer stipend if appropriate, and administrative stipend to be received as department chair.

Stipends receive any across-the-board increases that apply to base salary, thus constantly indexing their value for current chairs. Stipend levels for new appointees should be indexed annually, thus making them consistent with actual increases for existing chairs.

When economically feasible and warranted by the size and complexity of the department, chairs should be appointed on a fiscal year basis. When a FY appointment is not appropriate or acceptable to the chair or college, a separate summer administrative stipend should be established for the department by the college dean. This summer stipend is established in credit hours and is paid at the same rate as summer instruction from the Summer budget.

Chairs on fiscal year contracts are expected to fulfill all employment obligations and receive all benefits stipulated in Board of Regents Policy for fiscal year employees.

# East Tennessee State University

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Transitions to fiscal year appointments and stipend adjustments will not be employed to decrease the current administrative stipend of any department.

## Determination and Implementation of Administrative Stipend and Teaching Load for Academic Chair

Administrative stipends for departmental chairs are set at three dollar levels that reflect differing levels of administrative workload. The system is based on the following three factors: Total FTE Faculty based on the average of Fall/Spring figures to address faculty size, graduate teaching assistants, part-time instructors; Total Student Credit Hour Production to address service components, majors, and graduate students; and Complexity based on number of academic concentrations, laboratory/studio/clinical components, grants, off-campus program, specialized accreditation/licensure/regulatory, equipment and support personnel, and extensive community service requirements. The formula will weight Faculty, Students, and Complexity as follows: Faculty at one-third, Students at one-third, and Complexity at one-third. Each of the three factors will be assigned a number between 1 (low) and 5 (high), based on a subjective assignment by the academic dean in consultation with the office of the Vice President for Academic Affairs and the Vice President of Health Affairs.

The administrative stipend for each department chair is set to reflect an assessment of workload that is classified as High, Moderate, or Low. Documentation of which departments are assessed in each workload level and the associated stipend received by the chair is available in the Provost's Data Warehouse and is communicated periodically to the Deans Council and the Chair of the Council of Chairs. Determination of whether departments are assessed in appropriate categories will be reviewed periodically to respond to significant departmental changes in size and complexity.

The number of courses to be taught by a chair is determined by the chair and college dean. It is based upon the anticipated administrative workload. As a guideline, but intended only as a guideline, chairs of low complexity departments would be expected to teach a minimum of five courses per fiscal year; chairs of medium complexity departments would teach a minimum of four courses; and chairs of high complexity departments would teach a minimum of three courses per fiscal year. Generally, summer teaching is expected, but would be a function of the individual department's complexity summer programs, and summer administrative responsibilities. This decision would be made jointly, on an annual basis, by the department chair and dean.

## Provision for Retaining of Stipend when Relinquishing Position of Academic Chair

Except as provided for in this policy, AY chairs return to faculty status at their AY base salary. When FY chairs return to faculty status, the administrative stipend is removed and the AY base salary is set at 80% of the remaining FY salary unless it is determined to be appropriate for the appointment to continue on a fiscal year basis.

# East Tennessee State University

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Upon positive recommendation by the dean and concurrence of the appropriate Vice President, a portion of the current chair stipend may be retained in the faculty member's base salary if he or she relinquishes chair duties after having served a minimum of five or more years as chair. The following calculation should be made to determine the portion to be retained:

i.	Years served as chair	Portion of stipend that may be retained based upon resuming faculty ranks
ii.	5 Years	50%
	6 Years	60%
	7 Years	70%
	8 Years	80%
	9 Years	90%
	10 or more Years	100%

This provision which would permit retaining a portion of the stipend will be phased in, and no chair in the initial 2002-03 year of implementation will receive more than five years of credit for prior service in the position of chair that would be creditable toward determining portion of stipend to be retained.

9/17/02

[Back to Top](#)

## Conflict of Interest in Sponsored Programs

These policies can be accessed through the Office of Research and Sponsored Programs through the following link:

<http://www.etsu.edu/research/researchcompliance/conflictinterest.aspx>

10/25/95; 02/01; 03/06/08; Effective 10/11, policy changes will appear on the webpage cited

[Back to Top](#)

## Copyright Fair-Use Guide for Faculty

### General Information for Faculty and Staff

Copyright is a form of protection provided by the laws of the United States (Title 17, U.S. Code) to "promote the progress of science and useful arts, by securing for limited times to authors and inventors the exclusive right to their respective writings and "discoveries." It is given to individual, group or corporate authors and to "works for hire," and includes

# East Tennessee State University

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any creative work written or recorded in a “fixed” format. Protections last for the term of an author's life plus 75 years after death; copyright for corporate works can range from 95-120 years. Copyright and academic use of material under copyright in the United States is governed by the following laws: U.S. Copyright Act of 1976, Title 17 U.S.C. §§ 101 – 810; Section 121 of the U.S. Copyright Act (Chafee Amendment) of 1996; the Digital Millennium Copyright Act (DMCA) of 1998; and the Technology, Education and Copyright Harmonization Act (TEACH Act) of 2002.

It is illegal for anyone to violate the rights provided to the owner of a copyright. The Copyright Act contains provisions prescribing damages that can be assessed if infringements are committed. In civil cases, the law allows the assessment of actual damages or statutory damages. For each infringement, statutory damages range from \$250 to \$10,000.

These rights, however, are limited in scope. Copyright protections eventually expire and the previously protected material becomes part of the public domain and available for use by the public at large. Material produced by the U.S. government is exempt from copyright, as taxpayers have funded its creation. Sections 107-118 of the Copyright Act

establish limitations to copyright protections.

One major limitation is the doctrine of “fair-use” which is given statutory basis in Section 107 of the Act.

## Copyright Fair Use at the University

Section 107 of the Copyright act states that the fair-use of a copyrighted work, including use by reproduction in copies, is not an infringement of copyright for certain purposes, such as criticism, comment, teaching (including multiple copies for classroom use), scholarship or research. In determining fair-use, each of the following four factors should be considered:

1. the purpose and character of the use, including whether such use is of a commercial nature or is for non-profit educational purposes;
2. the nature of the copyrighted work;
3. the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. the effect of the use upon the potential market for or value of the copyrighted work.

The following guidelines are based on these factors. They illustrate proper use of copyrighted material under the fair-use doctrine for teaching, research, library/media, computer, and archives copying. The directives outlined below should be taken as minimum standards for properly exercising fair use of the copyrighted materials.

## Permissible Photocopying

The copyright law allows anyone to photocopy copyrighted works without securing permission from the copyright owner when the photocopying amounts to a “fair use” of the material, and applies to all forms of photocopying, whether undertaken, for example, at a commercial copying center, at the University's departmental copying facilities



# East Tennessee State University

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or at a self-service machine. Users of commercial or departmental copy services should be prepared to provide documentation of permission from the publisher or copyright owner when such copying is beyond the limits of fair use described below.

Instructions for securing permission to photocopy copyrighted works appear at the end of this guide. It is the policy of this University that the user (faculty, staff, or student) secure permission whenever it is legally required.

To assure compliance with the law, all public copy machine installations at the University will display one of the following notices. Notices must be printed on heavy paper or other durable material in type at least 18 points in size. Notices must be clearly visible and legible to the casual observer within the immediate vicinity.

Supervised Copier where Materials are Brought to be Copied by Designated Operator

## NOTICE - WARNING CONCERNING COPYRIGHT RESTRICTIONS

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted materials.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specific conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess "of fair use" that user may be

liable for copyright infringement.

This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.

Unsupervised or Self-Service (Coin-Operated) Copier

NOTICE : The copyright law of the United States (Title 17 U.S. Code) governs the making of photocopies or other reproductions of copyrighted material. The person using this equipment is liable for any infringement of the copyright law by themselves or others under their direction or control.

## Fair-Use Guidelines for Copying

### Single Copying for Faculty

A single copy may be made of any of the following by or for a faculty member at his or her individual request for scholarly research or use in teaching or in preparation for teaching a class:

- One chapter of a book
- One article from a periodical or newspaper

# East Tennessee State University

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- One short story, short essay or short poem, whether or not from a collective work
- One chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper.

## Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per student in a course) may be made by or for the faculty member giving the course for classroom use or discussion; provided that:

The copying meets the tests of brevity and spontaneity defined below, and Meets the cumulative effect test defined below, and Each copy includes a notice of copyright.

## Definitions for Multiple Copies for Classroom Use

### Brevity

- |     |               |  |
|-----|---------------|--|
| (1) | Poetry        | complete poem if less than 250 words and if printed on not more than two pages, or   |
|     | (a)           |  |
|     | (b)           | From a longer poem, an excerpt if not more than 250 words.   |
| (2) | Prose         | either a complete article, story or essay of less than 2,500 words, or   |
|     | (a)           |  |
|     | (b)           | an excerpt from any prose work if not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words. (Each of the numerical limits stated in "1" and "2" above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.) |
| (3) | Illustration  | One chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue.   |
| (4) | Special Works | Certain works in poetry, prose or in "poetic   |

# East Tennessee State University

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prose” which often combine language and illustrations and which are intended sometimes for children and at other times for a more general audience fall short of 2,500 words in their entirety. Item “(a)” above notwithstanding, such “special” works may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10% of the words found in the text thereof, may be reproduced.

## Spontaneity

1. The copying is at the instance and inspiration of the individual faculty member, and
2. The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

## Cumulative Effect

1. The copying of the materials is for only one course in the institution in which the copies are made.
2. Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.
3. There shall not be more than nine instances of such multiple copying for one course during one class term.

The limitations stated in “1” and “2” above shall not apply to current news periodicals and newspapers and current news sections of other periodicals.

## Library Reserve

At the request of a faculty member, libraries of the University may place on reserve one copy of excerpts from copyrighted works in accordance with the fair use guidelines above. For example, a library may place on reserve one copy of an entire article, or an entire chapter from a book, or an entire poem. Whenever appropriate for collection development purposes, the library will purchase one copy of a book from which a chapter has been placed on reserve. Multiple copies of parts of books, periodicals, or media will not be placed on reserve without

# East Tennessee State University

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the publisher's or copyright holder's prior permission. The Sherrod Library may pay up to \$50.00 to the publisher through the Copyright Clearance Center for each instance of material placed on reserve by faculty.

Instructions for securing permission to make multiple photocopies of copyrighted works appear at the end of this guide.

## Uses of Photocopied Material Requiring Permission

**Repetitive copying:** The classroom or library reserve use of photocopied materials in multiple courses and sections, or in successive semesters requires advance permission from the owner of the copyright.

**Consumable works:** The duplication of works that are consumed in the classroom such as standardized tests, exercises, and workbooks requires permission from the copyright owner.

**Creation of anthologies as basic text material for a course:** Creation of a collective work or anthology by photocopying a number of copyrighted articles and excerpts to be purchased and used together as the basic text for a course requires the permission of the copyright owners.

**Copying for profit:** Faculty should not charge students more than the actual cost of photocopying the material that is given to each student.

## Interlibrary Loan

All interlibrary loans originating at the University will be processed by the Interlibrary Loan department of Sherrod Library (the Colleges of Medicine and Pharmacy will utilize the Quillen Learning Resources Center or medical library). The library will be responsible for maintaining all records required by the Copyright Law, and the guidelines of the National Commission on New Technological Uses of Copyrighted Works ("CONTU"). During a single calendar year the library may obtain from the previous five years of publication no more than five articles from any one journal title it does not own, unless permission is granted to exceed this limit. After this CONTU guideline is exceeded, the applicable library will pay appropriate copyright fees to the affected publisher through the Copyright Clearance Center.

## Off-Air Videotape Recording for Educational Purposes

The following guidelines are derived from the statement adopted by the Kastenmeier House Subcommittee on Courts, Civil Liberties and administration of Justice. The guidelines apply only to off-air recording by non-profit educational institutions and to programming from commercial and public broadcast television networks received via transmission by a local television station or a local subscription cable service. They are not intended to apply to direct taping of a satellite feed, which requires advance permission from the copyright holder.

A broadcast program may be recorded off-air simultaneously with broadcast transmission and retained by the University for a period not to exceed the first 45 consecutive calendar

# East Tennessee State University

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days after date of recording. Upon conclusion of such retention period, all off-air recordings must be erased or destroyed immediately. "Broadcast programs" are television program transmitted by television stations for reception by the general public without charge.

Off-air recordings may be used once by individual faculty in the course of relevant teaching activities, and repeated once only when instructional reinforcement is necessary, in classrooms and similar places devoted to instruction within a single building, cluster or campus, as well as in the homes of students receiving formalized home instruction, during the first ten consecutive school days in the 45 calendar day retention period.

Off-air recordings may be made only at the request of and used by individual faculty, and may not be regularly recorded in anticipation of requests. No broadcast program may be recorded off-air more than once at the request of the same faculty, regardless of the number of times the program may be broadcast.

After the first ten consecutive school days, off-air recordings may be used up to the end of the 45 calendar day retention period only for teacher evaluation purposes; that is, to determine whether or not to include the broadcast program in the teaching curriculum, and may not be used in the recording institution for student exhibition or any other non-evaluation purpose without authorization.

Off-air recordings need not be used in their entirety, but the recorded programs may not be altered from their original content. Off air recordings may not be physically or electronically combined or merged to constitute teaching anthologies or compilations.

All copies of off-air recordings must include the copyright notice on the broadcast program as recorded.

## Public Performance of Videotapes and Audiovisual Works

The concept of nontheatrical performances, which was well established prior to the 1976 copyright revision, still applies to films and filmstrips, but not to videotapes. Many videotapes are now available for inexpensive purchase or rental with a label warning "For Home Use Only." Because copyright proprietors hold exclusive rights to display and perform their works, purchase or rental of these materials does not include the right to perform publicly.

While educational use does involve public performance, Section 110 of the Copyright Act provides an exemption for face-to-face teaching activities of a nonprofit educational institution, which is assumed (in the absence of a test case) by most parties to apply to "home use only" tapes as well as those specifically intended for instructional applications. The limitations of what is permissible under this exemption are as follows:

1. They must be shown in nonprofit educational institutions.
2. They must be shown only to students and educators.
3. They must be shown by students, instructors, or guest lecturers.
4. They must be shown in a classroom or other school location devoted to instruction.

# East Tennessee State University

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5. They must be shown either in a face-to-face setting or where students and teacher(s) are in the same building or general area.
6. They must be shown using a legitimate (that is, not illegally reproduced) copy with the copyright notice included.

Performance of audiovisual works, even in nonprofit education institutions, is prohibited without permission of the copyright holder when:

1. They are used for entertainment, recreation, or even for their cultural or intellectual value but are unrelated to teaching activity.
2. They are transmitted by radio or television (either closed or open circuit) from an outside location.
3. They are shown in an auditorium or stadium before an audience not confined to students, such as a sporting event or community lecture or arts series.
4. They involve an illegally acquired or duplicated copy of the work.

The Technology, Education and Copyright Harmonization Act of 2002 (TEACH Act) addresses such performances in online classes. Fair use guidelines apply, and access to copyrighted material must be controlled in the following manner:

- Material is only for use by students;
- Viewing the material is restricted to students enrolled in the class;
- Ability to further copy the material is restricted
- Copyright notice is displayed

## Duplication of Recordings, Films, Slides, and Other Audiovisual Works

Generally, permission must be obtained for any duplication of non-musical sound recordings, films, slides and other audiovisual works that are copyrighted. The following guidelines are considered within the ambit of fair use at the University for the two audiovisual categories described.

### Photographic Copying

Photographic copying of a single copy of one chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper may be made, provided the copy is used for scholarly research, teaching, or preparation to teach a class.

### Non-Music Audio Recording

A single audio recording copy may be made if it corresponds to the spoken version of a chapter from a book, an article from a periodical, a short story, short essay or short poem, whether or not from the collective work, and provided the copy is used for scholarly research, teaching, or preparation to teach a class.

### Music

# East Tennessee State University

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## Permissible Uses

Emergency copying to replace purchased printed copies of music that for any reason are not available for an imminent performance provided purchased replacement copies shall be substituted in due course.

For academic purposes other than performance, single or multiple copies of excerpts of works may be made, provided that the excerpts do not comprise a part of the whole which would constitute a performable unit such as a section, movement, or aria, but in no case more than (10%) of the whole work. The number of copies shall not exceed one copy per pupil.

For academic purposes other than performance, a single copy of an entire performable unit (section, movement, aria, etc.) that is (1) confirmed by the copyright proprietor to be out of print, or (2) unavailable except in a larger work, may be made by or for a teacher solely for the purpose of his or her scholarly research or in preparation to teach a class.

Printed copies that have been purchased may be edited or simplified provided that the fundamental character of the work is not distorted or the lyrics, if any, altered or lyrics added if none exist.

A single copy of recordings of performance by students may be made for evaluation or rehearsal purposes and may be retained by the educational institution or individual teacher. A single copy of a sound recording (such as a tape, disc, or cassette) of copyrighted music may be made from sound recordings owned by an educational institution or an individual teacher for the purpose of constructing aural exercises or examinations and may be retained by the educational institution or individual teacher. (This pertains only to the copyright of the music itself and not to any copyright that may exist in the sound recording).

## Prohibitions

The following acts of copying copyrighted materials are prohibited:

- Copying to create or replace or substitute for anthologies, compilations, or collective works.
- Copying of or from works intended to be “consumable” in the course of study or teaching, such as workbooks, exercises, standardized tests, answer sheets and like material.
- Copying for the purpose of performance, except as listed under Permissible Uses.
- Copying for the purpose of substituting for the purchase of music, except as in Permissible Uses.
- Copying without inclusion of the copyright notice that appears on the printed copy.

## Archives

In order to comply with the Copyright Act while at the same time making its resources as freely available to researchers as possible, the Archives of Appalachia will:

1. Seek to have copyright transferred in writing at the time manuscripts are transferred.

# East Tennessee State University

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2. Make written notes on the identity of the copyright holders when copyright is not transferred, insofar as the information is available, and freely share this information with interested researchers.
3. In the printed regulations and rules for use of the Archives, explain that it is primarily the researcher(s) responsibility to inform him/herself regarding the copyright status of the records he/she uses.
4. Display the required copyright warnings, and notices in the research room on copy request forms and on the copies themselves.
5. Require all users requesting photocopies to complete a "Request for Photoduplication" form, which includes a statement of purpose and of assumption of all liability for copyright infringement by the user. These forms will be permanently maintained by the Archives and will be consulted whenever a systematic copying endeavor appears to be underway.
6. Refuse to make copies or give permission to quote copyright-protected items to commercial vendors without written permission of copyright owners.
7. Refuse to copy or to give permission to quote records that the Archives has agreed not to reproduce.
8. Freely permit copying and publication of all records whose copyright the Archives controls except that for-profit publications will be expected to pay a standard fee for use of materials.

## Computer Programs and Documentation

The Office of Computer Services has adopted the following policy on the use and copying of microcomputer programs and documentation:

1. The Office of Computer Services does not sanction, encourage, condone, or consent to unauthorized software use.
2. The software collections in the microcomputer laboratories will utilize, hold, and distribute only public domain software and documentation and authorized original, backup and archival copies of copyrighted software and documentation.
3. Instructors of courses, workshops or other instructional offerings conducted in the microcomputer laboratories are requested to utilize only authorized copies of copyrighted software and documentation.
4. Copying or otherwise reproducing any part of a copyrighted program or its documentation which would be in violation of the licensing agreement will not be sanctioned without written and specific permission of the copyright holder.

In addition, the Tennessee Board of Regents Office of General Counsel has issued the following statement, which serves as the University's guidelines:

"The unauthorized use or distribution of computer software violates federal and state laws. The making of copies of microcomputer software is subject to the federal copyright laws. Violation of such laws may result in the filing of a civil law suit against the alleged infringer. If infringement is proven, the infringer may be ordered by the court to pay monetary damages. It is also a violation of the State Computer Crimes Act to acquire or use computer software without proper authorization. Such illegal activity may result in criminal prosecution. In addition, any such activity may subject the employee to disciplinary sanctions, including termination. Moreover institutional employees may be held personally liable in civil actions



# East Tennessee State University

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for activities that are in violation of the state law and/or Board policy. The educational 'fair use' defense to liability for copyright infringement is extremely limited as defined by federal statute. It affords no special protection to the unauthorized use of computer software. A license to use or make copies of computer software programs must be procured by contractual agreement. The execution of such license agreement is subject to applicable Board policies and guidelines. It is recommended that software that is not acquired by the institution pursuant to a license agreement approved by the Board should not be used without written permission of the campus director of the computer facilities.

## Sources of Information

Public Law 94-553. 94th Congress. Oct 19, 1976. Title 17 – Copyrights:

[http://www.copyright.gov/title17\\_blank](http://www.copyright.gov/title17_blank) of the U.S. Copyright Act (Chafee Amendment) of 1996: [http://www.loc.gov/nls/reference/factsheets/copyright.html\\_blank](http://www.loc.gov/nls/reference/factsheets/copyright.html_blank)

Digital Millennium Copyright Act (DMCA) of 1998: <http://www.copyright.gov/legislation/dmca.pdf>

Technology, Education and Copyright Harmonization Act (TEACH Act) of 2002: [http://www.copyright.gov/legislation/pl107-273.html\\_blank](http://www.copyright.gov/legislation/pl107-273.html_blank)

Gasaway, Laura. When U.S. Works Pass Into the Public Domain: [http://www.unc.edu/~unclng/public-d.htm\\_blank](http://www.unc.edu/~unclng/public-d.htm_blank)

ETSU Office of Computer Services "Policy on the Use of Copying of Microcomputer Programs and Documentation." Pieces of Eight. 4:5, Jan 85. pp. 4-5

## Suggestions for Obtaining Permission to Reproduce Copyrighted Material

Experience has shown that faculty have greater success than the library in obtaining permission from copyright owners to reproduce and/or reuse copies for teaching. Generally, all that is asked of faculty by the copyright owner is that they follow fair use provisions of the copyright law with regard to educational purpose, brevity of the copied material, consideration for the cumulative effect of copying, and that a notice of copyright ownership be included on the reproduced material. In a few cases, however, the copyright owner might ask for a monetary payment, set specific conditions, or even deny permission outright. In the case of library reserve, the faculty member assumes full responsibility for following copyright requirements. The following facts are necessary in any letter requesting permission to reproduce additional copies and/or reuse of copyrighted material for educational purposes:

1. Title, author, and/or editor, and edition of material to be duplicated.
2. Exact material to be used; page numbers, chapters, and if practicable, a photocopy of the material.
3. Number of copies you will be reproducing and/or reusing.

# East Tennessee State University

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4. Use to be made of the duplicated materials; that is, educational research use, or classroom teaching.
5. Form of distribution; library reserve, classroom distribution, etc.
6. Whether or not the material is to be sold.
7. Type of reproduction; photocopy, ditto, offset, typeset, etc.

04/03/89; 07/11

[Back to Top](#)

## Drug-Free Campus Policy Statement

Refer to ETSU Personnel Policies and Procedures Manual at

[http://www.etsu.edu/humanres/relations/PPP26.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP26.aspx_blank)

07/23/90; Effective 03/06; policy changes will appear on the webpage cited

[Back to Top](#)

## Faculty Senate

Refer to the ETSU Faculty Senate website at

[http://www.etsu.edu/senate/\\_blank](http://www.etsu.edu/senate/_blank)

07/13;

[Back to Top](#)

## Harassment Policy

Refer to ETSU Personnel Policies and Procedures Manual for both policy and procedures at

[http://www.etsu.edu/humanres/relations/PPP30.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP30.aspx_blank)

Effective 03/06; policy changes will appear on the webpage cited

[Back to Top](#)

## Information Technology Policies

### Acceptable Use Policy (Includes Web Publishing and TECnet)

Refer to the OIT Policy List at:

# East Tennessee State University

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[http://www.etsu.edu/oit/policies/acceptableuse.aspx\\_blank](http://www.etsu.edu/oit/policies/acceptableuse.aspx_blank)

Effective since 08/00; Effective 10/11, policy changes will appear on the webpage cited

## Administrative Computer Access Policy

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/admcompaccess.aspx\\_blank](http://www.etsu.edu/oit/policies/admcompaccess.aspx_blank)

Effective 10/11, policy changes will appear on the webpage cited

## Complaint Resolution Process

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/compresprocess.aspx\\_blank](http://www.etsu.edu/oit/policies/compresprocess.aspx_blank)

10/05; Effective 10/11, policy changes will appear on the webpage cited

## Electronic Mail Policy

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/electronicmail.aspx\\_blank](http://www.etsu.edu/oit/policies/electronicmail.aspx_blank)

08/10/04; Effective 10/11, policy changes will appear on the webpage cited

## Perimeter Firewall Policy

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/firewall.aspx\\_blank](http://www.etsu.edu/oit/policies/firewall.aspx_blank)

03/09/10; Effective 10/11, policy changes will appear on the webpage cited

## Hardware Maintenance Procedure

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/hardwaremaintenance.aspx\\_blank](http://www.etsu.edu/oit/policies/hardwaremaintenance.aspx_blank)

05/06; Effective 10/11, policy changes will appear on the webpage cited

## Information Technology Code of Ethics

Refer to ETSU Personnel Policies and Procedures (PPP-44) linked from OIT Policy List:

# East Tennessee State University

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[http://www.etsu.edu/oit/policies/inftechcodeethics.aspx\\_blank](http://www.etsu.edu/oit/policies/inftechcodeethics.aspx_blank)

Effective 10/11, policy changes will appear on the webpage cited

## Policy on OIT Sponsored Personal Computers

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/ointsponsoredpcs.aspx\\_blank](http://www.etsu.edu/oit/policies/ointsponsoredpcs.aspx_blank)

12/09; Effective 10/11, policy changes will appear on the webpage cited

## Personal Information Security Breach Policy

Refer to the OIT Policy (linked to Tennessee State Code Annotated 39-14-150) List at:

[http://www.etsu.edu/oit/policies/pisb.aspx\\_blank](http://www.etsu.edu/oit/policies/pisb.aspx_blank)

08/10/10; Effective 10/11, policy changes will appear on the webpage cited

## Portable Computational Device Security Policy

Refer to the OIT Policy (linked to Tennessee State Code Annotated 47-18-2901) List at:

[http://www.etsu.edu/oit/policies/portabledevsec.aspx\\_blank](http://www.etsu.edu/oit/policies/portabledevsec.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

## Desktop/Laptop Computer & Printer Installation Policy

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/pcinstallation.aspx\\_blank](http://www.etsu.edu/oit/policies/pcinstallation.aspx_blank)

08/07; Effective 10/11, policy changes will appear on the webpage cited

## University Computing Standards Policy

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/UnivStandsPolicy.aspx\\_blank](http://www.etsu.edu/oit/policies/UnivStandsPolicy.aspx_blank)

02/11/03; Effective 03/06, policy changes will appear on the webpage cited

## VPN/Remote Access Policy

Refer to the OIT Policy List at:

# East Tennessee State University

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[http://www.etsu.edu/oit/policies/vpn.aspx\\_blank](http://www.etsu.edu/oit/policies/vpn.aspx_blank)

03/09/10; Effective 10/11, policy changes will appear on the webpage cited

## Wireless Networking Policy

Refer to the OIT Policy List at:

[http://www.etsu.edu/oit/policies/wirelessnetworking.aspx\\_blank](http://www.etsu.edu/oit/policies/wirelessnetworking.aspx_blank)

11/16/06; Effective 10/11, policy changes will appear on the webpage cited

## Data Access Policy

This “Policy on Access to ETSU Institutionally Maintained Electronic Data, Data Files, Software, and Networks” has been developed to define employees' responsibility concerning access and use of ETSU data files, software, and networks. The policy is intended to facilitate the accurate, secure, rapid, and efficient dissemination of data from institutionally maintained electronic files and networks to University employees, students, and other constituencies.

Because data are more readily available and the technical capabilities to access electronic files in an open environment have increased, a clear definition of employees' responsibility in handling data and procedures for access has been defined and implemented.

## ETSU Data

ETSU data and data files in any media are to be considered and treated as sensitive data. Any ETSU-generated information; i.e., papers, letters, documents, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material regardless of physical form or characteristics made or received in connection with the transaction of official ETSU business, is classified as ETSU data.

All employees have access to various types of ETSU data. These data are considered sensitive and in some cases confidential and are the property of ETSU. Data should not be released in any fashion without the consent of those authorized for its release. All data files for the University are protected by the Computer Crimes Act, Tennessee Code Annotated Sections 39-14-601 et seq., as well as the Copyright Act of 1976, 17 U.S.C. Sections 101 et seq., or any other law that may be applicable, and ETSU Financial Procedures Policy FP-12. In addition, employees with access to student record information should be aware this information is considered privileged and confidential. These records are protected under the Family Educational Rights and Privacy Act (FERPA) of 1974 as well as Tennessee Code Annotated Section 10-7-301, 10-7-503 and 10-7-504 and ETSU Financial Procedures Policy FP-12 (Public Records-Inspecting and Copying).

Guidelines concerning dissemination of ETSU data have been included in the ETSU Faculty Handbook, Personnel Policies and Procedures Manual, and ETSU Student Worker Handbook.

# East Tennessee State University

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Any questions concerning the release of data should be directed to Director of University Relations or through appropriate channels to the Office of any Vice President.

## Policy on Access to Electronic Data, Data Files, Software, and Networks

Access to institutionally maintained electronic data, data files, software, and networks will be available to all employees on a “need to know” basis. “Need to know” will be determined by the assigned job duties, the employee's supervisor, or student's instructor in conjunction with the official custodian of the data file. The official custodian is the creator of the file. A change in duties will require a review of the data files that have been deemed appropriate for access. When an employee vacates a position, all access will be removed; and computer files will be deleted or, if requested, transferred to the supervisor. Questions about access should be directed to the Office of Information Technology.

Access may be for inquiry (ability to read the data files) or for update and inquiry (ability to read the data files and make changes/corrections or enter new data on-line). Responsibility for file maintenance and access authorization resides with the official custodian of the file(s). The official custodian and access control of a data file(s) will be established at the time the data file or system is created. The Office of Information Resources is responsible for enabling and implementing control appropriate to enforce access authorizations in the University's communications and computing environment.

The request for access will be in writing using the “Computer Account Request Form,” which provides a link to the “Computer Resources Code of Ethics.” The employee's signature on this form signifies their acceptance of the code of ethics and all policies governing access.

It is a conflict of interest to update one's personal records (student and/or employee). In order to protect on-line users of data files from this conflict of interest, under no circumstances may employees work with their own records. This conflict of interest is also construed to include the records of relatives and close personal friends.

Any irresponsible or unethical use of a computer resource, as defined in the Faculty Handbook, will result in the immediate denial of use of the resource. Violations will be referred to the appropriate division for disciplinary and/or legal action including, but not limited to, restitution; restrictions; reprimand; suspension; probation; expulsion; termination; and, if necessary, legal action. Appeals will be handled through due process channels (Administrative Procedures Act) already established for students and/or staff. Student violations will be referred to the Vice President for Student Affairs and/or Vice President for Health Affairs; faculty violations will be referred to the Vice President for Academic Affairs and/or the Vice President for Health Affairs; and staff violations will be referred to the Vice President for Administration and Development.

### Access to Institutional Data

Every individual requiring access to institutional data must file an application for an account on the administrative systems indicating the systems where access is needed. The process

# East Tennessee State University

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varies depending on the system being requested. Use of available information shall be in accordance with the Policy on Access to ETSU Institutionally Maintained Electronic Data, Data Files, Software, and Networks.

## Banner

Banner is the name of the administrative software that serves ETSU. It replaces FRS, SIS, HRS and ADS. Additional information can be found at the following link:

[http://www.etsu.edu/banner/default.aspx\\_blank](http://www.etsu.edu/banner/default.aspx_blank)

Effective 10/11, policy changes will appear on the webpage cited

## OIT Computer Labs

There are several student computer labs throughout the ETSU campus. Linked below are the OIT labs with a brief overview of each, hours of operation, and information about the computer equipment and printers in each lab.

[http://www.etsu.edu/oit/facultystaffinfo/complabinfo.aspx\\_blank](http://www.etsu.edu/oit/facultystaffinfo/complabinfo.aspx_blank)

[http://www.etsu.edu/oit/special/Campus\\_Lab\\_Inventory.aspx\\_blank](http://www.etsu.edu/oit/special/Campus_Lab_Inventory.aspx_blank)

Effective 10/11, policy changes will appear on the webpage cited

## Multimedia Classrooms

Information Technology, in conjunction with the Technology Access Fee Committee plans, constructs and maintains the multimedia classrooms at the main campus and also at the remote campuses. A listing of all the classrooms with more detailed information can be found at the link below:

[http://www.etsu.edu/oit/special/multimedia.aspx\\_blank](http://www.etsu.edu/oit/special/multimedia.aspx_blank)

07/19/10; Effective 10/11, policy changes will appear on the webpage cited

## Workshops

Workshops and seminars are offered periodically and include a wide variety of computer-related topics. A current list of workshops can be found at:

[http://www.etsu.edu/academicaffairs/elearning/ats/training/workshop\\_catalog.aspx](http://www.etsu.edu/academicaffairs/elearning/ats/training/workshop_catalog.aspx)

Faculty and staff are invited to participate in all workshops and seminars conducted by Academic Technology Support.

Effective 10/11, policy changes will appear on the webpage cited

# East Tennessee State University

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## Consulting

Consultation and technical and programming assistance through the Client Support Services staff are available to the faculty and staff. Services are provided subject to staff workload. Faculty developing research proposals are requested to consult with Information Systems in determining the scope and nature of their computer research needs. Analysts are available in Office of Information Technology who will provide consultation to the faculty in research design; assist in getting data into the computer; help faculty to utilize the available packaged programs; help develop computer-assisted instruction material for classroom use; and, in general, help the faculty in the field of research and the use of the computer.

## Information Technology Governance Committee (ITGC)

[http://www.etsu.edu/oit/about/itgc.aspx\\_blank](http://www.etsu.edu/oit/about/itgc.aspx_blank)

07/10/01; Effective 10/11, policy changes will appear on the webpage cited

## Academic Technology Support Services

Academic Technology Support (ATS) provides ETSU's faculty and academic staff with training, resources, and support needed to use technology in their teaching and research. Additional information about ATS can be found at:

[http://www.etsu.edu/academicaffairs/elearning/ats/\\_blank](http://www.etsu.edu/academicaffairs/elearning/ats/_blank)

09/96; 11/20/97 (10/19/00); 06/28/11; Effective 10/11, policy changes will appear on the webpage cited

[Back to Top](#)

## Intellectual Property Policy

Refer to the Office of Research and Sponsored Programs:

[http://www.etsu.edu/research/documents/IPTT\\_ETSU\\_Intellectual\\_Property\\_Policy.pdf\\_blank](http://www.etsu.edu/research/documents/IPTT_ETSU_Intellectual_Property_Policy.pdf_blank)

05/04/84; 06/08/06; Effective 10/11, policy changes will appear on the webpage cited

[Back to Top](#)

## Misconduct in Scholarship and Research

Refer to the Office of Research and Sponsored Programs:

[http://www.etsu.edu/research/Misconduct\\_Policy.aspx\\_blank](http://www.etsu.edu/research/Misconduct_Policy.aspx_blank)



# East Tennessee State University

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12/04/97; Effective 10/11, policy changes will appear on the webpage cited

[Back to Top](#)

## Nepotism Policy

Refer to ETSU Personnel Policies and Procedures Manual at

[http://www.etsu.edu/humanres/relations/PPP29.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP29.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

## Safety and Security on Campus

East Tennessee State University is committed to the safety and security of everyone on campus. In its continuing effort to maintain a safe and healthy campus environment for students, faculty, and staff, ETSU provides the following safety website Staying Safe On Campus ([http://www.etsu.edu/safety\\_blank/](http://www.etsu.edu/safety_blank/)). The website functions as a clearinghouse for safety related information and resources available to our campus community. This information is presented to the university community with the knowledge that individual awareness and adherence to university security policies and procedures is the best method to maintain a safe campus environment.

ETSU has initiated a number of services and programs designed to provide the university community with additional options for students, faculty and staff to stay safe while on campus. Also included on the website is information about ETSU's emergency preparedness efforts. Emergencies can happen at any time, and how well ETSU responds is related to how well the campus community is prepared. Please visit the website and familiarize yourself with the campus' emergency procedures to insure your readiness in the event of an emergency.

7/13;

[Back to Top](#)

## Smoking / Tobacco Use Policy

Refer to ETSU Personnel Policies and Procedures Manual at

[http://www.etsu.edu/humanres/relations/PPP53.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP53.aspx_blank)

8/1/97; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

# East Tennessee State University

---

# East Tennessee State University

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## Section 2 Employment

[Definition and Types of Faculty](#)

[Employee Grievance/Complaint Procedures](#)

[Equal Opportunity for Employment](#)

[Faculty Ranks and Promotion](#)

[Financial Exigency Policy](#)

[Hiring Procedures for Faculty](#)

[Personnel Policies: Records, Leaves, Retirement, Benefits](#)

[Selection and Periodic Review of Academic Administrative Personnel](#)

[Standards of Conduct for Faculty](#)

[Tenure](#)

[Workload, Reporting, and Evaluation for Full-Time Faculty](#)

[Workplace Violence Prevention Guideline](#)

### Definition and Types of Faculty

TBR Policy 5-02-01-00 contains the Board's official definition of faculty:

TBR 5:02:01:00; 09/30/83; Effective 03/06, policy changes will appear on the webpage cited TBR Policy 5:02:07:10 [http://www.tbr.edu/policies/default.aspx?id=1496\\_blank](http://www.tbr.edu/policies/default.aspx?id=1496_blank) defines the following types of faculty appointments.

### Temporary Appointments

Temporary appointments are appointments for a specific purpose for a time appropriate to that purpose or for an unspecified period, which appointments may be terminated according to the terms of the contract of employment or appointment. Temporary appointments ordinarily should be used only for lecturers, adjunct or part-time faculty, faculty employed to replace regular faculty on leave of absence, and faculty employed pursuant to grants or for projects funded in whole or in part by non-appropriated funds. In addition, temporary appointments may be used for faculty employed on the basis of state appropriated funds in departments, divisions, or other academic units where the permanent and continued need for the position has not been established, provided that such appointments normally should not be in excess of three academic years. After that, the position can be re-advertised, and the instructor can apply again and be hired if he/she is the best candidate. Appointments of faculty members supported by more than fifty percent (50%) grant funds or other soft money sources, may be approved by the university presidents for periods in excess of three years. Other extensions of temporary appointments for periods in excess of three (3) years require the approval of the Chancellor.

Post Retirement

# East Tennessee State University

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Refer to the Tennessee Board of Regents policy at:

[http://www.tbr.edu/policies/default.aspx?id=1944\\_blank](http://www.tbr.edu/policies/default.aspx?id=1944_blank)

## Tenure-Track Appointments

Tenure-track appointments are appointments for regular full-time faculty with academic rank and may be for the academic or fiscal year. Tenure-track appointments are for faculty who are employed in a probationary period of employment prior to consideration for tenure. Tenure-track appointments shall not include any right to permanent or continuous employment, shall not create any manner of legal right, interest, or expectancy of renewal or any other type of appointment, and shall be subject to annual renewal by the institution.

## Tenured Appointments

Tenure appointments are appointments of full-time faculty who have been awarded tenure by the Board pursuant to the provisions of this policy. To protect academic freedom, tenure appointments include the assurance of continued employment for the appointment year for an indefinite period, subject to expiration, relinquishment, or termination of tenure as hereinafter provided. Such appointments do not include assurance of continued employment at any specified salary, position, or employment during summer sessions or intersessions.

No faculty member shall acquire or be entitled to any interest in a tenure appointment at a university without a recommendation for tenure by the president of the university and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member, and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at the university, provided that no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

Recommendations for or against tenure should originate from the department or academic program unit in which the faculty member is assigned and should include appropriate participation in the recommendation by tenured faculty in the department or academic program unit.

## Clinical-Track Appointments

Clinical-track appointments (a) are full-time faculty appointments, (b) are non-tenurable appointments for a fixed term, (c) are renewable, (d) permit promotion in rank, and (e) permit conversion of the appointment to tenure-track at any time prior to but not later than the expiration of the first three-year term, depending on funding availability and faculty performance. In instances where the appointment is converted to tenure-track, the three (3) years served in the clinical-track appointment, at the discretion of the president, may be credited toward the individual's probationary status. Faculty in this classification participate in the academic programs by providing professional services, by exposing students to their professional expertise, and by directing students' educational experiences in clinical/professional settings where the faculty members practice. Clinical-track appointments may

# East Tennessee State University

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be supported, in whole or in part, by appropriated funds or funding from grants or contracts, from clinical practice or clinical/professional facilities, or from other sources.

## Convertible and Non-convertible Clinical-Track Appointments

A college, academic department or other academic program unit seeking to fill a particular clinical-track appointment may indicate the position is potentially convertible to a tenure track appointment (convertible clinical-track appointment). Convertible clinical-track appointments permit conversion of the appointment to tenure-track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. Convertible clinical-track appointments must follow the search process as defined for tenure-track appointments. Convertible track appointments not converted within the three year period, as defined above, automatically revert to non-convertible clinical-track appointments. Unless specifically identified as convertible, all clinical-track appointments are non-convertible.

## Research-Track Appointments

Research-track appointments (a) are full-time faculty appointments, (b) are non-tenurable for fixed terms, (c) are renewable, (d) permit promotion in rank and (e) permit conversion of the appointment to tenure track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. In instances where the appointment is converted to tenure-track, the three (3) years served in the research-track appointment, at the discretion of the president, may be credited toward the individual's probationary status. Faculty in this classification participate in the academic programs by conducting independent research projects and by mentoring students involved in the research process. Research-track appointments may be supported, in whole or in part, by appropriated funds or funding form grants or contracts, or other sources.

## Convertible and Non-convertible Research-Track Appointments

A college, academic department or other academic program unit seeking to fill a particular research-track appointment may indicate the position is potentially convertible to a tenure track appointment (convertible research-track appointment). Convertible research-track appointments permit conversion of the appointment to tenure-track at any time prior to but no later than the expiration of the first three-year term, depending on funding availability and faculty performance. Convertible research-track appointments must follow the search process as defined for tenure-track appointments. Convertible track appointments not converted within the three year period, as defined above, automatically revert to non-convertible research-track appointments. Unless specifically identified as convertible, all research-track appointments are non-convertible.

## Coordinator Appointments

Coordinator appointments are non-tenurable, renewable appointments for fixed terms. Coordinators teach and provide administrative services within the academic departments. They devote a preponderance of their time to faculty responsibilities including, but not limited

# East Tennessee State University

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to, teaching, advising, and student mentoring. Coordinators may also have responsibility for administering special academic projects, systems support, and other administrative services.

## Graduate Faculty Appointments

Guidelines for appointment to the Graduate School Faculty are located in the ETSU Graduate Catalog at: <http://www.etsu.edu/gradstud/Forms.aspx?type=GraduateFaculty>

04/27/90; 05/15/91; 4/27/99; 10/18/00; 10/19/00; 02/01; Effective 03/06, policy changes will appear on the webpage cited

## Emeritus Appointments

East Tennessee State University will honor select faculty members, upon retirement, as emeritus faculty. These individuals will be granted certain rights and privileges in recognition of their honored role in the University community and their ongoing potential for contributions to the intellectual and cultural life of the University.

To be awarded emeritus status, faculty must have served the University for at least 10 years. Faculty should have attained the rank of Professor, Associate Professor or Assistant Professor (under exceptional circumstances Instructors may be considered). When a faculty member's written notice of retirement is received at the Office of Human Resources, that office will notify the faculty member and respective department chair of eligibility for emeritus status. The retiring member will be asked if he/she wishes to participate in the emeritus procedure. Within one month of receiving the retirement notice from the Office of Human Resources, the chair will convene the department's faculty to review the qualifications of the emeritus faculty candidate as presented in CV and other supporting documentation. Candidates will be nominated for emeritus status by majority vote. Those nominated will have materials submitted for recommendation by respective Deans and the Academic Vice President/Health Affairs Vice President, and then sent to the Office of the President where final decision will be made. (The President will have access to the Department's nomination and assessment materials, as well as decisions of approval by Deans and the appropriate Vice President.)

The title Emeritus will follow the faculty member's rank upon retirement, i.e., Professor of History, Emeritus. If the recipient is a woman, the feminine ending is used, i.e., Professor of History, Emerita. Emeritus or Emerita status will become effective July 1 of each year, and public recognition of this status will occur annually. A list of all emeritus faculty should be included in the University catalogue and other appropriate documents.

Emeritus faculty, as all retired faculty, shall be privileged to maintain an identification card entitling them to certain University privileges. These will include library use, faculty parking permit, reduced rates for athletic events and other privileges which do not exert undue financial burdens on the University. In addition, Emeriti may request the use of available office or laboratory space or may apply, upon approval, for University grants under the same rules as other faculty.

# East Tennessee State University

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04/95; 07/01/95; 11/15/07

## Joint Administrative Appointments: Faculty Role in Departmental Matters-Administrators with Faculty Status

In order to ensure free discussion, clarify roles, and avoid any semblance of conflict of interest or undue influence, faculty members in administrative positions other than departmental chairs will not participate or vote in department matters or meetings. Exceptions to this university policy may be made only by the affirmative majority vote of the faculty of the affected department. The protocol for documenting any exception to this policy will be implemented at the time of initial administrative appointment of any individual who has faculty status but is serving in an administrative position. If a department by affirmative majority vote accords an exception to the policy for an individual, that fact will be noted in writing by the department chair and will be recorded in documentation of the administrative appointment.

03/10; 10/13/11

[Back to Top](#)

## Employee Grievance/Complaint Procedures

### Purpose

The purpose of these procedures is to provide a clear, orderly, and expedient method through which all employees of East Tennessee State University may process bona fide grievances or complaints.

### Policy Statement

It is the intention of East Tennessee State University to provide an effective process for the resolution of problems arising from the employment relationship or environment. To this end, a formal grievance/complaint procedure has been established for the use and benefit of all employees. It is the responsibility of administrative, academic, and line supervisors to inform and make available to all employees information concerning these procedures. When an employee believes a condition of employment affecting him/her is unjust, inequitable or a hindrance to the effective performance of his/her employment responsibilities, he/she should seek resolution through this mechanism without fear of coercion, discrimination or reprisal.

The objective of East Tennessee State University's Grievance/Complaint Procedures is to make every effort to resolve a grievance/complaint at the lowest possible step. Toward this end, faculty are encouraged to communicate openly with their immediate supervisors and to consult with a trained procedural consultant (so designated by the Faculty Concerns and Grievance Committee for the university and trained appropriately for the position) for clarity about definitions of grievances and complaints and procedures for advancing either.

### Scope

# East Tennessee State University

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These procedures apply to all employees and cover all employment related issues with the exception of Sexual Harassment, Affirmative Action Matters, and Tenure. The institution has a separate set of guidelines for the processing of Sexual Harassment complaints and matters involving Affirmative Action (i.e., unlawful discrimination on the grounds of race, religion, color, sex, age, handicap, nation origin, or veteran status). Sexual Harassment complaints should be filed with those individuals outlined in the Sexual Harassment Plan while Affirmative Action matters should be filed with the Affirmative Action Director. Furthermore, a separate Committee on Promotion/Tenure appeals exists for the disposition of matters involving tenure or promotion.

Moreover, an employee may choose to utilize these procedures for review by the grievance committee (established pursuant to the within guidelines) in the following situations:

Actions relating to the suspension of employees for cause or termination in violation of an employment contract which fall under TBR Policy 1:06:00:05 (cases subject to TUAPA); or,

Actions related to TBR Policy 5:02:03:00, Section III. 16. b. (2) (suspension of tenured faculty). Furthermore, the University may choose to utilize these procedures for review by the grievance committee (established pursuant to the written guidelines) when resolving a matter initiated pursuant to TBR Policy 5:02:02:00 (faculty promotion).

## Definitions

### Matters Subject to the Grievance or Complaint Procedure

There are two (2) types of matters that may be addressed by these procedures: (1) grievances subject to committee review; and, (2) complaints that must be resolved without committee review.

#### 1. Complaints (committee review not available)

A complaint is a concern an employee wants to discuss with supervisory personnel in an effort to resolve the matter. Personnel actions such as performance evaluations, rates of pay, position reclassification, or position termination due to reduction in force are not defined as complaints.

In effect, in order for a personnel action such as those described in the preceding paragraph to be formally challenged by an employee or faculty member, the action must be the result of an alleged violation of school or TBR policy, an inconsistent application of those policies, a violation of any constitutional right, et. seq. (Note: bases for challenges are listed in "Scope" and "Definitions.")

This section recognizes that the informal "give-and-take" traditionally associated with the employment process will not be altered and that an employee should feel free to express dissatisfaction with the working environment; however, there is an appropriate framework for expressing personal dissatisfaction, which this policy attempts to outline.



# East Tennessee State University

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## Employees

All references to the term "employee(s)" contained in these procedures only include administrators, faculty (full-time or temporary contracts), professionals, clerical, and support personnel. Probationary employees are also included in the definition; however, student workers, graduate assistants, adjunct faculty, and temporary workers are not included in the definition of employee as it pertains to the grievance procedure.

## Grievance Committee

There are two grievance committees utilized by the University. The two types are the (1) Faculty Concerns and Grievances Committee, and (2) Non-Faculty Grievance Committee.

### 1. Faculty Concerns and Grievances Committee

The Faculty Concerns and Grievance Committee shall (a) designate a panel of three faculty members to serve the university as procedural consultants; (b) participate with the University Attorney in training procedural consultants in the definitions, policies, and procedures related to filing both grievances and complaints; (c) serve, when asked by the faculty member, as a consultative body for the development of any grievance or complaint, subject to guidelines and restrictions of this process stated in the section on Faculty Senate Policy for Faculty Grievances; and (d) shall only consider and forward recommendations to the President on those matters which meet the criteria for grievances—with those problems which are deemed complaints to have their ultimate resolution through the Office of the President of the University.

### 2. Non-Faculty Grievance Committee

The Non-Faculty Grievance Committee shall only consider grievances brought by non-faculty members. The Non-Faculty Grievance Committee shall also be selected from a Non-Faculty Grievance Pool and shall be activated for individual grievances only.

#### a. Non-Faculty Grievance Committee Pool

The President shall select a pool of potential committee members who will receive training by the Office of Human Resources regarding the University's Grievance procedure. Six (6) full-time permanent employees from each non-faculty EEO category will be selected by the President to serve as Pool Members. Their terms of service will be staggered such that two (2) members from each EEO category will serve a one (1) year term, two (2) members will serve a two (2) year term, and two (2) members will serve a three (3) year term. These individuals may serve subsequent terms but may not succeed themselves and the President shall replace all vacated positions. Furthermore, the percentage of females and minorities on the Non-Faculty Grievance Pool shall reflect as closely as possible their representation at the University at large. The following personnel, however, shall not be eligible to serve as members of the Non-Faculty Grievance Pool: personnel in the Office of the President; personnel employed in the Offices of the Vice Presidents; or employees of the Office of the Internal Auditor, Payroll Office, or Office of Human Resources.

#### b. Non-Faculty Grievance Committee Selection

# East Tennessee State University

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The President shall select the Grievance Committee which shall consist of three (3) members selected from the Grievance Committee Pool. At least one member of the grievant's peer group must serve on the committee; however, relatives, employees who have supervisory responsibility over the aggrieved employee, or anyone working in the same department under the same manager or supervisor are ineligible to serve on the committee. The committee shall select a chairperson and conduct an impartial hearing on the grievance at which it would accept and review all pertinent information presented by the employee as well as any other information it deems appropriate. The committee's review shall be thorough and independent and its recommended action shall be based on a full and fair consideration of all the facts and circumstances.

## Immediate Supervisor

That person who is directly responsible for the supervision of the employee's activities.

## Next-higher-level Supervisor

That person who is directly responsible for the supervision of the immediate supervisor's activities.

## Working Days

Days on which the business offices of the Institution are officially open.

## Date of the Decision

Date the decision is communicated to the employee if communicated in person; or, three (3) days after mailing of the decision, if communicated by mail.

## Responsibility for Implementation and Compliance

The President of the University has ultimate responsibility for the implementation of these procedures and is the final decision maker in the resolution of complaints. The final decision making authority in any action involving a grievance, pursuant to TBR Policy 1:02:11:00, resides with the Chancellor of the Tennessee Board of Regents.

## General Rules of Implementation

The primary responsibility for resolving grievable matters rests with the employee/faculty member and his or her immediate supervisor. Initial steps should always be taken to resolve disputes at this level before proceeding to the following rules of implementation.

When a concern or issue has not been resolved informally, and the concern might be foreseen to result in a formal complaint or grievance, the immediate supervisor will refer the faculty member to an appropriate procedural consultant or consultants for consultation and guidance by giving the faculty member a referral card developed and provided by Faculty Senate.

# East Tennessee State University

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Employees using these procedures shall be entitled to do so without fear of retaliation, interference, coercion or discrimination.

A grievance which is the subject of an action filed with an external body shall not be processed through the University's grievance procedures. The term external body includes a court or federal or state administrative body such as the Equal Employment Opportunity, Office of Civil Rights, or Tennessee Human Rights Commission.

A grievance/complaint must be presented to the employee's immediate supervisor within ten (10) working days after the occurrence of the incident. Any claim not presented within the time frame provided shall be deemed to have been waived. For repetitive or ongoing incidents or circumstances, the grievance/complaint must be filed within ten (10) working days of the last occurrence of such incident or circumstance or of the discovery by the employee of the occurrence. This policy presumes that all employees or faculty members will use good faith and diligence in the discovery of grievable matters.

The grievant/complainant is entitled to be accompanied by an advisor at each step of the procedure; however, the advisor may not act as an advocate on behalf of the individual.

Employees shall be given the opportunity to pursue grievances/ complaints during their assigned work time.

The President may grant reasonable extensions of the applicable time limits at each stage of the procedure upon the timely showing of good cause. The request for an extension must be in writing. The approval or denial of the request shall also be in writing.

Supervisors to whom a grievance is raised and the Grievance Committee may consult the Director of Human Resources for advice on resolving grievances (except for grievances involving an action taken against the grievant by the Director of Human Resources). Copies of all written and associated documentation will be filed in the Office of Human Resources.

There shall be a one-semester time limit placed on all grievable matters. In essence, no grievance may be heard unless the grievable incidence(s) occurred within the semester immediately preceding the current semester or within the current semester.

## Grievance/Complaint Process

### Steps for Filing a Grievance Only

#### Discussion with Immediate Supervisor

A grievance must be brought to the attention of the employee's immediate supervisor within twenty (20) working days after the employee becomes aware of the problem. The employee should state the basis for the grievance and the corrective action desired in temperate and reasonable terms. The employee and the supervisor shall discuss the grievance in an attempt to resolve the matter in a mutually satisfactory manner. The supervisor shall conduct any necessary or appropriate investigation and inform the employee of a decision

# East Tennessee State University

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based upon full and fair consideration of all the facts within five (5) working days of the initial discussion. The immediate supervisor will assure that the decision is clearly communicated to, and understood by, the employee. If the employee is satisfied with the decision, no additional action is required. If the employee is not satisfied, the employee may proceed to Step 2 and will be referred to an appropriate procedural consultant or consultants for consultation and guidance by giving the faculty member a referral card developed and provided by the Faculty Senate. If no decision is communicated to the employee within five (5) working days of the initial discussion, the employee may proceed directly to Step 2.

## Discussion with Higher-Level Supervisor

If the employee and the immediate supervisor are not able to reach a mutually satisfactory resolution to the grievance, the employee may proceed to discuss the matter with the next-higher-level supervisor within ten (10) working days of the date of the decision of the immediate supervisor. Failure to comply with Step 2 in a timely manner shall be deemed a waiver by the employee for this particular occurrence and the grievance may not be raised again. The next-higher-level supervisor and the employee shall then follow the procedures required in Step 1.

If the employee is satisfied with the decision reached by the next-higher level supervisor, no additional action is required. If the employee is not satisfied, the employee may proceed to Step 3; if the employee has not already seen a procedural consultant, she or he will be referred to an appropriate procedural consultant or consultants for consultation and guidance by giving the faculty member a referral card developed and provided by the Faculty Senate.

If no decision is communicated to the employee within five (5) working days of the initial discussion between the employee and the next-higher-level supervisor, the employee may proceed directly to Step 3.

## Written Grievance Statement

If the employee and the next-higher-level supervisor are not able to reach a mutually satisfactory resolution to the grievance the employee may file a written grievance with his/her vice president on the designated form, available online at:

<http://www.etsu.edu/humanres/forms.aspx>

This form shall allow the employee to clearly indicate whether she or he is filing a formal grievance or complaint – or the university may choose to make available two different forms, one for a grievance and one for a complaint: It is the faculty member's responsibility to make her or his own case for the problem being addressed appropriately as either a grievance or a complaint as delineated in this policy. The grievance must be filed within ten (10) working days of the date of the decision of the higher-level supervisor. Failure to comply with Step 3 in a timely manner shall be deemed a waiver by the grievant for this particular occurrence and the grievance may not be raised again.

A copy of the grievance, along with any supporting documentation, shall be given to the immediate supervisor and the next-higher-level supervisor. The vice president may request

# East Tennessee State University

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either or both supervisors to respond in writing to the grievance statement. If the employee is satisfied with the decision reached by the vice president no additional action is required.

If the employee is not satisfied the employee may proceed to Step 4. If no decision is communicated to the employee within fifteen (15) working days after filing the grievance with the vice president, the employee may proceed directly to Step 4.

## Written Grievance Statement to be Received by the President and Grievance Committee

If the employee and the vice president are unable to reach a mutually satisfactory resolution the employee may file with the President of the institution. Any grievant, who may otherwise be entitled to a hearing before the grievance committee, may waive such a hearing and accept the findings of the President. Any faculty member considering such a waiver shall first be referred to an appropriate procedural consultant or consultants for a consultation on the advisability of signing a waiver of this right by giving the faculty member a referral card developed and provided by the Faculty Senate. Any such waiver shall be in writing and signed by the grievant. The waiver should state the matter involved and should expressly state that the right of the grievant to a formal hearing by the Grievance Committee is knowingly and voluntarily waived.

If the grievant waives his/her rights to a hearing, the President shall within twenty (20) days after receipt of the grievant's file, advise the grievant of the decision. The President's decision will be final and shall be directed to the employee. If no decision is communicated to the employee within twenty (20) working days of filing the grievance the employee may file directly with the Chancellor of the Tennessee Board of Regents.

If the grievant does not waive the right to a hearing, the President shall, within five (5) days of receipt of the grievant's file, refer the grievance and all relevant documentation to the appropriate grievance committee. Within twenty (20) days after receipt of the grievant's file the committee shall advise the President and the grievant of its decision.

The recommendation shall be based on a full and fair consideration of all the facts and circumstances. The report shall also contain a summary of the committee's investigation and findings.

## Appeal of Grievance to the Chancellor, Tennessee Board of Regents

In any case where the President makes a decision adverse to the grievant, the President shall advise the grievant of his/her right to appeal the decision to the Chancellor. The employee's appeal to the Chancellor must be filed within fifteen (15) working days of the date of notification of the President's decision.

## Steps for Filing a Complaint Only

The steps involved in the resolution of complaints follow the same procedures as those outlined for the resolution of grievances with the following exceptions:

1. Complaints do not include a right to a hearing or adversarial proceeding before the grievance committee; and,

# East Tennessee State University

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2. The President is the final decision maker involving complaints; that is, the complainant does not have the right to appeal to the Chancellor of the Tennessee Board of Regents.

## Maintenance of Records

Copies of all written grievances/complaints and accompanying responses and documentation will be maintained with the Office of Human Resources for at least three (3) years.

## Committee Membership and Selection

A Faculty Concerns and Grievances Committee shall serve as an advisory body to advise the Senate and, through the Senate, either the Vice President for Academic Affairs or the Vice President for Health Sciences on matters arising from either a concern or a grievance filed by a faculty member or members. The committee shall consist of one faculty senator from each college and school. An alternate may be asked, by the Senate president, to sit in place of a regular committee member in those cases in which the regular committee member is unable to serve or cannot be present for one or more scheduled meetings. A committee member who has a particular interest in the case outcome will excuse him or herself from the committee and be replaced by an alternate for that hearing.

The committee will be appointed by the Faculty Senate, as a committee of the Senate. The chair shall be elected by the committee members at their first meeting of each academic year.

## Faculty Senate Policy for Faculty Grievances

All formal complaints and grievances by faculty are now governed by the East Tennessee State University's Employee Grievance/Complaint Policy and Procedure (1.4). Any faculty member wishing to formally challenge an administrative decision should carefully follow the procedures outlined there and it is recommended that she or he consult with an appropriate procedural consultant or consultants with regard to policy, procedures, and rights.

However, faculty members occasionally want an opportunity to discuss their concerns with their peers and to obtain their peers' advice, without becoming mired in formal grievance procedures. East Tennessee State University provides two avenues for such discussions/consultations—either or both of which are available to all faculty members: The first is a consultation with a trained procedural consultant or consultants, and the second is through a formal consultation (specified and limited below) with selected members of the Faculty Senate Committee on Faculty Concerns and Grievances. Members of the Committee on Faculty Concerns and Grievances who provide formal consultation on a case will not sit on a formal grievance hearing of that case.

Therefore, we recommend that the Senate Committee on Concerns and Grievances will serve two functions in addition to those specified in the Senate By-Laws 1.5.1.3.

1. The Committee will discuss concerns filed by individual faculty members. A concern is defined as any matter that could be subject to a complaint or grievance as outlined

# East Tennessee State University

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under the University's Complaint and Grievance Policy. In addition, the committee will have the discretion to discuss any other matters it deems appropriate.

Prior to meeting with the committee, the faculty member will submit a brief statement of her/his concern. In discussing such matters, the Committee will not function as an adversarial hearing board. Rather the committee members will listen to the faculty member's/members' complaint and advise her/him as they see fit. They will advise the faculty member about the proper way to proceed. However, the committee's deliberations, since they are merely advisory, cannot become part of any formal grievance the faculty member chooses to file. Deliberations will be confidential, unless all parties agree otherwise. The committee will maintain no records.

2. If the faculty member chooses to file a formal grievance, the committee, in conjunction with the President of the Faculty Senate, will select a five-member committee who will formally hear the grievance in accordance with university policy. This committee will report its findings to the University President.

11/90

[Back to Top](#)

## Equal Opportunity for Employment

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP04.aspx>

09/15/79; 02/15/91; 08/15/96; 10/18/00; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

## Faculty Ranks and Promotion

Promotion in rank is recognition of past achievement of the individual being considered for promotion. In addition, the advancement in rank is recognition of future potential and a sign of confidence that the individual is capable of even greater accomplishments and of assuming greater responsibilities. The policy of the Tennessee Board of Regents is to make promotions strictly on consideration of merit tempered by university and fiscal considerations. The purpose of this policy is to help ensure that promotions are made objectively, equitably, impartially, and as a recognition of merit in line with the following policy guidelines.

## Principles of Promotion

The major responsibilities of the university are to provide the best possible education, to encourage scholarship, creative productivity, and research, and to furnish significant service to the citizens of the State of Tennessee. Fundamental to this responsibility is the recruitment, selection, recognition, and retention of quality faculty members. Providing incentives and rewards for superior performance is a means of assuring the continuing

# East Tennessee State University

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existence of a high quality faculty. Advancement in rank is a recognition of accomplishments and a sign of confidence that the individual is capable of greater achievements and of assuming greater responsibilities. The policy of East Tennessee State University is to grant advancement on the basis of merit. In accord with this policy, promotions are to be made equitably, impartially, and in keeping with the following guidelines.

Each academic rank represents specific qualifications, professional competencies, and a history of productivity together with the promise of continued growth. Promotion to higher rank is neither an unqualified right nor an automatic occurrence. Having completed a given period of service or performed routine duties (such as carrying a normal course load, advising students, research to the degree needed for teaching courses, participation in departmental programs and governance, and committee service) should be considered an affirmative factor in appraising a faculty member's qualifications for promotion, though they are insufficient in and of themselves to warrant promotion.

The excellence of the faculty of East Tennessee State University is maintained in part through an appraisal of each candidate for promotion by colleagues and by appropriate administrative officers. This appraisal process must begin at the departmental level with a statement of the objectives and aims of the department, the college or school of which it is an integral part, and the university as a whole. Faculty members may be recommended for promotion to a higher academic rank based upon their demonstrated qualifications for that rank as evaluated by their peers in the department concerned, the department chair, the promotion and tenure advisory committee of the school or college, the academic dean, the vice president and the president.

The appraisal of each candidate should incorporate a thorough review of achievements which are expected in teaching; research, scholarly or creative activity; and professional service. Chairs and deans shall keep a faculty member informed of their expectations for his/her performance, including requirements for promotion and tenure. Any dramatic alterations in these expectations should be made explicit. In most circumstances, this will be accomplished by the Faculty Activity System. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports and evaluations. The department chair should submit evaluations of these activities, accompanied by evidence obtained through an evaluation process designed to ensure that recommendations are predicated on substantive analysis.

The criteria according to which excellence is defined will vary from discipline to discipline. The standards established by each discipline should be carefully documented and considered by everyone involved in the evaluation of members of that discipline. Certain areas, such as the fine, performing and applied arts, may justifiably require different criteria than do other disciplines. In these, evidence of creative or other significant productivity may be presented. Achievements of this sort, however, should be of such quality and extent as to earn for the individual that same recognition in the discipline that significant research earns in areas of study in which research is an important factor.

Because of the importance and significance of the promotion deliberations, each faculty member must assume responsibility for insuring that pertinent information concerning



# East Tennessee State University

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teaching, research, scholarly or creative activity, and professional service is available to the chair and departmental committee. In addition to individual qualifications and performance, other special factors may also play a part in the recommendations eventually offered by the vice presidents. Consistent with the Tennessee Board of Regents' policy, the university administration must consider such matters as departmental rank distribution, potential for continued staff additions, prospective retirements and resignations from the department, enrollment patterns, and program changes or developments.

## Definitions

### Teaching

Teaching applies to any strategy in which information is imparted so that others may learn, and may include, but is not limited to, a variety of techniques including instruction, student advising and/or mentoring, development of course materials and courseware, and development of innovative approaches to instruction.

### Research/Scholarship/Creative Activities

Research applies to the studious inquiry, examination, or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge. Research/scholarship/creative activities may include, but are not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, creative activities (e.g., film-making, performances, or other artistic creations), and the development of innovative teaching approaches.

### Professional Service

Professional service applies to involvement within the community as defined by the university's role and mission, service to the university, and service within the bounds of the applicant's academic discipline and budgeted assignment.

### Terminal Degree

The TBR will use national discipline standards to determine which degrees are considered to be "terminal" within each discipline and will provide each university with a list that delineates these degrees. Each university may request blanket exceptions to these standards by classification based upon its mission and hiring practice. Each university may also petition the Board for "equivalent work experience credit" when a candidate has not obtained a terminal degree, but has a record of extraordinary achievement in a given field. The equivalent work experience credit may include relevant teaching experience or other experiences such as experience gained as an administrator, counselor, librarian, journeyman, or the like.

### Rank at Appointment

New faculty members will normally be employed, based upon their qualifications, at the rank of instructor, assistant professor, associate professor or professor.

# East Tennessee State University

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Except under unusual circumstances, individuals lacking the terminal degree, as defined by discipline, will not be hired in one of the professorial ranks. The terminal degree does not necessarily qualify one for a professorial rank nor does receipt of the terminal degree guarantee promotion to a higher rank. When time in rank is a factor for promotion, years spent in that rank in some other institution may be counted as specified in the letter or contract of appointment.

## Promotion Guidelines

The academic units of the university must develop written guidelines for promotion with specific criteria for evaluating the faculty in teaching, research and service. The departmental guidelines cannot be less rigorous than TBR or university guidelines. A department or college may weigh criteria to be considered in promotion recommendations and should establish appropriate standards within criteria for the distinctive discipline(s) and the level(s) of program(s) it embodies. If such weighted criteria and standards for promotion are to be applied to candidates, they should be carefully documented in approved unit mission statements and policies. Those documents become bona fide only when (1) they have been considered by faculty in those units, (2) they have gained approval by the university as official college or departmental mission statements and related policies that are consistent with university mission and policy, and (3) they have been communicated in publications or in other written form (including the Web) to faculty affected by them. Bona fide documents are maintained as public information in the offices of appropriate department chairs and deans, the Vice President for Academic Affairs or the Vice President for Health Affairs, and the Faculty Senate.

The guidelines for promotion described in the remainder of this section represent minimum requirements for promotion of faculty in tenure and tenure-track appointments to which customary expectations concerning teaching, research or creative activity, and professional service apply. Regarding non-tenurable but promotable clinical and research appointments, it is the responsibility of departments or colleges to develop suitable criteria to evaluate promotion of individuals holding such appointments. Bona fide criteria for promotion of individuals in non-tenurable appointments should be in place before a department or college attempts to fill such appointments for the first time.

Nominees for promotion will be judged on the basis of their performance in teaching, research, scholarly and/or creative activity, and professional service as evaluated by their peers and appropriate administrative officers. Evidence of performance is to be, to the extent possible, objective and documented. Performance in these areas will be given different weights depending upon the assigned duties and responsibilities of the individual concerned and the uniqueness of the unit involved.

Requirements for minimum service in one rank are not absolute. Exceptions may be made on the basis of exceptional academic and/or other achievements of a particularly valuable nature.

All candidates for promotion to senior ranks (associate professor and professor) must meet approved departmental and/or college/school criteria for achievement in each of the three

# East Tennessee State University

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areas of teaching; research, scholarly and creative activities; and service. Promotion in rank carries the implication of attainment of criteria as well as increasing levels of achievement in the discipline. Candidates for promotion to associate professor or professor are expected to demonstrate both a higher quality and a greater cumulative quantity of achievement in each of the three areas than are candidates for promotion to lower rank.

## Teaching

Since the first responsibility of the university is the education of its students, excellence in teaching should be continually encouraged and rewarded. No nomination for promotion should be made without accompanying evidence of the nominee's effectiveness as a teacher, where teaching is a part of the individual's work assignment. Inevitably, the rating of teaching ability is to some degree a value judgment. It is incumbent upon each department to develop a rating procedure whereby all factual information relative to a candidate's work as a teacher is available at the time s/he is considered for promotion. Evaluation of instruction shall be based on the following criteria with each unit assigning varying degrees of weight to each criterion. Deficiencies in some criteria may be counterbalanced by superiority in others.

Command of subject matter, and a record that indicates that the individual has remained current in his/her field of specialization.

Ability to organize and present subject matter in a logical and meaningful way.

Ability to motivate students.

Curriculum and/or program development; development of instructional techniques or teaching methods, including development of on-line teaching methods and courses.

Mentoring of undergraduate, graduate or post-graduate students, including:

1. efforts to promote student research, scholarship, and creative activities;
2. successful direction of theses, dissertations or independent research projects; and
3. effective leadership of research projects intended in part to train students in research techniques.

Textbooks or other published works in the teaching area, including documentation of teaching methodology that may be shared with colleagues. Such publications would also be considered as contributions to research, scholarly or creative activities.

Excellence in the advisement of students, either formally or informally.

Honors or other recognition for contributions to teaching.

Evidence of teaching effectiveness should be provided by the candidate and affirmed by peer review at the departmental or academic program unit level and by evaluation by the department or unit chairperson and the appropriate dean. Where appropriate,

# East Tennessee State University

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evidence of teaching effectiveness may include information drawn from student evaluations of instruction.

Considerations other than hours of classroom contact should include such matters as the total number of preparations per semester, the number of courses per academic year, the level of difficulty of the courses, the number of students assigned to the classes, and time and location of courses.

## Research, Scholarly, and Creative Activities

Research, scholarly, and creative activities are important areas of faculty involvement in the university. Clear evidence of the quality of work should accompany each application. Evidence supplied by the candidate might indicate performance beyond routine expectations in the following areas. Academic units will assign varying degrees of weight to each criterion. Deficiencies in some criteria should be counterbalanced by superiority in others.

**Publications:** textbooks, books or chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, abstracts, book reviews, and other related items. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are more significant than those that are not subjected to such rigorous examination. It should be emphasized that quality is more important than quantity.

**Papers presented:** those papers presented at local, state, regional, national, and international professional meetings. The significance of content and selection processes should be considered in reviewing such presentations.

**Performances or exhibitions** that are invited or juried by internationally, nationally, or regionally recognized members or groups within the discipline.

**Research in progress:** Verification of stages of development is mandatory.

Other items such as funded or unfunded research proposals, computer software development, or audio-visual media may also be considered.

Academic departments and/or colleges may use written reviews and evaluations by qualified external peers to evaluate a candidate's research, scholarly and/or creative activity. The chair and the candidate must agree on the reviewer(s) selected from departments or institutions other than the candidate's own.

## Professional Service

Evidence of the candidate's contributions in the area of professional service should be offered by the candidate. Documentation of all service activities is required. Professional service encompasses a faculty member's activities in one of three areas: university service, service to the discipline, and outreach or public service.

# East Tennessee State University

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Service to the university (and to affiliated institutions) refers to work other than teaching and scholarship done at the department, college, or university level. A certain amount of such service is expected of every faculty member; indeed, universities could hardly function without conscientious faculty who perform committee work and other administrative responsibilities. University service includes, but is not limited to, serving on departmental committees and participating in college and university committees. Some faculty members may accept more extensive citizenship functions, such as a leadership role in the Faculty Senate, membership on a specially appointed task force, service as advisor to a university-wide student organization, and membership on a university search committee.

Service to one's discipline or to the teaching profession generally includes participation in the activities of state, regional or national professional organizations related to the candidate's discipline; association leadership; journal editorships; article and grant proposal review; guest lecturing on other campuses; and other appropriate activities. Significant professional service requires more than organizational membership and attendance. Examples of significant service include that done by an officer of a professional organization or a member of the editorial staff of a journal.

The outreach or public service function is the university's outreach to the community and society at large, with major emphasis on the application of knowledge for the solution of problems with which society is confronted. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the university. A vital component of the university's mission, public service must be performed at the same high levels of quality that characterize the teaching and research programs.

The academic unit to which the candidate belongs should evaluate the candidate's service using the following criteria, to each of which the unit may assign varying degrees of weight:

A description of the candidate's position that permits evaluation of performance in relation to assigned and budgeted duties. This should include a statement of the mission or purpose of the position and the objective(s) of the nominee's service unit, as well as the specific assigned tasks and responsibilities of the nominee.

An evaluation of the effectiveness with which the service is performed, as judged by its relation to the general welfare of the university; its effect on the development of students and other faculty members; and/or its impact on other individuals, groups, or organizations served. Documentation of the effectiveness of service should include evidence of the success of the service in improving communities, programs, operating agencies, production processes, or management practices. It should also include indications of client satisfaction with the service provided by the nominee, and of the magnitude and complexity of his/her work (as opposed to perfunctory activity that does not lead to useful results).

An appraisal of the candidate's 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, the public service professional should take advantage of every opportunity to project his/her accomplishments among peers on a local, regional, and national basis. Service/outreach work is sometimes not publishable. The

# East Tennessee State University

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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 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.

## Assistant Professor

Those faculty members promoted to or hired at the rank of Assistant Professor should meet the following criteria:

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

Evidence from academic records, recommendations, interviews, or other sources that the individual is adequately trained in the discipline and is otherwise competent to carry out the duties and responsibilities of a member of a university faculty.

Evidence of good character, mature attitude, and professional integrity.

Evidence of effective teaching if the individual has taught at the college level. If the individual has not taught at the college level, evidence should be obtained that satisfactory teaching performance can reasonably be expected.

Promise of productive creative and scholarly research and professional service.

## Associate Professor

Those faculty members promoted to or hired at the rank of Associate Professor should provide documented evidence of (a) high quality professional productivity which may lead to national recognition in the academic discipline or (b) high quality professional productivity that is consonant with the goals of the university and of the academic unit to which the faculty member belongs. Specifically, faculty promoted to or hired at the rank of Associate Professor should meet the following criteria:

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

A faculty member may apply for promotion to associate professor after having completed five full years in the rank of assistant professor.

Exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval).

# East Tennessee State University

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Documented evidence of teaching effectiveness.

Documented evidence of professional service activities of a significant nature.

Documented evidence, as accepted within the discipline, of scholarly productivity in research or creative endeavors.

Evidence of good character, mature attitude, and professional integrity.

## Professor

The highest rank to which one may be promoted is that of Professor. Documented evidence of teaching excellence and superior contribution to student development, superior scholarly or creative activity, and superior professional service will contribute to the positive record of the candidate for advancement to the rank of professor. Since there is no higher rank, promotion to professor is taken with great care and requires a level of achievement beyond that required for associate professor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the university and the larger academic community.

Those faculty members promoted to or hired at the rank of professor should provide documented evidence of (a) sustained high quality professional productivity and national recognition in the academic discipline or (b) sustained high quality professional productivity in the academic discipline that is consonant with the goals of the university and of the academic unit to which the faculty member belongs. Specifically, faculty members promoted to or hired at the rank of professor should meet the following criteria:

Earned doctorate or terminal degree from a regionally accredited institution or comparably recognized non-U.S. institution in the instructional discipline or related area.

A faculty member may apply for promotion to professor after having completed five full years in the rank of associate professor, provided that exceptions to the years-in-rank requirement may be made by the president under special circumstances. Only one year of a leave of absence for scholarly recognition, such as significant scholarship awards, will be credited toward satisfying the experience requirement for promotion. (Note: The years-in-rank requirement is a local ETSU requirement; exceptions to this requirement do not require TBR approval.)

Documented evidence of teaching effectiveness.

Successful research, scholarly, and/or creative activity, as evidenced by such accomplishments as published scholarly books, articles in professional journals in one's discipline, presentation of papers before regional, national or international professional groups, receipt of major research grants, and/or a record of significant exhibitions or performances.

# East Tennessee State University

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Professional service of an outstanding nature, usually of such kind as to make the individual regionally or nationally known in the discipline, or, alternatively, as a leading figure in service efforts promoted by the institution.

Evidence of good character, mature attitude, and professional integrity, and a high degree of academic maturity and responsibility.

## Exceptions to Minimum Rank Qualifications

The minimum rank qualifications should be met in every recommendation regarding appointment to academic rank and for promotion in academic rank. Exceptions to local ETSU requirements (e.g., years-in-rank) require the approval of the president of the university. Exceptions to TBR minimum rank qualifications can be recommended to the Chancellor by the president; however, such exceptions are not favored and should be granted only upon a showing of a candidate's exceptional merit and/or other extraordinary circumstances, such as an objective need to deviate from these minimum qualifications in filling positions and/or retaining otherwise qualified faculty within certain academic disciplines.

Petitions for exceptions to promotional criteria may include consideration of the appropriateness of the degree or extraordinary qualities that the candidate may possess. The equivalent work experience credit may include relevant teaching experience or other experiences such as experience gained as an administrator, counselor, librarian, journeyman, or the like. When evaluating college-level instruction, research/scholarship/creative activities, and service, the university may make its own determination whether or not the number of years of experience from another university is to be accepted in total or discounted in some manner.

## Initiation and Processing of Promotion Recommendations

The formulation of recommendations concerning the promotion of a faculty member is a cumulative process occurring at three levels: departmental/ divisional, collegial, and executive or presidential. The faculty member eligible for consideration also has a significant role by assuming responsibility for timely submission of pertinent materials to the department chair for review at each level.

The director of personnel, by May 1st of each year, shall provide department chairs, deans, the appropriate vice president, and the president with lists of faculty members eligible for promotion through length of service. The action by the director of personnel does not relieve the department chairs of the responsibility of determining eligibility for promotion.

Department chairs, during the succeeding 15 days, will verify the lists through departmental and other administrative offices.

By May 15 each faculty member eligible for promotion shall be so notified in writing by the department chair. A department chair may initiate a promotion recommendation at any time; but unless there is special need for earlier processing, subsequent steps will be taken according to the established schedule.



# East Tennessee State University

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Applications will be completed by each faculty member applying for promotion. These applications must be submitted to the department chair no later than September 15. All promotion applications must be complete at that time. No additional documentation may be added after September 15 except at the request of the reviewers and with the permission of the candidate, or vice versa.

Promotion applications will be reviewed at each level of the process. It is expected that no level of review is bound by prior judgment(s). At each level in the process, the cumulative recommendations and statements of rationale recorded by committees and administrators will be forwarded as integral parts of each candidate's application. Each reviewing official or committee has the responsibility to remand an application to any preceding level if that level's review is found to be incomplete or otherwise unacceptable. Consistent with Board of Regents policy, all peer committees have qualified privilege of academic confidentiality against disclosure of individual promotion votes unless there is evidence that casts doubt upon the integrity of the peer committee.

In some cases, such as small departments or unique fields of study, outside expertise may also be necessary in the evaluation process. The chair and the candidate must agree on the individual(s) selected from departments or institutions other than the candidate's own. All senior faculty in the candidate's department (those holding academic rank equal to or higher than that sought by the candidate), not including the department chair, and such outside experts as are needed will meet to review the promotion application. The promotion applicant must be given at least one week's notice of such meetings and, consistent with procedures described in the ETSU Faculty Handbook, shall have the opportunity to bring to the participants' notice any material that may be helpful in determining the applicant's fitness for higher rank.

In addition to any other evidence that the candidate might choose to provide, the candidate must furnish student assessments of instruction for at least eight courses taught while holding current rank, wherever possible, or for every course evaluated while holding current rank, if this number is greater. These student assessments should be representative of a variety of classes that the candidate has taught. A University-approved assessment instrument will be used for this purpose. Student assessments must be included with all applications for promotion and will be considered as one important source of information concerning effective teaching, although not the only one.

A separate peer evaluation of teaching effectiveness must also take place. This evaluation must include a review of student evaluations with consideration given to the type of courses involved. In addition, peer reviewers should assess items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular teaching responsibilities. Peer reviewers should also observe the candidate's classroom teaching.

Departments and colleges may establish their own criteria and processes for peer evaluation of teaching and may include these in their official statements of expectations for promotion, subject to the provisions of the ETSU Faculty Handbook.

# East Tennessee State University

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It is the obligation of candidates for promotion, with assistance from their department chairs, to ensure that their teaching is evaluated by peers as described in the ETSU Faculty Handbook and to present in the promotion application documentation of the findings of peer evaluations.

Proposed changes in the process for student assessments of instruction will be submitted to the ETSU Student Government Association for consideration and reaction. The SGA will review the uses of student assessments of instruction on a regular basis and will bring its questions, concerns and suggestions to the Faculty Senate and to the Academic Council.

Complete and accurate documentation of all research, scholarly and creative activities, including complete bibliographic listings of publications, status of journals (refereed and non-refereed), role in jointly authored articles and papers, and complete descriptions of professional service activities should be included in each application to provide evidence of and support for these activities. Copies of published items and other reported research and creative activities must be available for examination by reviewers.

The departmental review by the committee of senior faculty will be completed using appropriate criteria, as established by the department and consistent with university criteria, in reaching its decision.

After formal discussion, the committee of senior faculty within the department will vote to recommend, or not to recommend, each candidate within the department. A written, composite statement explaining the recommendation shall be signed (by means that may include electronic signatures) by each reviewing faculty member and forwarded to the department chair, with a copy to the candidate. Included in that statement will be an explicit evaluation in each of the areas of teaching; research, creative, and scholarly activity; and professional service. Dissenters may include their views in the committee report.

The department chair, by October 15, will forward to the school or college dean, and to the candidate his/her own decision to recommend or not recommend the candidate for promotion. Included in that recommendation will be a written rationale explaining the recommendation, with an explicit evaluation in each of the areas of teaching; research, creative, and scholarly activities; and professional service.

The chair will inform the dean of the faculty members' vote. Should the chair elect to act contrary to the vote of the senior faculty, the dean or other appropriate administrative official should meet with the senior faculty of the department in question to discuss the matter. The dean or other appropriate official should also meet with the chair of the department.

All recommendations reached at the departmental level will be forwarded to the dean who will forward them to that college or school's promotion and tenure committee for its review.

Prior to or during the fall semester of each year, the dean of each college or school will implement procedures to establish a promotion and tenure committee. This committee shall take its membership from faculty at professorial ranks. The dean should ensure adequate representation from the tenured faculty. All members should have at least 3 years of service

# East Tennessee State University

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at ETSU. Collectively the membership should represent the various disciplines of the college or school with equal numbers appointed by the dean and elected by the faculty. At least two-thirds of the members of the committee should hold the rank of associate professor or professor. When there are not sufficient numbers of faculty within a college holding the rank of associate professor or professor to serve on the committee, the dean will request participation of faculty in other colleges. Department chairs may not serve on such committees. No person who is an applicant for promotion in a given year may be an elected or appointed member of a College/School Promotion/Tenure Committee during that year. A person who may have been elected to serve a two or three-year term, should s/he apply for promotion during that term, shall excuse her/himself from the College/School Committee in that year. In the event a replacement is needed, the College/School will obtain a replacement on the same basis as the individual was appointed. The size of the committee should be from 6 to 14 members who shall serve staggered 2- or 3-year terms. The school or college faculty shall decide whether the committee chair shall be elected from among the members of the committee or appointed by the dean. The committee shall function in the role of advisor to the dean from October 15 until December 15 of each year. More specifically, this committee will perform the functions of review as follows:

1. Receive and review promotion and tenure recommendations of the chairs and departmental committees for transmittal to the dean. In formulating its recommendations for promotion, the committee should consider the broad perspective of the philosophy and objectives of the school or college and any bona fide weighting of criteria and standards reflecting the expectations of the applicant's academic department and/or college.
2. Review all applications to assure that criteria for promotion and tenure are being correctly and uniformly applied to all members of the school or college.
3. Review the completeness of the information presented and question any omission in criteria or variations in procedure. Where discrepancies or misapplication of criteria are noted, the committee will attempt to correct the errors through direct consultation with those involved.
4. Only members of the college/school committee holding academic rank equal to or higher than that sought by a candidate may vote on that candidate's promotion.
5. Members of the college/school committee from a candidate's home department shall not participate in the college/school committee's discussion of the candidate or in its votes on that candidate's tenure and/or promotion.

The school/college review committee will, by December 15, forward to the dean its recommendations and a written, composite statement for each faculty member being reviewed. The use of secret or open balloting shall be decided by the college, school, or division committee. These written statements will include an explicit evaluation in each of the areas of teaching; research, scholarly and creative activity; and professional service, and will be signed (by means that may include electronic signatures) by each committee member. Dissenters may include their views in the committee report. A copy of the committee recommendation will be forwarded to the candidate.

# East Tennessee State University

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The dean's recommendations, together with all written documentation, will be forwarded to the appropriate vice president by February 1. This report must also include an explicit evaluation of each candidate's record in the areas of teaching; research, scholarly, and creative activity; and professional service.

The dean, at the time the candidate's application is forwarded to the vice president, will also notify the candidate and the department chair of his/her decision to recommend or not to recommend. The decision will be supported in writing. A copy of this written support will be provided to the candidate and the department chair. In the event of a negative recommendation, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

The vice president will hold a meeting with the dean concerned prior to a final recommendation. The vice president will notify the candidate, dean, and department chair of his/her decision to recommend or not to recommend. The decision will be supported in writing. In the event of a negative recommendation, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

Upon reaching a decision regarding each application for promotion, the vice president will forward the application, together with all recommendations relevant to it, to the president by March 1.

All promotion applications initiated will be forwarded to the president regardless of the recommendation made by any intervening administrator or faculty committee, unless the candidate chooses to withdraw his/her application. Only the candidate has the right to withdraw an application that has been filed.

Final action, prior to consideration by the Board of Regents, on each promotion recommendation will be taken by the president. When a recommendation is approved by the president and subsequently by the chancellor and the Board of Regents, the president will notify the faculty member, by letter through the appropriate vice president's office, of the award of promotion. When a recommendation is disapproved by the president, s/he will, through the appropriate vice president's office, inform the department chair of the faculty member involved, in writing, stating reasons for disapproval, and the chair will so advise the faculty member within five days of said notification. Any appeal to the Board of Regents must be made in accordance with Board policies. Appropriate administrative officers will be advised by the president of the action taken on all promotion recommendations; whether approved or disapproved.

A list of faculty members who are recommended for promotion will be forwarded to the chancellor and to the Board of Regents.

Upon final action taken by the Board of Regents, the president will notify the candidate and recommendation forms will be filed in the Personnel Office.

## Appeal Procedure

# East Tennessee State University

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An appellate procedure stands as a basic and important part of the overall promotion granting process. The responsibility of evoking the appeal procedure must be assumed by the candidate.

Two appeal opportunities follow the dean's action and precede that of the president. The candidate may opt to utilize either one, but not both, of these opportunities. Should the dean opt not to recommend in favor of promotion, the candidate may request a pre-appeal conference with the vice president. Should the vice president choose not to recommend for promotion and the candidate has not appealed following the dean's decision, the candidate may request a pre-appeal conference with the president. In either event the pre-appeal conference must be requested within seven days of receiving written notice of the negative recommendation.

The University Promotion and Tenure Appeals Committee (PTAC) will be composed of one faculty senator elected by the Senate who will chair the committee, and one member from each college or school who was not a member of that body's promotion and tenure committee when the candidate's application was evaluated, as selected by the faculty senators from that college or school. The college/school senators will also designate two alternates from their college/school who would be available to serve if the primary designee is ineligible or unavailable to serve. If the college/school senators fail to designate a committee member and alternates, or if those designated are ineligible or unavailable to serve, then the Faculty Senate President and the PTAC Chair will jointly select a faculty member from that college/school to serve. Terms of appointment shall be for two-year staggered terms with the exception of the committee chair who will serve only a one year term. All members of the PTAC will be tenured and will hold professorial rank. Deans, department chairs, and other administrative personnel directly involved in college or school-level promotion decisions (such as associate or assistant deans) are excluded from membership on this committee. No member of the PTAC shall have participated in the review of the candidate's application at any previous level.

After the pre-appeals conference, if the candidate has decided to proceed with the appeal, s/he must file an appeal in writing with the university Promotion and Tenure Appeals Committee within one week or forfeit the right to appeal at that level. When the appeal goes forward, the vice president will submit the candidate's complete promotion application to the chair of the university Promotion and Tenure Appeals Committee. The committee shall review information relevant to each appeal in accordance with procedures developed by the committee for all such appeals and incorporate its recommendations as a part of each candidate's application to be returned to the vice president or the president for consideration. The committee will also send a copy of its recommendation(s) to the candidate, the department chair, the dean and the appropriate vice president. In the event the university Promotion and Tenure Appeals Committee makes a recommendation regarding tenure and/or promotion, the president or vice president will inform the chair of the committee in writing of the final decision and its rationale.

The final appeal opportunity is after the president's decision is made known. The appeal is directed to the Board of Regents in accordance with TBR policy 1:02:11:00 [http://www.tbr.edu/policies/default.aspx?id=4834\\_blank](http://www.tbr.edu/policies/default.aspx?id=4834_blank).

# East Tennessee State University

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01/29/88; 07/91; 05/92; 12/888; TBR 4/2/04; 02/12/09; 10/13/11

[Back to Top](#)

## Financial Exigency Policy

### Definition of Financial Exigency

Financial Exigency is the formal declaration by the Tennessee Board of Regents that East Tennessee State University faces an imminent financial crisis, that there is a current or projected absence of sufficient funds (appropriated or non-appropriated) for the campus as a whole to maintain current programs and activities at a level sufficient to fulfill its educational goals and priorities, and that the budget can only be balanced by extraordinary means which include the termination of existing and continuing academic and non-academic appointments.

### Actions Required Prior to the Declaration of Financial Exigency

Financial exigency results from an imminent fiscal crisis characterizing the entire institution; thus, the condition of financial exigency may not be declared at a level below that of the institution (i.e., it may not be declared at the level of an academic or administrative unit such as a school, department, or similar account-level unit). In light of the gravity of consequences resulting from a declaration of financial exigency, the process leading to an institutional recommendation to the Tennessee Board of Regents that financial exigency be declared must be cautious, fair, well informed, and as responsive as possible to the interests of various segments of the institution.

The responsibility for initiating the proposal for declaration of financial exigency resides with the President of East Tennessee State University. Since recommending the declaration of financial exigency is an extreme measure, that responsibility requires the President to provide all appropriate assurances and documentation that available and reasonable procedures to reduce the expenditure levels of the institution are exhausted, and that no efforts have been spared to enhance revenues.

Prior to proposing the declaration of financial exigency, the President shall share with the entire faculty or its representative body and with representatives of other campus personnel constituencies all pertinent analysis and documentation that, in his or her opinion, demonstrate an imminent fiscal crisis for the entire institution that would warrant a declaration of financial exigency. That analysis and documentation should be shared promptly and with sufficient notice to all personnel constituencies including the Faculty and Staff Senates; and opportunities should be provided for discussions with and advice from those bodies, answers to appropriate questions, and general deliberations befitting an educational institution.

After discussion and review of any advice from various personnel constituencies, the President shall, if he/she remains convinced that conditions warrant a recommendation for

# East Tennessee State University

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declaration of financial exigency, present the recommendation with full documentation to the Chancellor of the Tennessee Board of Regents.

If his/her review supports the conclusion that conditions warrant a declaration of financial exigency, the Chancellor shall so recommend to the Board of Regents. In addition to providing the Board of Regents with a recommendation to declare financial exigency, the Chancellor in consultation with the campus president shall also submit a statement of findings and conclusions including at least the following:

1. A description of the current fiscal condition of the institution, including the projected amount of deficit that would result from failure to declare financial exigency.
2. A projection of the fiscal condition that would result, in the opinion of the President and the Chancellor, from general types of action anticipated to be taken subsequent to a declaration of financial exigency.
3. An analysis of the reason for the current imminent fiscal crisis characterizing the entire institution, specifying with appropriate documentation those identifiable factors contributing to the crisis.
4. A statement of assurance, with supporting evidence, that available and reasonable procedures to reduce expenditure levels of the institution are exhausted, that further retrenchment within existing policies is not compatible with the objective of assuring maximum protection for the academic programs of the institution and the educational needs of students, and that efforts to enhance revenues have been carried out in a responsible manner.
5. A transmittal of any advice, alternatives, or information in writing by any institutional personnel constituencies including the Faculty and Staff Senates.

## Actions Required Subsequent to the Declaration of Financial Exigency

Should the Board of Regents formally declare a state of financial exigency at East Tennessee State University, the President shall in a reasonable time and with appropriate documentation initiate a proposed plan to allocate necessary funding reductions among the primary budgetary sub-units (e.g., academic affairs, student affairs, fiscal affairs, etc.) within the institution. The following procedures shall be followed:

The President shall convene an ad hoc University Council, which shall serve as the institution's Financial Exigency Committee. The membership of this council includes: the President of the University, the President of the Faculty Senate, the President of the Staff Senate, the President and one elected member of the Student Government Association, the President and one elected member of the Graduate and Professional Student Association, three elected members of the staff, one full-time, tenured faculty members elected by faculty from each existing college, the School of Continuing Studies and Academic Outreach, and the University Libraries one dean elected by the deans (not to include the Deans of the College of Medicine and College of Pharmacy), and the vice presidents of Academic Affairs, Health Affairs, Student Affairs, Finance and Administration, and University Advancement

# East Tennessee State University

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The President's proposed plan for allocating necessary funding reductions to primary budgetary sub-units shall be reviewed by the Financial Exigency Committee. The Committee shall review the amounts of proposed reductions, evaluate proposed reductions in the light of institutional priorities, and consider administrative organization and academic priorities.

It shall also consider the magnitude of proposed reductions in each primary budgetary sub-unit in the light of factors prescribed by applicable state or federal laws regarding fair employment practices.

The Committee shall submit in writing within thirty days to the President its response to the President's plan, which shall include either an endorsement or a recommendation of alternatives.

The President shall consider any alternatives recommended by the Committee and, within thirty days, shall indicate to the Committee a final decision relative to the internal allocation of necessary funding reductions. This financial plan should be communicated broadly to all personnel constituencies including the Faculty and Staff Senates.

Heads of primary budgetary sub-units, with broad and clearly defined faculty and staff consultation, shall recommend to the President plans for effecting their designated budget reductions. Those recommendations from heads of primary budgetary sub-units shall include proposed reductions in programs or personnel, shall achieve the designated reductions, and shall respond to any inquiries the President or the Financial Exigency Committee may direct.

As a primary component of his or her review of plans submitted by heads of primary budgetary sub-units, the President shall — prior to accepting them — submit the plans for review by the Financial Exigency Committee.

The Committee shall review plans submitted by heads of primary budgetary sub-units with consideration for the following general principles:

Performance evaluations are an inherent part of promotion and tenure decisions. Therefore, performance is a determinant of the tenure, rank and longevity factors listed above. If equality of all the above factors exists, then a special performance evaluation covering the academic careers of the faculty members involved shall be the final deciding factor.

The Financial Exigency Committee shall submit in writing to the President its response to the plans for recommended reductions submitted by heads of primary budgetary sub-units. That response shall include either an endorsement or a recommendation of alternatives.

After appropriate review of response by the Financial Exigency Committee, the President shall indicate acceptance, rejection, or amendments to reduction plans submitted by heads of primary budgetary sub-units. The President shall communicate his or her composite plan for reducing expenditures to the entire campus community. The President shall submit for approval by the Chancellor the composite plan for effecting budgetary reductions as required by the fiscal condition of the institution. That transmittal must include the written response by the Financial Exigency Committee to both (1) the President's plan for allocating necessary funding reductions to primary budgetary sub-units, and (2) plans for primary budgetary sub-units for effecting their designated budget reductions. If the Chancellor approves the plan



# East Tennessee State University

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for implementation, he/she shall submit it as information, together with any analysis he/she may deem appropriate, at the next meeting of the Tennessee Board of Regents.

## Procedures for Termination of Personnel Under Conditions of Financial Exigency

Following declaration by the Tennessee Board of Regents that a condition of financial exigency exists at East Tennessee State University, the President of the University — having complied with those actions required subsequent to the declaration of financial exigency — is authorized to carry out those actions, including reduction-in-force, which are included in the plan approved by the Chancellor. Reduction-in-force under this policy may include any personnel classification, including tenured faculty members or probationary faculty members prior to the end of their terms of appointment.

The procedures for termination described in this policy are in force only during a period in which the Tennessee Board of Regents has declared that East Tennessee State University is in a condition of financial exigency. An individual selected for termination shall receive prompt written notification from the President. That notification shall include the following:

1. a statement of the basis on which the individual was selected for termination;
2. an indication of the data or reasons supporting the choice if it is not a clearly defined factor such as rank or tenure status;
3. a statement of the date on which the termination is to become effective;
4. a copy of the declaration of financial exigency adopted by the Tennessee Board of Regents; and e. such other information as the President may deem appropriate.

An individual who receives notice of termination may appeal the decision under the conditions indicated in this section.

1. Faculty who receive notice of termination shall appeal to a Faculty Hearing Committee, which shall consist of nine members of the faculty and administration; five appointed by the Faculty Senate and four appointed by the President. Staff who receive notice of termination shall appeal to a Staff Hearing Committee which shall consist of nine members of the staff and administration; five appointed by the Staff Senate and four appointed by the President.
2. The Faculty or Staff Hearing Committee shall ensure prompt hearings that are thorough and fair but need not be judicial in nature. Strict rules of procedure (e.g., confrontation, cross-examination and formal rules of evidence) need not be required.

The following conditions constitute grounds for appeal by an individual of notice of termination.

1. Established institutional procedures or provisions of Board Policy 5:02:06:00 were not followed.

# East Tennessee State University

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2. Appropriate criteria were not applied, including but not limited to the allegation that his or her selection constituted a violation of the individual's academic freedom or that unfounded or arbitrary assumptions of fact were made.

The Hearing Committee shall not review the decision concerning the declaration of financial exigency of the President's plan for the amount of reduction to be assumed by each primary budgetary sub-unit.

A recommendation will be sent from the Faculty or Staff Hearing Committee to the President recommending that he/she uphold or reverse the action of termination, and the President will inform the appropriate hearing committee and the individual of a final decision.

The President's final decision may be appealed to the Chancellor and, after he/she has reached a decision, to the Tennessee Board of Regents.

## Continuing Rights of Persons Terminated Under Conditions of Financial Exigency

No vacancy caused by a termination under conditions of financial exigency shall be filled for a period of three years from the time of notice of termination without first offering the position to the person terminated (academic or non-academic), provided that the person terminated keeps the institution informed of his or her current mailing address. If the person previously terminated is offered the position and accepts, he/she will be returned to the same rank and tenure status.

## Termination of Declaration of Financial Exigency

The policies and procedures established by this policy shall continue in effect during the period of a state of financial exigency. If the financial health of the institution improves sufficiently, the President shall initiate a proposal for the termination of a declared state of financial exigency. At the termination of a declared state, that action by the Tennessee Board of Regents shall cause all policies, procedures, and bodies created in this policy for the sole purpose of making and implementing exigency decisions to cease to exist.

## Definitions

The following are general definitions of words and terms used in this policy that are not defined above. These words and terms are subject to further qualification and definition in the previous sections of this policy.

Reduction-in-force — the termination of employment of faculty or staff resulting from a budgetary crisis reflected in a declared state of financial exigency.

Entire institution — any one of the institutions of the Tennessee Board of Regents System for which funds are separately appropriated by the Tennessee General Assembly.

# East Tennessee State University

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Academic or administrative unit — an academic department or other similar account-level unit.

Representative faculty body — the major faculty organization devoted to governance (as implied in Board Policy 1:03:10:00).

Primary budgetary sub-unit — a major budgetary area of an institution (e.g., academic affairs, student affairs, fiscal affairs) usually headed by an administrator reporting directly to the President.

03/04/85; 06/28/11

[Back to Top](#)

## Hiring Procedures for Faculty

The Board empowers the president of the University to appoint individuals to faculty positions. Faculty members - instructors and those holding professorial ranks - are appointed for one-year periods of service. Full-time employees in one of these ranks may be granted continuing employment under the provisions of the tenure policies outlined subsequently and may be terminated only in accordance with these provisions.

The terms of every new appointment shall be stated in writing and be in the possession of both the prospective faculty member and the administration before the appointment is confirmed. Each time a faculty member is reappointed the terms of the reappointment including salary, contract year, department of assignment, and rank shall be stated in writing and be in his/her possession before the expiration of his/her previous assignment, to the extent possible. Since no agreement may become final until the Board of Regents has approved annual budgets, and since such approval may sometimes not be given until after termination of the academic year, it may not be possible to guarantee any upcoming year's salary before the expiration of a previous appointment. In such instances, a faculty member will be furnished in writing the terms of his/her reappointment that will become effective with the approval of the University's budget.

At the time of his/her employment, a new faculty member shall be informed of the current University, college, and department standards by which he/she can expect to be judged for eligibility for tenure. All faculty have access to the complete and updated ETSU Faculty Handbook, which is available online at: <http://www.etsu.edu/senate/facultyhandbook/default.aspx>.

Chairs and deans shall keep a faculty member informed of their expectations for her/his performance, including requirements for promotions and tenure. Any dramatic alterations in these expectations should be made explicit.

05/04/87; 07/91; 03/06/08

# East Tennessee State University

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Faculty hiring procedures are located in the ETSU Personnel Policies and Procedures Manual, PPP-35:

<http://www.etsu.edu/humanres/relations/PPP-35.aspx>

09/15/79; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

## Personnel Policies: Records, Leaves, Benefits, and Retirement

### Personnel Records

Pursuant to Tennessee Board of Regents Policy 5:01:00:10, all personnel records are filed in the Office of Human Resources. State Board of Regents and East Tennessee State University policies referred to above are available for review in the Office of Human Resources.

Refer to PPP-03:

[http://www.etsu.edu/humanres/relations/PPP03.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP03.aspx_blank)

and

TBR Policy 5:01:00:10:

[http://www.tbr.edu/policies/default.aspx?id=1410\\_blank](http://www.tbr.edu/policies/default.aspx?id=1410_blank)

REFERENCE TBR meetings: June 25, 1976; March 4, 1977; June 26, 1981; September 18, 1981; September 30, 1983; September 16, 1988; Effective 03/06, policy changes will appear on the webpage cited

Personnel records are public records subject to inspection and copying

Refer to Financial Procedures Manual, FP-12:

[http://www.etsu.edu/fa/fs/finpro/FP-12.aspx\\_blank](http://www.etsu.edu/fa/fs/finpro/FP-12.aspx_blank)

TBR 5:01:00:10; 9/88; Effective 03/06, policy changes will appear on the webpage cited

### Leaves

#### Adoptive Parents Leave

The previous policy on Adoptive Parents Leave has been replaced with the policy on Parental Leave. Refer to ETSU Personnel Policies and Procedures Manual, PPP-22:

<http://www.etsu.edu/humanres/relations/PPP22.aspx>

# East Tennessee State University

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Effective 03/06, policy changes will appear on the webpage cited

## Annual Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-17:

[http://www.etsu.edu/humanres/relations/PPP17.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP17.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

## Bereavement Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-18:

<http://www.etsu.edu/humanres/relations/PPP18.aspx>

Effective 03/06, policy changes will appear on the webpage cited

## Civil Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-19:

<http://www.etsu.edu/humanres/relations/PPP19.aspx>

Effective 03/06, policy changes will appear on the webpage cited

## Disaster Relief Service Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-56:

<http://www.etsu.edu/humanres/relations/PPP56.aspx>

Effective 03/06, policy changes will appear on the webpage cited

## Educational Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-52:

<http://www.etsu.edu/humanres/relations/PPP52.aspx>

Effective 03/06, policy changes will appear on the webpage cited

## Family and Medical Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-46:

<http://www.etsu.edu/humanres/relations/PPP46.aspx>

# East Tennessee State University

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Effective 03/06, policy changes will appear on the webpage cited

## Holidays

Refer to ETSU Personnel Policies and Procedures Manual, PPP-14:

<http://www.etsu.edu/humanres/relations/PPP14.aspx>

Source: TBR Meetings, October 12, 1972; September 30, 1983; December 14, 1984; December 13, 1985; September 18, 1992; Effective 10/13/11, policy changes will appear on the webpage cited

## Leave of Absence

Refer to ETSU Personnel Policies and Procedures Manual, PPP-21:

[http://www.etsu.edu/humanres/relations/PPP21.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP21.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

## Leave Transfer Between the State University and Community College System and State Agencies

Refer to ETSU Personnel Policies and Procedures Manual, PPP-25:

[http://www.etsu.edu/humanres/relations/PPP25.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP25.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

## Military Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-23:

<http://www.etsu.edu/humanres/relations/PPP23.aspx>

Effective 03/06, policy changes will appear on the webpage cited

## Parental Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-38:

[http://www.etsu.edu/humanres/relations/PPP38.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP38.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

## Sick Leave

# East Tennessee State University

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Refer to ETSU Personnel Policies and Procedures Manual, PPP-24:

<http://www.etsu.edu/humanres/relations/PPP24.aspx>

Effective 03/06, policy changes will appear on the webpage cited

Voting Leave

Refer to ETSU Personnel Policies and Procedures Manual, PPP-49:

[http://www.etsu.edu/humanres/relations/PPP-49.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP-49.aspx_blank)

Effective 03/06, policy changes will appear on the webpage cited

## Retirement

Refer to Personnel Policies and Procedures Manual, PPP-09

[http://www.etsu.edu/humanres/relations/PPP09.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP09.aspx_blank)

Effective 10/13/11, policy changes will appear on the webpage cited

## Benefits

Information on retirement benefits, health insurance, and other benefits is available online at the Office of Human Resources web site:

[http://www.etsu.edu/humanres/retire/default.aspx\\_blank](http://www.etsu.edu/humanres/retire/default.aspx_blank)

Effective 03/06, policy changes w The Tennessee Board of Regents has established a procedure to ensure that survivors of deceased employees are promptly informed regarding payment of earned wages and any other benefits to which they may be entitled. The procedure can be found at:

[http://www.tbr.edu/policies/default.aspx?id=1930\\_blank](http://www.tbr.edu/policies/default.aspx?id=1930_blank)

Effective 10/13/11, policy changes will appear on the webpage cited

Information on retirement benefits, health insurance, and other benefits is available online at the Office of Human Resources web site:

[http://www.etsu.edu/humanres/retire/default.aspx\\_blank](http://www.etsu.edu/humanres/retire/default.aspx_blank)

Effective 10/31/11, policy changes will appear on the webpage cited

[Back to Top](#)

# East Tennessee State University

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## Selection and Periodic Review of Academic Administrative Personnel

### Selection

#### Chairs

When a vacancy for the position of department chair exists, it may occur simultaneously with a job opening in the department or it may occur when a chair will no longer serve in that capacity but will remain in the department as a member of the faculty. In both cases, however, the college/school dean will notify the department concerning a vacancy or an impending vacancy.

#### 1. Vacancy Occurring Simultaneously with a Job Opening

The search committee will be composed of at least eight members. The dean of the school or college in which the department is located will ask the departmental faculty to elect five of their own tenured members from the department. If there are less than five tenured faculty in the department, the departmental faculty will choose the remaining members from full-time members of the department. If there are less than five full-time faculty of any designation within the department, then the additional requisite committee members will be chosen by the departmental faculty from full-time faculty from outside the department. The department has the option of selecting one undergraduate or graduate student majoring in the department as one of the five designees. The dean will appoint three additional members of the search committee. If the members chosen by the departmental faculty happen not to be sufficiently diverse in any way, the dean will use his/her appointments to ensure diversity of the search committee. The dean will name as chair of the search committee a committee member who is tenured and not a member of the department.

If the dean and department wish to establish a committee larger than the minimum of eight, this may be done as long as at least 60 percent of the voting members are chosen by the departmental faculty following the previously cited criteria. Individuals who wish to be considered for the vacancy will not serve on the committee.

- #### 2. The dean will meet with the search committee and full-time departmental faculty to discuss mutual expectations and needs regarding the department chair. The search committee and full-time departmental faculty will be involved in developing the job description and advertisement for the chair's position. The search committee will seek input from all the faculty in the department and from others as desired, screen candidates for the position, and submit to the dean the names of two or more candidates who they think are best fitted for further consideration. Interviews, if held, will include, at a minimum, meetings with the dean, the search committee, and full-time departmental faculty. If the dean agrees, the committee may submit the name of only one candidate. Candidates may or may not be ETSU faculty.

After the interview process and other due diligence, if the dean finds one or more nominations from the search committee acceptable, the dean will consult with the



# East Tennessee State University

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faculty concerning the preferred candidate(s) and determine that these are acceptable to the majority of the departmental faculty. One acceptable candidate will then be recommended by the dean to the appropriate vice president who, if in agreement, will recommend a nominee to the president. If the dean's nominee is disapproved, the dean may submit other nominations made by the committee. If none of the committee's nominees is acceptable to the dean, or if all of the dean's nominees are disapproved, the dean may request that the committee submit additional names for consideration (and for review and approval by the majority of the department) or may terminate the search and institute procedures for a new search.

When a nominee has been approved by the President, the department will be advised by the dean. Vacancies will be filled as expeditiously as is feasible. If for any reason a chair's position is left vacant pending the appointment of a new chair, the dean of the school/college will, after seeking the advice of the department and with the concurrence of administrative superiors, appoint an interim chair to serve during the interim.

### 3. Vacancy Occurring Without a Job Opening

Prior to the selection of a search committee the dean will obtain from the President, via the appropriate vice president, a statement as to whether or not an additional position can be created within the department. If a new position is created, the dean will appoint a committee according to the guidelines in section "Chairs" above. If a new position is not created, the dean will appoint a committee according to the same guidelines with the added restriction that the search must be confined to the present members of the faculty.

### Academic Dean

When a vacancy of a position of an academic dean exists, or when it is known that such a vacancy will exist within the next twelve months, the appropriate vice president will inform the faculty of the affected college or school. A search committee will be appointed or otherwise secured by the vice president, who will also appoint the committee chair. This committee will include faculty members and a student or students from the affected college or school, together with other individuals who must never constitute a majority of the committee.

Candidates may or may not be ETSU faculty. Individuals who wish to be considered for the vacancy will not serve on the committee. The search committee will seek the advice of the faculty in the affected college or school and others as desired; will screen candidates for the position; and will submit to the vice president the names of two or more candidates whom they think to be best fitted for the position. The vice president may accept or reject any or all names submitted. If the latter be the case, the committee may be instructed to furnish additional names until an acceptable list is submitted. If, however, one or more nominees is considered to be satisfactory the committee will be consulted regarding these preferences.

The preferred candidate will then be recommended to the President. If the nominee is disapproved, further nominations from the search committee may be submitted. In the event all nominations are disapproved the vice president may request that the committee submit additional names until a satisfactory nominee has been submitted.

There may be deviations from this policy where necessary to conform to the requirements of the accrediting agency having jurisdiction over any college or school.

# East Tennessee State University

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Vacancies will be filled as expeditiously as is feasible. If a deanship is left vacant pending the selection of a new dean, the appropriate vice president, after consultation with department chairs and such others as are deemed appropriate will, with the concurrence of the President, appoint an acting dean to serve during the interim.

## Vice President for Academic or Health Affairs

When a vacancy of the position of the Vice President for Academic Affairs, or Vice President for Health Affairs exists, or when it is known that such a vacancy will exist within the next twelve months, the President will inform the faculty of the affected units of the vacancy. A search committee will be appointed or otherwise secured by the President, who will also appoint the committee chair. This committee will include faculty members and a student or students from the affected colleges and schools, together with other individuals who must never constitute a majority of the committee. Individuals who wish to be considered for the vacant position will not serve on the committee. The search committee will seek the advice of the faculty and others as desired; will screen candidates for the position; and will submit to the President the names of one or more candidates whom its members think best fitted for the position. The President may accept or reject any or all names submitted. If the latter be the case the committee may be instructed to furnish additional names until an acceptable list is submitted, or other means may be used to fill the position.

Vacancies will be filled as expeditiously as is feasible. If the position is left vacant pending the selection of a new vice president for academic or health affairs, the President will appoint an acting vice president to serve during the interim.

## Periodic Review

In addition to annual personnel reviews of all staff, East Tennessee State University conducts periodic reviews of administrators. Ordinarily these reviews occur every four years from the start of an individual's time in a particular position. ETSU's Personnel Policies and Procedures Manual [<http://www.etsu.edu/humanres/relations/PPP-59.aspx>] describes the periodic review process in detail, including the calendar, criteria by which administrators will be evaluated, who will participate in the review process, and provisos regarding who is exempt from review.

09/15/79; 12/90; 11/6/97; 04/23/09; 08/01/13

[Top of Page](#)

## Standards of Conduct for Faculty Academic Freedom and Responsibility

East Tennessee State University endorses the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors as revised and refined since 1940, and also the Statement on Professional Ethics of the same organization, insofar as these are not limited by State law or the policies of the Tennessee Board of

# East Tennessee State University

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Regents. The University recognizes the principle of academic freedom, pursuant to which: The faculty member is entitled to freedom in the classroom in discussing his or her subject, being careful not to introduce into the teaching unrelated subject matter.

The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties and subject to conditions of a sponsored grant or contract, if any, supporting the research and the University's Financial Conflict of Interest Policy. Research for financial gain must be based upon an understanding with the authorities of the university, which is documented, reduced to writing and signed by the faculty member and the appropriate academic officer(s).

The faculty member is a citizen, a member of a learned profession, and an officer of an educational university/college. When the faculty member speaks or writes as a citizen, he/she should be free from university/college censorship or discipline, but his/her special position in the community imposes special obligations. As a man or woman of learning and an educational officer, he/she should remember that the public may judge the profession and the university/college by the faculty member's utterances. Hence, a faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the university/college. Academic freedom is essential to fulfill the ultimate objectives of an educational university/college-the free search for and exposition of truth-and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth, and academic freedom in teaching is fundamental for the protection of the rights of the faculty member in teaching and of the student to freedom in learning. Implicit in the principle of academic freedom are the corollary responsibilities of the faculty who enjoy that freedom. Incompetence, indolence, intellectual dishonesty, failure to carry out assigned duties, serious moral dereliction, arbitrary and capricious disregard of standards of profession conduct-these and other grounds as set forth in TBR and university policy may constitute adequate cause for dismissal or other disciplinary sanctions against faculty members subject to the provisions of Article III. The right to academic freedom imposes upon the faculty an equal obligation to take appropriate professional action against faculty members who are derelict in discharging their professional responsibilities. The faculty member has an obligation to participate in tenure and promotion review of colleagues as specified in university policy. Thus, academic freedom and academic responsibility are interdependent, and academic tenure is adopted as a means to protect the former while promoting the latter. While academic tenure is essential for the protection of academic freedom, all faculty members, tenured or non-tenured, have an equal right to academic freedom and bear the same academic responsibilities implicit in that freedom.

Source: TBR April 2, 2004; approved by Academic Council February 17, 2005

05/04/87; 07/91; 03/06/08

[Back to Top](#)

## Romantic Relationships between Faculty and Students

# East Tennessee State University

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## A Statement by the Faculty Senate and the Academic Council

Because those who teach are entrusted with guiding students, judging their work, assigning grades for papers and courses, and recommending students to colleagues, instructors are in a delicate relationship of trust and power. This relationship must not be jeopardized by possible doubt of intent, fairness of professional judgment, or the appearance to other students of favoritism.

One of the unstated tenets of the teaching profession indicating the commitment of its membership to a climate free from sexual harassment is the view that it is unwise and inappropriate for faculty who have or have had romantic relations with students to:

1. teach such students in a class,
2. supervise them in research or graduate work, or
3. recommend them for fellowships, awards, or employment.

Prudence and the best interest of the students dictate that in such circumstances of romantic involvement, the student(s) should be aided to find other instructional or supervisory arrangements.

Faculty should keep in mind that initial consent to a romantic relationship does not preclude a charge of sexual harassment in the future.

05/04/87; 07/91; 03/06/08

[Back to Top](#)

## TENURE

The quality of the faculty of any university is maintained primarily through support of a wide variety of professional development. It is monitored through the appraisal, by competent faculty and administrative officers, of each candidate for tenure. Tenure at a Tennessee Board of Regents university provides certain full-time faculty with the assurance of continued employment during the appointment year as defined in the employee's contract until retirement or dismissal for adequate cause, financial exigency, or curricular reasons, as further discussed herein.

## Definitions

The following are general definitions of words and terms used in this policy that are not hereinafter specifically defined. However, the words and terms are subject to further qualification and definition in the subsequent sections of this policy.

### Academic Tenure

# East Tennessee State University

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Tenure is a personnel status in an academic department or other academic program unit pursuant to which the academic or fiscal year appointments of full-time faculty who have been awarded tenure are continued at a university until the expiration or relinquishment of that status, subject to termination for adequate cause, for financial exigency, or for curricular reasons.

The awarding of tenure is recognition of the merit of a faculty member and of the assumption that he/she would meet the long-term staffing needs of the department or other academic program unit and the university. Tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure. The Tennessee Board of Regents does not award tenure in non-faculty positions. Tenure appointments reside in the departments and other academic program units, and are assurances of continued employment during the appointment year subject to expiration, relinquishment, or terminations of tenure as set out in the ETSU Faculty Handbook. Recommendations for or against tenure should originate from the department or academic program unit in which the faculty member is assigned and should include appropriate participation in the recommendation by tenured faculty in the department or academic program unit as specified in TBR Policy 5:02:03:60 [[http://www.tbr.edu/policies/default.aspx?id=1484\\_blank](http://www.tbr.edu/policies/default.aspx?id=1484_blank)].

Tenure is awarded only by positive action of the Board, pursuant to the requirements and procedures of this policy, at a specific university. No faculty member shall acquire or be entitled to any interest in a tenure appointment at a university without a recommendation for tenure by the president of the university and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member, and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at the university, provided that no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

## Faculty Member

A faculty member is a full-time employee who holds academic rank as instructor, assistant professor, assistant clinical or research professor, associate professor, associate clinical or research professor, professor, or clinical or research professor.

## Probationary Employment

Probationary employment is a period of full-time professional service by a faculty member for whom an appointment letter denotes a tenure-track appointment in which he/she does not have tenure and in which he/she is evaluated by the university for the purpose of determining his/her satisfaction of the criteria for a recommendation for tenure.

## Adequate Cause

# East Tennessee State University

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Adequate cause is a basis upon which a faculty member, either with academic tenure or a tenure-track or temporary appointment prior to the end of the specified term of the appointment may be dismissed or terminated. The specific grounds which constitute adequate cause are set forth in the ETSU Faculty Handbook.

## Financial Exigency

Financial exigency is the formal declaration by the Tennessee Board of Regents that one of its universities faces an imminent financial crisis, that there is a current or projected absence of sufficient funds (appropriated or non-appropriated) for the campus as a whole to maintain current programs and activities at a level sufficient to fulfill its educational goals and priorities, and that the budget can only be balanced by extraordinary means which include the termination of existing and continuing academic and non-academic appointments.

## Vice President

The term vice president shall be construed to mean either the Vice President for Academic Affairs or the Vice President for Health Affairs, depending on the action(s) or individual(s) involved.

## Minimum Eligibility Requirements for Consideration for Academic Tenure

Academic tenure may be awarded only to full-time faculty members who: (a) hold academic rank as instructor, assistant professor, associate professor, or professor and meet the minimum rank criteria for that rank as specified in university policy and TBR Policy 5:02:03:60 [http://www.tbr.edu/policies/default.aspx?id=1484\\_blank](http://www.tbr.edu/policies/default.aspx?id=1484_blank); (b) have been employed pursuant to tenure-track appointments and have completed the probationary period of service as stated in the ETSU Faculty Handbook or as agreed upon in writing and signed by the appropriate academic officer; and (c) have been determined by the university to meet the criteria for recommendation for tenure and have been so recommended pursuant to this policy.

Faculty holding temporary appointments are not eligible for tenure.

Faculty holding clinical or research appointments are not eligible for tenure, provided, however, that under certain circumstances, such appointments may be converted to tenure track appointments as discussed in TBR policy 5:02:07:10 [http://www.tbr.edu/policies/default.aspx?id=1496\\_blank](http://www.tbr.edu/policies/default.aspx?id=1496_blank) on faculty appointments.

Faculty members supported in whole or in part by funds available to the university on a short-term basis, such as grants, contracts, or foundation sponsored projects, shall not be eligible for tenure unless continuing support for such members can be clearly identified in the regular budget of the university upon the recommendation of tenure to the Board.

No faculty member shall be eligible for tenure unless the employee's contract specifies his/her tenure-track status; provided that where a faculty member with tenure is appointed

# East Tennessee State University

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to an administrative position, he/she will retain tenure in a former faculty position only; and provided further that a faculty member otherwise eligible for tenure who also holds a non-faculty position may be awarded tenure in the faculty position only, subject to the requirements of this policy.

## Length of Probationary Period and Timing of Application for Tenure

Probationary faculty may be employed on annual tenure-track appointments for a probationary period which may not exceed six (6) years, this being the normal length of time required to develop a substantial record in teaching, research and service.

Faculty may apply for tenure following completion of five years of the probationary period (so that the recommendation for tenure, if granted, would occur upon completion of six years).

Exceptions to the minimum probationary period may be made under special circumstances upon recommendation by the president and approval by the Chancellor. Upon approval of such an exception by the Chancellor, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period.

When a faculty member on a tenure-track appointment completes the probationary period and is not recommended for tenure by the president, he or she will be given notice of non-renewal of the appointment and will receive a terminal contract for the seventh year of employment.

If a faculty member wishes to apply for tenure earlier than the completion of the minimum probationary period, he or she must so notify the department chair, in writing, no later than May 15 prior to the fall term in which the application will be made. The faculty member should include in this statement of intent a brief summary of the special circumstances that the faculty member thinks warrant awarding tenure earlier than the completion of the minimum probationary period.

A faculty member may apply for tenure earlier than the completion of the minimum probationary period only once. An application occurs when the faculty member uploads the Supporting Document to ETSU's online tenure and promotion system. The candidate may withdraw the tenure materials from further consideration at any point in the tenure review process, but even if it is withdrawn, this constitutes an application.

If a faculty member applies for tenure earlier than the completion of the minimum probationary period and is not awarded tenure, this does not preclude the faculty member's right to apply for tenure upon completion of the minimum probationary period. If tenure is not awarded in an early application, this does not extend the probationary period beyond six years.

### Calculating the Probationary Period

# East Tennessee State University

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Employment during summer terms, in part-time positions, or during periods of leaves of absence (except in the circumstance described in this section), shall not be credited toward satisfying the probationary period.

Only full-time continuous service at a university will be included in determining completion of the probationary period, except where a break in service was pursuant to an approved leave of absence. A period of approved leave of absence shall be excluded from the requisite period for completion of the probationary period unless the president of the university specified in writing prior to the leave of absence that it shall be included in the probationary period. Leaves of absence may not be granted retroactively. A faculty member may apply for a maximum of two (2) leaves of absence in one-year increments so long as the total probationary period (not including the leaves of absence) does not exceed six years. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension. See ETSU's Personnel Policy Manual PPP-21 [[http://www.etsu.edu/humanres/relations/PPP21.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP21.aspx_blank)] for more information.

A faculty member who is appointed to an administrative position prior to a tenure award remains eligible for tenure under two conditions: 1) the faculty member must qualify for tenure under departmental or other academic program unit, college and university guidelines; and 2) the faculty member must maintain a significant involvement in academic pursuits including teaching, scholarship and service. The time (or prorated portion of time) spent in the administrative position may be credited toward completion of the probationary period. The department or division in which the faculty member would otherwise be employed must still initiate the tenure action.

Where a faculty member is serving a probationary period in a department or other academic program unit and is subsequently transferred to another department or academic program unit, the faculty member may—with the written approval of the president-elect to begin a new probationary period on the date that the transfer occurs. If he/she does not so elect (and confirm in writing to the president), time spent in the first appointment shall count toward establishing the minimum and maximum probationary period.

## Credit for Prior Service

The minimum probationary period may include credit for prior service when agreed to by the president and subject to the maximum permissible credit for prior service.

## Prior Service at Other Universities

Credit toward completion of the probationary period may at the discretion of the president be given for a maximum of three of years of previous full-time service at other colleges, universities, or institutes provided that the prior service is relevant to the institution's own needs and criteria. Any credit for prior service that is recognized and agreed to must be confirmed in writing at the time of the initial appointment.

## Prior Service at ETSU



# East Tennessee State University

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Credit toward completion of the probation period may, at the discretion of the president, be given for a maximum of three years or previous full-time service in a temporary faculty appointment or term appointment at the same institution or in an earlier tenure-track appointment at the same institution that has been followed by a break in service. Any credit for prior service in a temporary full-time faculty appointment at the same institution or in an earlier tenure-track appointment at the same institution that has been followed by a break in service must be recognized and confirmed in writing in the appointment letter to a tenure-track position.

## Requests to Decrease Credit for Prior Service

If a faculty member who received credit for prior service upon his or her appointment to a tenure-track position at the university wishes to decrease credit given for prior service and increase the number of appointment years at ETSU required for the probationary period, he or she must submit this request in writing to the chair of the academic department no later than May 15 of the final year of the minimum probationary period (calculated including the credit for prior service). Such requests can only occur upon the approval of the president of the university. Any approved reduction in credit for prior service must be in writing.

## Stopping the Tenure Clock

A faculty member in a tenure track appointment may request to "stop the clock" during his/her probationary period when circumstances exist that interrupt the faculty member's normal progress toward building a case for tenure. Discretion for stopping the tenure clock rests on the institution and also requires supervisory approval. In such cases, the faculty member may request to "stop the tenure clock" for one-year if he/she demonstrates that circumstances reasonably warrant such interruption. Reasons for approving a request to "stop the clock" will typically be related to a personal or family situation requiring attention and commitment that consumes the time and energy normally addressed to faculty duties and professional development. Examples may include, but are not limited to, childbirth or adoption, care of dependents, medical conditions or obligations, physical disasters or disruptions, or similar circumstances that require a fundamental alteration of one's professional life. The intent of this policy is to serve the best interests of the university while providing neither preference to nor adverse effect on a faculty member's process of developing a case for tenure. Once approved, the "stop the clock" year is not counted in the probationary period accrual.

A faculty member seeking a modification of his/her probationary period must submit his/her request, in writing, addressing the considerations described above. The request is to be submitted in writing to the department chair for consideration and recommendation. The request must be submitted no later than three (3) months after the conclusion of the period in which the clock is to be stopped. The chair's recommendation is forwarded to the dean of the faculty member's college for consideration and recommendation; thence to the provost for consideration and recommendation; and finally to the president for approval or denial. The president will notify the faculty member, in writing, of the decision to approve or deny such exceptions within one month of submission. Requests for modification of the probationary period that are based on a faculty member's health or care for an immediate family member

# East Tennessee State University

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should also be submitted to the university's legal counsel or to TBR's Office of the General Counsel for review.

## Pre-Tenure Mentoring of Faculty

Each department and college should establish procedures that enhance communication with probationary faculty members concerning factors that may impact their candidacy (e.g., bona fide weighting of criteria, appropriate standards, approved staffing plans, curricular changes, accreditation issues, enrollment patterns, etc.). These procedures may include pre-tenure reviews conducted by academic departments or other academic units during the third year of the probationary period. It is the explicit responsibility of chairs and deans to establish formal protocols or by other means to keep tenure-track faculty apprised of their progress toward tenure by thorough evaluations and appropriate mentoring.

## Non-Renewal of Tenure-Track Faculty

### General Timeline

When tenure-track appointments of faculty are not to be renewed for further service, the faculty member shall receive notice of this as follows:

1. Not later than April 1 of the full first appointment year, if the appointment expires at the end of that year; or, if the appointment terminate during an appointment year, at least three months in advance of its termination;
2. Not later than January 1 of the second full appointment year, if the appointment expires at the end of that year; or, if the appointment terminates during an appointment year, at least six months in advance of its termination;
3. Not later than the close of the appointment year preceding the third or subsequent full year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an appointment year, at least twelve months in advance of its termination.

Notice of non-renewal shall be effective upon personal delivery of the notice to the faculty member, or upon the date the notice is mailed, postage prepaid, to the faculty member at his/her current home address of record at the university.

Applicable dates for notice of non-renewal are based upon actual years of service at a particular university and in no way affected by any credit for prior service.

When a faculty member on a tenure-track appointment completes his/her probationary period, the faculty member will be recommended for tenure by the president or will be given a terminal contract for the seventh year. Notice of the terminal contract should be given not later than the final day of the appointment year. The faculty member's right in an instance where timely notice is not given is described in ETSU's Faculty Handbook.

If a faculty member applies for tenure earlier than the completion of the minimum probationary period and is not awarded tenure, this does not preclude the faculty member's

# East Tennessee State University

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right to apply for tenure upon completion of the minimum probationary period. If tenure is not awarded in an early application, this does not extend the probationary period beyond six years.

Faculty members on tenure-track appointments shall not be terminated during the term of the annual appointment as stated in the employment contract except for reasons which would be sufficient for the termination of tenured faculty.

The non-renewal or non-reappointment of any faculty member on a tenure-track appointment does not necessarily carry an implication that his/her work or conduct has been unsatisfactory.

Unless there is a violation of state or federal law under the limitations described in the TBR Policy on Appeals (1:02:11:00 [http://www.tbr.edu/policies/default.aspx?id=4834\\_blank](http://www.tbr.edu/policies/default.aspx?id=4834_blank)), decisions that are not subject to appeal to the Chancellor include (a) non-renewal of a tenure-track faculty appointment during the first five years of the probationary period and (b) denial of tenure unaccompanied by notice of termination in the fifth year of the probationary period.

## Initiation and Processing of Tenure Recommendations

The formulation of recommendations concerning the tenure of a faculty member is a cumulative process occurring at three levels-department/division, college, and executive or presidential. The faculty member eligible for consideration also has a significant role by assuming responsibility for timely submission of pertinent materials to the department chair for review at each level.

The director of personnel, by May 1st of each year, shall provide department chairs, deans, the appropriate vice president, and the president with lists of faculty members eligible for tenure through length of service. The action by the director of personnel does not relieve the department chairs of the responsibility of determining eligibility for tenure.

Department chairs, during the succeeding 15 days, will verify the lists through departmental and other administrative office.

By May 15 each faculty member eligible for tenure shall be so notified in writing by the department chair. A department chair may initiate a tenure recommendation at some time other than the annual review; but unless there is special need for earlier processing, subsequent steps will be taken according to the established schedule during the annual review.

Tenure applications will be completed by each faculty member applying for tenure. These applications will be submitted no later than September 15. All tenure applications must be complete at that time. No additional documentation may be added after September 15 except at the request of the reviewers and with the permission of the candidate, or vice versa. Candidates applying for promotion and tenure simultaneously submit one set of supporting materials.

# East Tennessee State University

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Tenure applications will be reviewed at each level of the process. It is expected that each level of review is independent of prior judgment and documentation. At each level in the process, the cumulative recommendations and statements of rationale recorded by committees and administrators will be forwarded as integral parts of each candidate's application. Each reviewing official or committee has the responsibility to remand an application to any preceding level if that level's review is found to be incomplete or otherwise unacceptable. All peer committees have qualified privilege of academic confidentiality against disclosure of individual tenure votes unless there is evidence that casts doubt upon the integrity of the peer committee.

In some cases, such as small departments or unique fields of study, outside expertise may also be necessary in the evaluation process. The chair and the candidate must agree on the individual(s) selected from departments or institutions other than the candidate's own. All tenured faculty in the candidate's department, not including the department chair, and such outside experts as are needed will meet to review the tenure application. The tenure applicant must be given at least one week's notice of such meetings and, consistent with procedures described in the ETSU Faculty Handbook, shall have the opportunity to bring to the participants' notice any material that may be helpful in determining the applicant's fitness for tenured status.

In addition to any other evidence that the candidate might choose to provide, the candidate must furnish student assessments of instruction for at least eight courses, wherever possible, or for every course evaluated during the probationary period, if this number is greater. These student assessments should be representative of a variety of classes that the candidate has taught. A university-approved assessment instrument will be used for this purpose. Student assessments must be included with all applications for tenure and will be considered as one important source of information concerning effective teaching, although not the only one.

A separate peer evaluation of teaching effectiveness must also take place. This evaluation must include a review of student evaluations with consideration given to the type of courses involved. In addition, peer reviewers should assess items such as course syllabi, study materials, assignments, information on assessment and grading practices, and expectations relating to the candidate's particular teaching responsibilities. Peer reviewers should also observe the candidate's classroom teaching.

Departments and colleges may establish their own criteria and processes for peer evaluation of teaching and may include these in their official statements of expectations for tenure, subject to the provisions of the ETSU Faculty Handbook.

It is the obligation of candidates for tenure, with assistance from their department chairs, to ensure that their teaching is evaluated by peers as described in the ETSU Faculty Handbook and to present in the tenure application documentation of the findings of peer evaluations.

Proposed changes in the process for student evaluation of instruction will be submitted to the ETSU Student Government Association for consideration and reaction. The SGA will review the uses of student evaluation of instruction on a regular basis and will bring its questions, concerns and suggestions to the Faculty Senate and to the Academic Council.

# East Tennessee State University

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Complete and accurate documentation of all research, scholarly, and creative activities, including complete bibliographic listings of publications, status of journals (refereed and non-refereed), role in jointly authored articles and papers, and complete descriptions of professional service activities should be included in each application to provide evidence of and support for these activities. Copies of published items and other reported research and creative activities must be available for examination by reviewers.

The departmental review will be completed by a committee of tenured faculty, excluding the department chair. The review should reflect serious consideration of general university criteria, the specific criteria and types of evidence specified, any weighted criteria reflecting appropriate standards for the discipline, and any currently documented analysis of long-term staffing needs.

After formal discussion, the committee of tenured faculty within the department will vote to recommend or not to recommend each candidate within the department. A written, composite statement explaining the recommendation shall be signed (by means that may include electronic signatures) by each reviewing faculty member and forwarded to the chair with a copy to the candidate. Included in that statement will be an explicit evaluation in each of the areas of teaching, research and creative/scholarly activity, and service. Dissenters may include their views in the committee report.

The department chair, by October 15, will forward to the school or college dean, and to the candidate his/her own decision to recommend or not recommend the candidate for tenure. Included in that recommendation will be a written rationale explaining the recommendation, with an explicit evaluation in each of the areas of teaching, research and creative/scholarly activity, and service. While the department chair's review is independent of that by the departmental committee, the chair's recommendation should be guided by consideration of the same criteria, standards, and types of evidence.

The chair will inform the dean of the tenured faculty members' vote. Should the chair elect to act contrary to the vote of the senior faculty, the dean or other appropriate administrative official should meet with the senior faculty of the department in question to discuss the matter. The dean or other appropriate official should also meet with the chair of the department.

All recommendations reached at the departmental level will be forwarded to the school or college on forms provided by the appropriate vice president's office.

Prior to or during the fall semester of each year, the dean of each college or school will implement procedures to establish a promotion and tenure committee. This committee shall take its membership from faculty at professorial ranks. The dean should ensure adequate representation from the tenured faculty. All members should have at least 3 years of service at ETSU. Collectively the membership should represent the various disciplines of the college or school with equal numbers appointed by the dean and elected by the faculty. At least two-thirds of the members of the committee should hold the rank of associate professor or professor. When there are not sufficient numbers of faculty within a college holding the rank of associate professor or professor to serve on the committee, the dean will request participation of faculty in other colleges. Department chairs may not serve on such

# East Tennessee State University

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committees. No person who is an applicant for promotion in a given year may be an elected or appointed member of a College/School Promotion/Tenure Committee during that year. A person who may have been elected to serve a two or three-year term, should s/he apply for promotion during that term, shall excuse her/himself from the College/School Committee in that year. In the event a replacement is needed, the College/School will obtain a replacement on the same basis as the individual was appointed. The size of the committee should be from 6 to 14 members who shall serve staggered 2- or 3-year terms. The school or college faculty shall decide whether the committee chair shall be elected from among the members of the committee or appointed by the dean. The committee shall function in the role of advisor to the dean from October 15 until December 15 of each year. More specifically, this committee will perform the functions of review as follows:

1. Receive and review promotion and tenure recommendations of the chairs and departmental committees for transmittal to the dean. In formulating its recommendations for or against the granting of tenure, the college committee should concentrate on the broad perspective of the college's approved mission, any bona fide weighting of criteria and standards reflecting the expectations of the applicant's academic department and/or college, approved departmental and/or college staffing plans and the department's enrollment trends.
2. Review all applications to assure that criteria for promotion and tenure are being correctly and uniformly applied to all members of the school or college.
3. Review the completeness of the information presented and question any omission in criteria or variations in procedure. Where discrepancies or misapplication of criteria are noted, the committee will attempt to correct the errors through direct consultation with those involved.
4. Members of the college/school committee from a candidate's home department shall not participate in the college/school committee's discussion of the candidate or in its votes on that candidate's tenure and/or promotion.
5. Only tenured members of the college/school committee may vote on applications for tenure.

The school/college review committee will, by December 15, forward to the dean its recommendations and a written, composite statement for each faculty member being reviewed. The use of secret or open balloting shall be decided by the college, school or division committee. These written statements will include an explicit evaluation in each of the areas of teaching, research and scholarly/creative activity, and service, and will be signed (by means that may include electronic signatures) by each committee member. Dissenters may include their views in the committee report. A copy of the committee recommendation will be forwarded to the candidate and the department chair.

The dean's recommendations, together with all written documentation, will be forwarded to the appropriate vice president by February 1. This report must also include an explicit evaluation of each candidate's record in the areas of teaching, research and scholarly/creative activity, and service. While the dean's review is independent of that by the college

# East Tennessee State University

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committee, the dean's recommendation should be guided by consideration of the same criteria, standards, and types of evidence.

The dean, at the time the candidate's application is forwarded to the vice president, will also notify the candidate and the department chair of his/her decision to recommend or not to recommend. The decision will be supported in writing. A copy of this written support will be provided to the candidate and the department chair. In the event of a negative recommendation, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

If the vice president, in the face of prior approvals, favors disapproval of an application s/he will hold a meeting with the department chair and dean concerned prior to a final decision. The candidate, chair, and dean will be advised regarding the vice president's subsequent decision, which will be supported in writing. In the event of a negative recommendation and the candidate has not initiated an earlier appeal, the candidate may initiate an appeal to the university Promotion and Tenure Appeals Committee.

Upon reaching a decision regarding each application for tenure, the vice president will notify the dean, chair, and candidate in writing and will forward the application, together with all recommendations relevant to it, to the president by March 1.

All tenure applications initiated will be forwarded to the president regardless of the recommendation made by any intervening administrator or faculty committee; unless the candidate chooses to withdraw his/her application. Only the candidate has the right to withdraw an application that has been filed.

Final action on each tenure application will be taken by the president. When an application is approved by the president and subsequently by the chancellor and the Board of Regents, the president will notify the faculty member by letter of the award of tenure. When an application is disapproved by the president, s/he will inform the department chair, the faculty member, and other appropriate administrators in writing, stating reasons for disapproval. At this time, the candidate may appeal the president's decision. Appropriate administrative officers will be advised by the president of the action taken on all tenure recommendations; whether approved or disapproved.

A list of faculty members who are recommended for tenure status in any one year will be forwarded to the chancellor and to the Board of Regents. No faculty member shall be entitled to, or acquire any interest in, a tenure appointment in the university without a recommendation for tenure by the president and an affirmative award of tenure by the Board of Regents. No other person shall have any authority to make any representation concerning tenure to any faculty member and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at East Tennessee State University.

Upon final action taken by the Board of Regents, recommendation forms will be filed in the Personnel Office.

## Appeals Process

# East Tennessee State University

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Opportunities for appeal of negative recommendations on applications for tenure exist at the dean's or vice president's level and again at the president's level prior to a review of the latter's decision by the Board of Regents.

Two appeal opportunities follow the dean's action and precede that of the president. The candidate may opt to utilize either one, but not both, of these opportunities. Should the dean opt not to recommend in favor of tenure, the candidate may request a pre-appeal conference with the vice president. Should the vice president choose not to recommend for tenure and the candidate has not appealed following the dean's decision, the candidate may request a pre-appeal conference with the president. In either event the pre-appeal conference must be requested within seven days of receiving written notice of the negative recommendation.

After the pre-appeals conference, if the candidate has decided to proceed with the appeal, s/he must file an appeal in writing with the university Promotion and Tenure Appeals Committee within one week or forfeit the right to appeal at that level. When the appeal goes forward, the vice president will submit the candidate's complete application to the chair of the university Promotion and Tenure Appeals Committee. The committee shall review information relevant to each appeal in accordance with procedures developed by the committee for all such appeals and incorporate its recommendations as a part of each candidate's application to be returned to the vice president or the president for consideration.

Within seven days of receiving, in writing, the vice president's recommendation, the candidate may request a pre-appeal conference with the president. If, during the course of that conference, the candidate feels justified in requesting a formal hearing of the appeal, he/she may request that the university Promotion and Tenure Appeals Committee hear that appeal. Within one week of the pre-appeal conference the candidate must file a written request with the committee's chair. Upon request by the committee's chair, the president will submit the candidate's complete tenure application dossier to the committee.

The committee will review information relevant to the appeal according to procedures developed by the committee for all such appeals and will incorporate its recommendations as a part of the candidate's application, which is then returned to the president for his/her consideration. The committee will also send a copy of its recommendation(s) to the candidate, the department chair, the dean and the appropriate vice president.

In the event the university Promotion and Tenure Appeals Committee makes a recommendation regarding tenure and/or promotion, the president or vice president will inform the chair of the committee in writing of the final decision and its rationale.

The University Promotion and Tenure Appeals Committee (PTAC) will be composed of one faculty senator elected by the Senate who will chair the committee, and one member from each college or school who was not a member of that body's promotion and tenure committee when the candidate's application was evaluated, as selected by the faculty senators from that college or school. The college/school senators will also designate two alternates from their college/school who would be available to serve if the primary designee is ineligible or unavailable to serve. If the college/school senators fail to designate a committee member and alternates, or if those designated are ineligible or unavailable to serve, then the Faculty



# East Tennessee State University

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Senate President and the PTAC Chair will jointly select a faculty member from that college/school to serve. Terms of appointment shall be for two-year staggered terms with the exception of the committee chair who will serve only a one year term. All members of the PTAC will be tenured and will hold professorial rank. Deans, department chairs, and other administrative personnel directly involved in college or school-level promotion decisions (such as associate or assistant deans) are excluded from membership on this committee. No member of the PTAC shall have participated in the review of the candidate's application at any previous level.

If the candidate previously appealed a negative recommendation to the university Promotion and Tenure Appeals Committee at either the dean's or vice president's level and wishes to appeal a negative recommendation by the president, an ad hoc Promotion and Tenure Appeals Committee will be formed comprised of three persons appointed by the Faculty Senate and three by the president. These persons must be tenured and hold professorial rank. They will follow the same procedure outlined in the ETSU Faculty Handbook for the university Promotion and Tenure Appeals Committee.

## Criteria to be Considered in Tenure Recommendations

The following are general criteria to be employed in considering the recommendation of a faculty member for tenure. This list is not exhaustive and the selection and relative importance of these criteria will vary with the nature and mission of the department or division in which the faculty member is employed. Specific criteria to be applied to the work of an individual faculty member will be clearly delineated on annual faculty activity plans, reports and evaluations.

1. Teaching effectiveness.
2. Effectiveness in other academic assignments.
3. Research, scholarly and creative activity.
4. Professional degrees, awards, and achievements.
5. Staffing needs of the department or division and the institution.
6. Service of a professional nature to the institution, the community and the State.
7. Activities, membership, and leadership in professional organizations.
8. Demonstrated potential for continuing professional growth; and for contribution to the objectives of the department or division and the institution.
9. Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit.

A department or college may weigh criteria to be considered in tenure recommendations and should establish appropriate standards within criteria for the distinctive discipline(s) and the level(s) of program(s) it embodies. If such weighted criteria and standards for tenure are to be applied to candidates, they should be carefully documented in approved unit mission

# East Tennessee State University

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statements and policies. Those documents become bona fide only when (1) they have been considered by faculty in those units, (2) they have gained approval by the university as official college or departmental mission statements and related policies that are consistent with university mission and policy, and (3) they have been communicated in publications or in other written form (including the Web) to faculty affected by them. Bona fide documents are maintained as public information in the offices of appropriate department chairs and deans, the Vice President for Academic Affairs or the Vice President for Health Affairs, and the Faculty Senate.

## Criteria for Assessing Merit of the Candidate

### Overview

All candidates for tenure should demonstrate teaching effectiveness and be fully engaged in other academic assignments commensurate with their respective faculty roles. In addition, they should demonstrate achievements in service and in research, scholarly and creative activity that are consistent with approved departmental and college/school criteria. The relative importance given to these criteria may differ according to the discipline, department, and assigned duties of individual candidates, as delineated in annual faculty activity plans, reports and evaluations.

### Teaching

Effective teaching is an essential qualification for tenure, and tenure should not be granted in the absence of clear evidence of a candidate's teaching ability and potential for continued development. Excellence in teaching is a strong recommendation for both tenure and promotion, though it cannot be considered in isolation from scholarship and service. Each department must develop a procedure to ensure that factual information relative to a candidate's teaching is available at the time he/she is considered for tenure. It is expected that a component of teaching is effective student advisement, either formal or informal.

The teaching portfolio should include, but is not limited to, evidence of teaching excellence as follows: command of the subject matter; ability to organize and present subject matter in a logical and meaningful way; ability to motivate and stimulate creativity, intellectual curiosity, and interest in writing and inquiry in undergraduates and/or graduate students; and evidence of peer evaluation. Documentation of teaching should routinely include: a statement of teaching philosophy; course materials; student evaluations for at least eight courses, wherever possible, or for every course evaluated during the probationary period, if this number is greater, as described in the ETSU Faculty Handbook; results of peer evaluations of teaching, as described in the ETSU Faculty Handbook; and evidence of supervision of student projects and other forms of student mentorships. A candidate for tenure may choose to include other types of evidence that support his/her application for tenure such as additional student input; student products; teaching recognition; teaching scholarship; evidence of professional development in teaching; evidence of disciplinary or interdisciplinary program or curricular development; alumni surveys and student exit interviews; and other evidence of excellence in teaching or mentoring, or both.

# East Tennessee State University

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Evidence of effectiveness in academic assignments other than classroom teaching shall include materials and information that are pertinent to the assignment in question.

## Professional Service

Evidence of contributions in the area of professional service should be offered by the candidate. Documentation of all service activities is required.

Professional service encompasses a faculty member's activities in one of three areas: outreach or public service, university service, and professional service.

1. The outreach or public service function is the university's outreach to the community and society at large, with major emphasis on the application of knowledge for the solution of problems with which society is confronted. Outreach primarily involves sharing professional expertise and should directly support the goals and mission of the university. A vital component of the university's mission, public service must be performed at the same high levels of quality that characterize the teaching and research programs.
2. University service refers to work other than teaching and scholarship done at the department, college, or university level. A certain amount of such service is expected of every faculty member; indeed, universities could hardly function without conscientious faculty who perform committee work and other administrative responsibilities. University service includes, but is not limited to, serving on departmental committees and participating in college and university committees. Some faculty members may accept more extensive citizenship functions, such as a leadership role in the Faculty Senate, membership on a specially appointed task force, service as advisor to a university-wide student organization, and membership on a university search committee.
3. Professional service refers to the work done for organizations related to one's discipline or to the teaching profession generally. Service to the profession includes association leadership, journal editorships, articles and grant proposal review, guest lecturing on other campuses, and other appropriate activities. Significant professional service requires more than organizational membership and attendance. Examples of significant service include that done by an officer of a professional organization or a member of the editorial staff of a journal.

## Research, Scholarship, and Creative Activities

A candidate for tenure must present evidence of his/her research, scholarship and/or creative activities when he/she applies for tenure. Such evidence should cite books, journal articles, monographs, creative activities, performances, or exhibitions that have undergone appropriate peer review. Research publications in refereed journals or media of similar quality are considered reliable indicators of research/scholarly ability. Written reviews and evaluations by qualified peers, either in person or aided by other forms of reports, or both, are appropriate for performances, compositions, and other artistic creations. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are

# East Tennessee State University

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more significant than those that are not subjected to such rigorous examination. It should be emphasized that quality is more important than quantity.

The tenure application must include evidence of peer review of the candidate's record of research/scholarly activity by qualified peers. The scholarship of teaching is a valid measure of research capability. It goes beyond doing a good job in the classroom; creative teachers should organize, record, and document their efforts in such a way that their colleagues may share their contributions to the art of teaching. Appropriate textbooks or educational articles in one's own discipline and innovative contributions to teaching, if published or presented in a peer-reviewed forum, constitute scholarship of teaching.

Clear evidence of the quality of work should accompany each application. Evidence supplied by the candidate might include records of the following:

1. Publications: These include textbooks, books or chapters in books, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews, and other related items.
2. Papers presented: These include those papers presented at local, state, regional, national, and international professional meetings. The significance of content and selection process should be considered in the process of reviewing such presentations.
3. Performance or exhibitions: These include performances or exhibitions that are invited or juried by nationally or regionally recognized members or groups within the discipline.
4. Research in progress: Verification of stages of development is mandatory.
5. Other items such as funded or unfunded research proposals, computer software development, or audio-visual media may also be considered.

## Other Factors for Consideration

1. Candidates should present evidence of continuing professional development. Much of that evidence will be submitted in the sections on teaching, service, research, and scholarly and creative activity as indicated above. Additional evidence related to professional growth may include courses taken for credit, courses audited, seminars attended, and independent study activities.
2. The candidate should present evidence, in the annual faculty review process, of contributions to institutional as well as to individually established goals in teaching, research, creative and scholarly activities, and service. The quality of the candidate's contributions, however, will be of greater importance than the adherence of those contributions to objectives.

Revised 12/01

[Back to Top](#)

# East Tennessee State University

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## Criteria for Assessing the Long-Term Staffing Needs of the Department or Division and the University

The long-term staffing needs of the department/division and the university are taken into account at each level in the review process when candidates are evaluated for tenure. Criteria to be considered may include:

1. Enrollment patterns.
2. Program changes.
3. Potential for staff additions.
4. Prospective retirements and resignations.

Long term departmental or college staffing needs should be documented in approved staffing plans that are reviewed and, if necessary, updated annually. The use of a plan as a factor in tenure consideration is only appropriate after the university approves it. Approved plans should reflect thorough review at the departmental and college levels and, after approval, should be maintained as public information in offices of appropriate department chairs and deans and the Vice President for Academic Affairs or the Vice President for Health Affairs. Approved staffing plans will be made available on request to the Faculty Senate.

## Expiration of Tenure

Tenure status shall expire upon retirement of the faculty member. Tenure shall also expire upon the event of permanent physical or mental inability of a faculty member, as established by an appropriate medical authority, to continue to perform his/her assigned duties.

## Relinquishment of Tenure

A faculty member shall relinquish or waive his/her right to tenure upon resignation from the university or upon failure to report for service at the designated date of the beginning of any academic term, which shall be deemed to be a resignation unless, in the opinion of the president, the faculty member has shown good cause for such failure to report. Where a tenured faculty member is transferred or reclassified to another department or academic program unit by the university, the transfer or reassignment shall be with tenure. Tenure is not relinquished during administrative assignments at the university.

## Termination of Tenure for Reasons of Financial Exigency

A tenured faculty member may be terminated as a result of financial exigency at East Tennessee State University subject to Board declaration that such financial conditions exist. Personnel decisions (including those pertaining to tenured faculty) that result from a declaration of financial exigency at a Board of Regents university will comply with the Board Policy on Financial Exigency (5:02:06:00 [http://www.tbr.edu/policies/default.aspx?id=1492\\_blank](http://www.tbr.edu/policies/default.aspx?id=1492_blank)).

# East Tennessee State University

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## Termination of Tenure for Curricular Reasons

The employment of a tenured faculty member may be terminated because 1) an academic program is deleted from the curriculum or 2) because of substantial and continued reduction of student enrollment in a field or discipline. Before declaring that curricular reasons exist, the president will ensure meaningful participation by the Faculty Senate in identifying the specific curricular reasons, evaluating the long-term effect on the university's curriculum and its strategic planning goals, and the advisability of initiating further action. Prior to initiating the process described below, the president will present-either orally or in writing-a description of curricular reasons that may warrant the termination of tenured faculty member(s). Each of these reasons for termination of tenure for curricular reasons must denote shifts in staffing needs that warrant greater reductions than those which are accommodated annually in light of shifting positions from one department to another or among colleges to handle changing enrollment patterns.

The president, upon determining that curricular reasons may warrant the termination of tenured positions, shall so inform the executive committee of the Faculty Senate. At the earliest possible date after said notification, as agreed to by the president and the Executive Committee, the president or his/her designee shall appear before the Senate for the purpose of presenting all relevant information. Senators and affected unit members shall have an opportunity to pose questions and seek further information. The Faculty Senate shall respond, in writing, within thirty (30) days of this meeting.

Upon determining that termination of one or more tenured faculty members is required for one or more of the two reasons cited above, the president shall furnish each faculty member to be terminated a written statement of the reasons for the termination. Those reasons shall address fully the curricular circumstances that warranted the termination and shall indicate the manner and the information in and upon which the decision to terminate was reached. The president's written statement shall also indicate that the faculty member has the opportunity to respond in writing stating any objections to the decision.

If the faculty member(s) to be terminated indicates objections to the president's written statement(s) and request(s) a review, the president will appoint a faculty committee consisting of a minimum of five tenured faculty members from a slate of ten tenured faculty members proposed by the Faculty Senate. That committee shall conduct a hearing on the proposed termination(s). The committee shall then report its findings and recommendations to the president, who shall in a reasonable time inform in writing the faculty member(s) proposed for termination either that the decision for termination stands or that it has been altered.

The president's decision to terminate a tenured faculty member for curricular reasons is subject to appeal to the chancellor and the Board as provided in the policy on appeals to the Board (TBR Policy 1:02:11:00 [http://www.tbr.edu/policies/default.aspx?id=4834\\_blank](http://www.tbr.edu/policies/default.aspx?id=4834_blank)).

When a tenured faculty member is terminated for curricular reasons, the position will not be filled by a new appointee with the same areas of specialization as the terminated faculty member within a period of three years unless the terminated faculty member has been

# East Tennessee State University

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offered, in writing, reappointment to the position at his/her previous rank and salary (with the addition of an appropriate increase which, in the opinion of the president, would constitute the raise that would have been awarded during the period that s/he was not employed).

Upon determining that termination of one or more tenured faculty members is warranted for curricular reasons, the president shall base a decision about which faculty member(s) should be terminated upon an assessment as to what action would least seriously compromise the educational programs in a department or division. Termination for curricular reasons presumes a staffing pattern in a department or division that cannot be warranted either by comparison with general load practices within the institution or by comparison with faculty loads in comparable departments or divisions at similar institutions. In that light, the president shall also, in his/her discretion, base a decision on a careful assessment of the impact of the curricular reason on staffing requirements in the division or department as compared to overall patterns in the institution and to comparable departments or divisions in institutions similar to ETSU.

Unless the president demonstrates (preferably by means of past performance evaluations) that an exception should be made to protect the quality of an educational program, the following considerations should guide-but not be construed as mandatory-in determining the order of faculty reductions in a department or division where termination of tenured faculty is proposed for curricular reasons:

1. Part-time faculty within a department or division should not be hired or renewed before tenured faculty are terminated.
2. Temporary faculty or tenure-track faculty in the probationary period should not be renewed before tenured faculty are terminated.
3. Among tenured faculty those with higher rank should have priority over those with lower rank.
4. Among tenured faculty with comparable rank, those with appropriate higher academic degree(s) should have priority over those with lower degrees.
5. Among tenured faculty with comparable rank and degrees, those with greater seniority in rank should normally have priority over those with less seniority.

## Definitions

1. "Program is deleted from the curriculum" means that the Board takes formal action to terminate a degree major, concentration, or other curricular component and that such termination eliminates or reduces need for faculty qualified in that discipline or area of specialization."
2. "Substantive and continued reduction of student enrollment in a field" means that over a period of at least three (3) years student enrollment in a field has decreased at a rate in considerable excess of that of the institution as a whole and that such reduction has resulted in faculty-student ratios that, in the opinion of the president, cannot be warranted either by comparison with equivalent faculty load practices within the university or

# East Tennessee State University

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by comparisons with faculty loads in comparable departments or divisions at similar institutions which the president would deem to be appropriate for comparison."

When a tenured faculty member is to be terminated for curricular reasons, the president will make every possible effort to relocate that faculty member in another existing vacant position for which s/he is qualified. In instances where, in the opinion of the president, relocation within the institution is a viable alternative, the institution has an obligation to make significant effort to relocate the faculty member, including the bearing of reasonable retraining costs. The final decision on relocation is within the discretion of the president.

When relocation within the institution is not possible, or the faculty member involved desires to go elsewhere, every reasonable effort will be made to assist in said relocation.

## Transfer of Tenure

Where a faculty member is tenured in an academic program unit (e.g., a department or division) he/she may be transferred to another academic program unit. In such cases, the transfer will be made with tenure; moreover, the tenure appointment will be transferred to the new academic program unit. In no instance may the faculty member be compelled to relinquish tenure as a condition for effecting the transfer.

## Termination for Adequate Cause

A faculty member with tenure or a faculty member on a tenure-track appointment prior to the end of the term of appointment may be terminated for adequate cause, which includes the following:

1. Incompetence or dishonesty in teaching or research.
2. Willful failure to perform the duties and responsibilities for which the faculty member was employed or refusal or continued failure to comply with the policies of the Board, the university or the department, or to carry out specific assignments, when such policies or assignments are reasonable and non-discriminatory.
3. Conviction of a felony or a crime involving moral turpitude.
4. Improper use of narcotics or intoxicants, which substantially impairs the faculty member's fulfillment of his/her departmental and university duties and responsibilities.
5. Capricious disregard of accepted standards of professional conduct.
6. Falsification of information on an employment application or other information concerning qualifications for a position.
7. Failure to maintain the level of professional excellence and ability demonstrated by other members of the faculty in the department or academic program unit of the university.

Procedures for Termination for Adequate Cause



# East Tennessee State University

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Termination of a faculty member with a tenure appointment or a tenure-track appointment prior to the end of the annual specified term of the appointment, shall be subject to the following procedures:

The proposed termination will be preceded by discussion between the faculty member and appropriate administrative officers in an attempt to reach a mutually agreeable settlement. In the event that a mutually agreeable settlement cannot be achieved the president shall appoint an informal inquiry committee consisting of five tenured faculty members.

Although not mandatory, every attempt shall be made to appoint committee members acceptable to the faculty member concerned. This committee shall attempt to arrange a mutually agreeable settlement between the various parties. Failing in this, the committee shall render a recommendation to the president concerning the desirability of initiating formal dismissal proceedings. This recommendation shall not be binding upon the president.

A dismissal will be preceded by a written statement of reasons, and the faculty member concerned will have the right to be heard by a hearing committee consisting of members of the faculty and administration (and not including any member of the faculty committee referred to in the preceding paragraph). This hearing committee shall consist of seven members appointed jointly by the presidents of the university and the Faculty Senate. The president of the university shall appoint one of the seven to chair the committee. The committee shall, at its first meeting, determine its own rules and procedures not otherwise specified in this document.

Any party to the case has the right to challenge hearing committee members for cause. In the event of such challenges, replacement members will be chosen in the manner specified in the ETSU Faculty Handbook.

Pending a final recommendation by the hearing committee, the faculty member will be suspended or assigned to other duties in lieu of suspension only if the president determines that immediate harm to the faculty member himself or herself or others or significant disruption to any university operation is threatened by continuance. Before suspending a faculty member, pending an ultimate determination of his/her status through the institution's hearing procedures, the administration will consult with the hearing committee concerning the propriety, the length, and the other conditions of the suspension. Suspension is appropriate only pending a hearing. Salary will continue during the period of suspension.

The hearing committee may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties to define and clarify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

Service of notice of hearing, with a statement of the time and place of the hearing and with specific charges in writing, will be made at least twenty (20) days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges or asserts

# East Tennessee State University

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that the charges do not support a finding of adequate cause, the hearing tribunal will evaluate all available evidence and base its recommendation upon the evidence in the record.

During the proceedings the faculty member will be permitted to have an advisor and/or counsel of his or her choice. This advisor or counselor may be present during the hearing but may not participate.

A court reporter will transcribe the hearing or hearings and, at the faculty member's request, a transcript will be made available without cost to the faculty member.

The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the hearing committee in securing witnesses and making available documentary and other evidence.

The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and if possible provide for interrogatories.

In the hearing of charges of incompetence, the testimony may include that of qualified faculty members from East Tennessee State University and other institutions of higher education.

The hearing committee will not be bound by strict rules of legal evidence, and may admit any evidence which is of value in determining the issues involved. The committee will seek to obtain the most reliable evidence available.

Except for such simple announcements as may be required concerning the time of the hearing and similar matters, public statements and publicity about the case by the faculty member, members of the hearing committee, or administrative officers will be avoided until the proceedings have been completed, including consideration by the Board. The president and the faculty member will be notified of the decision in writing and will be given copies of the record of the hearing.

1. If the hearing committee concludes that adequate cause for dismissal has been established by the evidence in the record, the faculty member may appeal that decision to the president within ten days. The hearing committee may recommend to the president, with supporting reasons, that a penalty other than dismissal would be more appropriate. If the hearing committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the president, who may reject the report with a written statement of reasons. Any decision by the president may be appealed to the Board within twenty calendar days of the decision pursuant to the following subsection: If dismissal or other severe sanction is recommended, the president will, on request of the faculty member, transmit to the chancellor the record of the case. The review of the record by the Board or its designee will be based on the

# East Tennessee State University

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record of the committee hearing, and will provide for written argument by the principals or by their representatives. The decision of the president will either be sustained, or the proceeding returned to the president with specific objections. The president will then reconsider, taking into account the stated objections, and return the case to the hearing committee if necessary. The Board or its designee will make a final decision only after study of the president's reconsideration.

2. If the president determines that adequate cause for dismissal, or other lesser sanctions, has not been established the hearing record will be expunged.

05/04/87; 07/91; 05/92; 07/92; 09/96; 07/97 (Effective 1998-99 review cycle); 01/02; TBR 04/02/04; 02/12/09; 10/13/11; 08/01/13

[Back to Top](#)

## Workload, Reporting, and Evaluation for Full-Time Faculty

### Faculty Workload

Faculty appointments are governed by Tennessee Board of Regents Policy No. 5:01:00:00, and TBR Guideline A-052, which address, among other subjects, the length of the work week, holding office hours, and non-instructional assigned time. Although the traditional classification of faculty workload is in terms of teaching, research and service, this simple breakdown does not capture well the complexity of faculty activities in a modern university. Instruction takes many forms; research, scholarship and creative activity are highly dependent on the nature of the discipline; and university, professional and community service and outreach defy uniform classification across disciplines. In many instances, activities can be considered as falling within two or even three of these categories. Determining an appropriate workload for an individual faculty member that will prepare him/her for tenure and/or promotion, and lead him/her to make meaningful contributions to the university requires consideration of each of the above, as well as the particular strengths and interests of that individual within the context of departmental, college and university needs. It is evident that a uniform approach to determining faculty workload across the university, within a college, or even within a department or academic program, will rarely be productive.

### Departmental Workload Policy

Each department or equivalent administrative unit shall develop a faculty workload policy that addresses the university's mission and goals, as well as those of the college, department and, where applicable, the appropriate accrediting or approval body. The policy shall be decided by all departmental faculty to whom it will apply, and it should involve sufficient flexibility that it would allow the department to draw upon each faculty member's unique ability to contribute. Each departmental faculty workload policy shall be approved by the appropriate dean and vice-president. Departmental workload policies shall be reviewed by the departmental faculty at least once every five years and be re-affirmed or revised as

# East Tennessee State University

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appropriate to the department. The departmental workload policy shall be made available to all faculty members within the department to whom it pertains.

The policy shall include a clearly delineated appeals process. Each college shall establish a workload review committee, to which appeals may be addressed; this committee shall make recommendations for resolution to the dean. It is recommended that each department also establish such a committee in order to seek to resolve disputes at the department level.

Individual faculty workloads should be developed by the faculty member and his/her chair working within the guidelines set by the department. The proposed workload should be stated in writing and signed by the faculty member, the chair and the dean. Individual workloads should be set annually for untenured faculty, who receive annual contracts. For tenured faculty, individual workloads should be established for a typical period of three to five years. However, since each faculty member is evaluated annually and new opportunities may become available in the areas of teaching, research/scholarship and/or service, faculty workloads may be subject to review and adjustment as reasonable and necessary. The appropriate time of year to establish individual faculty workloads should be determined at the department level, bearing in mind such matters as deadlines for submission of teaching schedules, periods of service on boards or committees, or grant submission deadlines.

## Workload Review

If a faculty member and his/her chair cannot agree upon an appropriate workload, the faculty member may submit a request for resolution, as outlined in the departmental workload policy appeals process. He/She should submit the request to the departmental review committee, if such a committee has been established. If a departmental committee has not been established, or the faculty member is not satisfied with the response of the departmental committee, he/she should forward the request to the college workload review committee. This committee will make a recommendation to the dean, who will inform the faculty member and the chair of his/her decision. If the faculty member is not satisfied with the dean's decision, he/she may seek guidance from a Faculty Senate Procedural Consultant and, if appropriate, file a complaint or grievance through appropriate channels.

## Workload Limits and Overloads

The agreed upon faculty workload will normally set limits on the expected activities of a faculty member. In rare instances, a faculty member may be asked to assume an additional responsibility, for example, to teach an additional course. In such circumstances the faculty member may qualify for overload pay. All overloads must be documented and agreed to by the faculty member, his/her chair and the dean, and recommended in advance by the Provost and approved by the President. Overload pay should be based on the rate set by the Tennessee Board of Regents.

09/25/79; 03/15/91; 12/11/08

## Faculty Reporting and Evaluation Process

# East Tennessee State University

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East Tennessee State University implements an annual reporting and evaluation process for all tenure-track, tenured, and non-tenurable clinical and research faculty, including department chairs. After each academic year, the faculty member submits a report that includes the following items:

A description and documentation of the teaching, research/creative activities, service activities, and administrative activities in which s/he has engaged for that year, a report of professional development activities for that year and how they have contributed to enhanced effectiveness in the areas of teaching, scholarship, service, or administration, a self-evaluation and a proposed professional development activities for the coming year.

Faculty members throughout the university are expected to submit the required information at the designated time and in the university's standard, designated format. Some departments or colleges may require additional information.

For each faculty member, students will complete Student Assessment of Instruction (SAI) in at two classes during fall and spring semesters, if the faculty member teaches courses for which such assessment is appropriate. Following the completion of the semester, SAI results are reported to the faculty member, as well as to deans and department chairs. Information about teaching effectiveness, including but not limited to the results of Student Assessment of Instruction, is used in annual evaluation of faculty members and in evaluation of applications for tenure and promotion. 1989; 02/18/07

Department chairs and deans use the report of the faculty member's activities, the faculty member's self-evaluation, the results of Student Assessment of Instruction, and other appropriate sources of information to assess each faculty member's professional performance. An important part of the evaluation process, according to Tennessee Board of Regents and ETSU policy, is appraisal of progress toward tenure for individuals on tenure track appointments. Compliance with these policies is accomplished in part by department chair and dean's responses regarding progress toward tenure in the annual evaluation of faculty. Additionally, department chairs and deans should also comment on progress toward promotion when appropriate.

The faculty evaluation process culminates with an individual conference between the department chair and each faculty member or between the department chair and dean. The professional development plan for the coming year will be approved in consultation with the department chair or dean. During the evaluation process, the department chair or dean may add professional development or improvement objective(s). These objectives are to be considered important directions for the faculty member, especially for tenure, promotion, and merit pay considerations. These recommended professional development objectives will be included as part of the faculty member's professional development plan and report for the next academic year.

The department chair forwards the results of her/his evaluation of the faculty member's performance for the year and the results of the department chair/faculty evaluation conference to the college dean. After reviewing the documents and the results of the

# East Tennessee State University

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department chair/faculty conference, the college dean adds her or his assessment of the faculty member's performance with comments or suggestions.

## Evaluation Guidelines

In evaluating the activities of a tenure-track faculty member or one eligible for promotion, the department chair and dean should refer to the discussions of teaching, research/creative activity, and service that appear in the tenure and promotion sections of the ETSU Faculty Handbook and in the department's supplementary criteria for tenure and promotion. In evaluating the activities of a faculty member who has been awarded tenure and promoted to professor or who is otherwise not eligible for tenure or promotion, the department chair and dean should assess the faculty member's continued productivity in teaching, research/creative activity, and service as appropriate to his/her workload assignments and professional development plan.

Upon completion of the post-evaluation conference between a faculty member and department chair, the faculty member may request a meeting with the dean to review the department chair's evaluation and/or may submit additional information for the dean's consideration. Such a request must be made in writing within one week of the completion of the post-evaluation conference. Having reviewed the faculty member's activities report and met with the faculty member and the department chair, the dean will write her or his evaluation of the faculty member's performance.

### Action if a Faculty Member Refuses or Fails to Make Adequate Progress

If a tenured, tenure-track, or non-tenurable clinical or research faculty member, judged to be performing below her or his department or college's professional standards, refuses to engage in self-generated or recommended self-improvement efforts or fails to demonstrate adequate progress on an approved plan, appropriate action will be taken. Actions may include, but are not limited to, implementation of the procedures for termination of tenured faculty as stipulated in the ETSU Faculty Handbook or contract non-renewal.

10/24/96; 02/18/07

[Back to Top](#)

## Workplace Violence Prevention Guideline

Refer to ETSU Personnel Policies and Procedures Manual at:

<http://www.etsu.edu/humanres/relations/PPP58.aspx>

01/26/90; November 3, 1999 - TBR President's Meeting; 12/01; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

# East Tennessee State University

---

# East Tennessee State University

---

## Section 3 Professional Development

[Advanced Degree Study for Full-Time Faculty Members](#)

[Educational Expenses Support for Faculty and Staff](#)

[Faculty Awards: Nomination, Selection, Presentation, and Criteria](#)

[Faculty Development](#)

[Fees and Tuition -- Classification of Employees, Their Spouses and Their Children, and Graduate Assistants](#)

[Instructional Development Grants](#)

[Non-Instructional Assignments](#)

[Presidential Grant-in-Aid](#)

[Research Development Committee Grants](#)

### Advanced Degree Study for Full-Time Faculty Members

Faculty members may be admitted to the School of Graduate Studies through established procedures, or may enroll for graduate coursework on a non-degree seeking basis. Though faculty members are generally ineligible to receive graduate degrees from East Tennessee State University, exceptions to this policy may be granted by the Dean of the Graduate School if graduate study at ETSU will be a special advantage to the University and when graduate study elsewhere is not feasible.

The faculty member will be subject to all policies governing graduate study as specified in the graduate catalog at the time of first enrollment. A faculty member will not retain graduate faculty status while matriculating in a graduate program.

01/91; 11/08; 10/11;

[Back to Top](#)

### Educational Expenses Support for Faculty and Staff

Refer to ETSU Personnel Policies and Procedures Manual at

[http://www.etsu.edu/humanres/relations/PPP13.aspx\\_blank](http://www.etsu.edu/humanres/relations/PPP13.aspx_blank)

TBR G P-130; 08/94; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)



# East Tennessee State University

---

## Faculty Awards: Nominations, Selection, Presentation, and Criteria

Each year, ETSU will recognize outstanding faculty achievement with three awards, one each for teaching, research/scholarship/creative activity, and service. Each college Dean can nominate one candidate for each award from his or her college's faculty. Criteria for each award as well as materials required for the nomination packets are outlined below. These awards are meant to recognize excellence in teaching, service, and research/scholarship/creative activity while employed at ETSU. While each award is intended to highlight excellence in a single area, the nominees are expected to demonstrate contributions in the areas that are not directly related to their award nomination.

### Nominations

During the first week of January, nomination forms for the three awards will be distributed by the Academic Affairs Office to faculty members. Forms will be available to students through the Office of Student Affairs and to Alumni through the Alumni Office. Individual students, individual faculty members, or groups of students and/or faculty members can complete these nominations. Individuals may also nominate themselves if they meet the award criteria.

An outstanding nominee is to be chosen for superior achievement in teaching, research/scholarship/creative activity, or service cited in the nomination statements submitted in the nominee's behalf. The nomination statement should clearly indicate how the nominee has demonstrated outstanding achievement in the area of the award--teaching, research, or service. The statement should also indicate the faculty member's accomplishments in other areas of responsibility. While each award focuses on only one area of faculty achievement, nominees should be faculty who are generally productive, constructive members of the academic community.

A copy of the nomination form will be made available through the Office of Academic Affairs.

The completed nomination forms for all three awards are to be returned to the appropriate Dean no later than Friday of the first week of March. Deans should also notify the appropriate chairs of nominations within each department no later than Friday of the second week of March.

### Selection

Each college dean will select three to five faculty members from his/her college, or use an appropriate existing committee, to serve on a Screening Committee for that individual college. Each College Screening Committee shall seek to identify the outstanding nominees in its college, based on the nomination statements submitted for each award. A college is not required to submit nominations for university awards. In the event that a single outstanding nominee cannot readily be identified for a particular award, the Screening Committee may select more than one nominee, subject to the restriction that the total number of nominees selected shall not be more than one (1) per fifty (50) full-time faculty members in the college. The definition of a full-time faculty member according to current TBR policy will apply here.

# East Tennessee State University

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Each College Screening Committee may submit its outstanding nominees for each category with a composite supporting statement and nomination materials to a campus-wide ad hoc Final Selection Committee through the Provost's office by May 15. This Final Selection Committee is to be chosen by the Provost in consultation with the deans to ensure appropriate representation. Members of College Screening Committees are not eligible to serve on the Final Selection Committee for that year.

The task of the Final Selection Committee is to choose from the outstanding nominees the faculty member to receive each faculty award--teaching, research/scholarship/creative activity, or service. This committee will also submit a composite supporting statement for the nominees, along with the nomination materials.

A list of the nominees will not be released; nomination statements will be kept strictly confidential, and the name of the person chosen to receive each award will be maintained in strict confidence until the awards are presented.

All completed nomination forms will be maintained until the awards have been presented, after which time they will be destroyed. Any materials provided by the faculty nominee(s) will be returned to him/her.

## Presentation

All these awards shall be presented by the Provost at the Annual Faculty Convocation. Each award shall consist of an appropriately inscribed plaque and a monetary award of no less than five thousand dollars (\$5,000).

A faculty member may receive a particular award (teaching, research/scholarship/creative activity, or service) only once, but may receive each of the three awards.

## Faculty Teaching Award Criteria

The award will be given for consistently superior teaching accomplishments.

The nominee must be a full-time, faculty member as defined by current TBR policy in service for at least three (3) full years at ETSU, and only teaching that applies to ETSU students, regardless of the teaching venue, will be considered in making this award. Faculty who have achieved emeritus status no more than one year prior to the nomination are also eligible.

The nominee must have a completed nomination form, at least one letter of support from another faculty member at ETSU, and a letter of support from his/her Dean.

The teaching considered may be either undergraduate or graduate or both.

Documentation should focus on the effectiveness of instruction and multiple sources of evidence.

Areas of documentation may include such things as:

- quality of presentation in classroom or field;

# East Tennessee State University

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- command of subject matter;
- development and use of innovative methods;
- student's achievement;
- ability to motivate students;
- peer evaluation;
- student evaluation;
- current and professional development;
- advising, tutoring, direction of theses and dissertations, and other forms of assisting students;
- textbooks or other published instructional materials indicative of teaching effectiveness;
- design or revision of courses, curricula, and materials;
- management of instructional programs or components;

Unless they are related to teaching effectiveness or pedagogy, copies of the nominee's publications should not be included.

## Faculty Research/Scholarship/Creative Activity Award Criteria

The nominee must be a full-time faculty member as defined by current TBR policy in service for at least three (3) full years at ETSU. Faculty who have achieved emeritus status no more than one year prior to the nomination are also eligible. The work for which the award is given must result in publication(s) or in comparable accomplishment(s) in the arts and will only be considered if it was accomplished while serving as a faculty member at ETSU.

The nominee must have a completed nomination form, at least one letter of support from another faculty member at ETSU, and a letter of support from his/her Dean.

Documentation for this award should include:

- A brief description (approximately 1 page) of the research/scholarship/creative activity in non-technical language;
- Full bibliographic information for publications, presentations, exhibitions, or creative activity that resulted from the work;
- If applicable, copies of all publications stemming from ETSU that apply to the work;
- Information for all grants and contracts that apply to the work;
- If available, communications from experts in the field who have reviewed the work.

## Faculty Service Award Criteria

The award will be given for distinguished service accomplishments achieved during a substantial period prior to the award.

The nominee must be a full-time, faculty member as defined by current TBR policy in service for at least three (3) full years at ETSU, and only service while employed at ETSU will be considered in making this award. Faculty who have achieved emeritus status no more than one year prior to the nomination are also eligible. The nominee must have a completed

# East Tennessee State University

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nomination form, at least one letter of support from another faculty member at ETSU, and a letter of support from his/her Dean.

The service considered may have been provided to department, college, institution, professional organizations, community organizations, or the general public or a combination of these.

Service for which the faculty member received compensation will not be considered in making this award. (Expenses and modest honoraria are not considered compensation.)

Documentation should focus on the nature of the faculty member's contribution, its quality, its impact, its relation to the general welfare of the university, and its effect on the university community. The types of documentation for this award are expected to vary greatly, but they must adhere to the criteria below in regards to the amount of documentation allowed.

## Guidelines for Faculty Award Nominations

Materials for award nominations should be limited to a 1.5 inch 3-ring binder. Publications applicable to the Research/Scholarship/Creative Activity Award nominees can be in addition to the binder. Materials within the binder should be well tabulated and logically organized to facilitate the work of the college-level and the Final Selection Committee. The binder should include the original nomination form, the nominee's vita, at least one letter of support from a fellow faculty member at ETSU, a support letter from the nominee's Dean, and any additional supporting material specific to the award.

Nominees and college-level Selection Committees are expected to use discretion with regards to the content of the nomination packets. Packets should include only material relevant to the award criteria. Examples of materials that are typically non-essential and should be excluded from the packet are as follows:

1. Conference program booklets;
2. Student evaluation forms;
3. Committee meeting announcements, agendas, minutes, etc.,
4. Thank you letters from the nominee;
5. Copies of anything that can be equally accounted for in vita;
6. Extra title pages.

Colleges should consider re-nominating worthy candidates, even though they have not been chosen before.

Colleges should adopt specific policies and procedures for submitting nominations for University Faculty Awards.

01/94; 08/96; 2/05; 11/09

[Back to Top](#)

## Faculty Development

# East Tennessee State University

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The Tennessee Board of Regents recognizes the need for the continued professional growth and development of all faculty at East Tennessee State University.

Link to TBR policy on faculty development (5-01-02-05):

<http://www.tbr.edu/policies/default.aspx?id=1466&terms=faculty%20development> \_blank

The continued professional growth and development of faculty is necessary for institutions of higher education to continue to provide educational programs that: (a) include all new developments and knowledge in academic disciplines; (b) reflect new instructional, research, and public service techniques and strategies; and (c) meet the changing needs and expectations of students. While all faculty are responsible for their own continued professional development, it is essential that the Board of Regents and the University provide planned, organized faculty development programs to encourage professional growth in accordance with their missions and goals. Pursuant to the foregoing considerations, the University hereby sets forth the following minimum guidelines concerning faculty development:

The University implements on an annual basis a structured, coordinated program for faculty development. The program is designed to achieve predetermined institutional objectives and utilizes an appropriate variety of activities including, but not limited to, the following:

Systematic evaluation of instruction by students, faculty, and appropriate administrators to provide bases for planning means of increasing the effectiveness of the instructional program.

Encouragement of innovation and improvement of instruction by a recognition system, i.e., outstanding faculty awards.

Effective use of grants-in-aid and scholarships pursuant to Board of Regents Policy No. 5:01:04:00.

Provision of financial support through grant awards and other means for research, scholarly and creative activity, and professional service, and for faculty participation in major activities of their respective professional associations.

Sponsorships of local forums, lectures, and workshops on scholarly developments and activities.

04/19/89; 10/11;

[Back to Top](#)

## Fees and Tuition -- Classification of Employees, Their Spouses and Children, and Graduate Assistants

# East Tennessee State University

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Classification of Employees, spouses and children, and graduate assistants for purposes of fees and tuition may be found in TBR Policy 5-01=04-10 at:

[http://www.tbr.edu/policies/default.aspx?id=1454\\_blank](http://www.tbr.edu/policies/default.aspx?id=1454_blank)

Effective 10/11, policy changes will appear on the webpage cited

[Back to Top](#)

## Instructional Development Grants

Instructional Development Grants for faculty instructional improvement and innovation are funded annually in the East Tennessee State University budget. The Instructional Development Grants are administered by an ad hoc Committee composed of representatives from each college/school and the Faculty Senate. The representatives are nominated by the college/school dean and Faculty Senate president. The committee chair will be elected annually from its membership; the chair may be re-elected. The committee is responsible for reviewing applications and for making recommendations to the Provost.

## Policy

The purpose of the instructional development program is to provide funding for special activities and projects directly related to improving instruction and curriculum. Funds may be allocated for released time, educational resources, and travel that may be necessary in support of activities undertaken to improve individual instructional activities, departmental instruction, or curriculum development. Grants are intended to support the development of new and innovative approaches that will not only stimulate faculty to develop new teaching methods and curricula, but will also enhance student learning. Upon completion of an activity or project, the faculty member will provide a written summary of what has been achieved and, where appropriate, results will be shared with departmental or college/school faculty.

Application forms for instructional development grants are available online at:

<http://www.etsu.edu/senate/facultyhandbook/forms.aspx>

Requests for funding should be directed to the Chair of the Instructional Development Committee, following the instructions communicated electronically in the fall semester to all faculty. All requests for funding must be supported by appropriate department chair and dean. The Chair of the Instructional Development Committee will forward to the Office of the Provost the instructional development proposals that they have recommended for funding. A description of all instructional improvement grants awarded will be distributed each year so that other faculty members at the University may also be aware of creative steps to improve instruction.

## Eligibility

# East Tennessee State University

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Full-time, tenured, tenure-track, clinical and research faculty, and lecturers at East Tennessee State University are eligible to apply for Instructional Development Grants. Temporary or part-time faculty are not eligible, nor are graduate assistants. Should an individual recipient of an Instructional Development Grant leave the university or no longer be employed by ETSU during the term of the grant, the grant funding will be forfeited.

## Number of Grants

While the number and size of the instructional development grants will depend on the overall funding available each year, no upper limit has been established. It is expected, however, that individual grants will not normally exceed \$5,000. It is also recognized that instructional development grants may be supplemented by resources within schools and colleges, and such supplemental support is strongly encouraged.

## Selection Criteria

The committee weighs teaching innovations more highly than requests for equipment. In judging the merits of a proposal, the following criteria will be used:

1. Clear rationale for project, including a well-defined set of objectives
2. Originality and creativity of the proposal
3. Number of students who would benefit from the project
4. Applicability of project to courses or departments beyond those in which the project will occur
5. Clearly defined protocol for assessing outcomes of the project
6. Feasible calendar for implementing and assessing the project, including specific target date for completion.

## Grant Periods/Deadlines/Other Information

Proposals should be submitted to the Chair of the Instructional Development Committee according to disseminated instructions no later than the date indicated. Grants will be made by May 15th of each year and will ordinarily run from July 1 through June 30 of the next fiscal year. Award recipients must submit final reports to the Office of the Provost by September 30 of the year following grant award. Failure to submit the report will result in ineligibility to receive subsequent Instructional Development Grants.

Projects may be completed in a shorter time period or, under special circumstances, be granted an extension without any additional cost. While faculty members may receive more than one instructional development grant, they will not be eligible for two consecutive years. It is expected that a faculty member receiving an instructional development grant will communicate regularly with the department chair/dean concerning the progress of the project. Instructional development funds should not be used to purchase materials or services that are already available at ETSU or normally provided by departments. Any materials and items of equipment that can be used by the grantee's department will become the property of the department when the project terminates. Computers (monitors, CPUs, or printers) are not funded and faculty stipends receive a low priority. Other electronic

# East Tennessee State University

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equipment necessary to complete the project is acceptable although innovative methods and activities define preferable consideration.

10/28/92; 05/24/01; 10/11; 2/20/14

[Back to Top](#)

## Non-Instructional Assignments

### Purposes

The purposes of Faculty Non-Instructional Assignment include: enhance scholarship and the academic excellence of the University; contribute to the professional growth and renewal of the faculty; and strengthen the University's total curriculum and to improve teaching across the University in ways that cannot be accomplished under the constraints of regular workload assignments.

### Eligibility

To be eligible for a faculty non-instructional assignment, an applicant must:

1. Be a tenured member of the full-time teaching faculty, including department chairs;
2. Have completed five (5) years in a professorial appointment at East Tennessee State University;
3. Demonstrate significant scholarly or creative performance in the faculty member's discipline.

### Application Procedures

Application forms for non-instructional assignments are available online at:

<http://www.etsu.edu/senate/facultyhandbook/forms.aspx>

Applications must be submitted by the first Tuesday in December for the following fall semester, the first Tuesday in June for the following spring semester, and shall include the following:

1. A statement of goals and objectives compatible with the statement of purposes for the program;
2. Anticipated schedule of progress during the assignment;
3. A resume of the applicant's professional career, and
4. If applicable, proof of acceptance by cooperating universities, approval by granting agencies, etc.

### Proposal Design

Each applicant is free to design and describe the proposal to best suit the field of study. An application cover page (for signatures of the chair and dean) is required. The department of



# East Tennessee State University

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the applicant will provide a plan for instructional replacement with commitment by the Vice President for Academic Affairs for such funds as necessary.

## Proposal Evaluation and Recommendation

College/school faculty committees will evaluate non-instructional assignment proposals and advise the dean as to which should be recommended for approval. The dean will then recommend to the Vice President for Academic Affairs or Vice President for Health Affairs.

## Completion of Assignment/Final Report

Upon completion of the assignment, each participant will submit a written report of the assignment activity to the President and forward copies to the Vice President for Academic Affairs or Vice President for Health Affairs, the appropriate dean, and to the chair. The report should include:

1. A statement indicating the degree to which the objectives of the proposal were accomplished; and
2. Evidence of work in progress or completed.

## Sharing Benefits of Assignment

The faculty member will share the benefits of the non-instructional assignment with the University community through his/her participation in an appropriate forum on campus.

## Regulations Regarding Pay and Benefits

The faculty member must comply with University regulations requiring a minimum of one semester of service for each semester of full-time non-instructional assignment. Non-instructional assignments shall be for one semester at full pay or an academic year at one-half pay. Full benefits will be continued for a faculty member who is pursuing a non-instructional assignment for the duration of the assignment.

## Published Materials

Published materials or performances resulting from the assignment shall include acknowledgment of East Tennessee State University in the article, book, or public announcement of performance.

## Reapplication

Eligible faculty members who are interested in applying should note the guidelines stated above for preparing the applications and the application dates. A recipient may apply again seven (7) years after completion of the previous non-instructional assignment.

## College of Medicine Faculty Participation

# East Tennessee State University

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Faculty in the College of Medicine may participate in the University's "Non-Instructional Assignment" opportunity. However, due to the nature of the workload assignments in the College of Medicine, including twelve-month assignments, each request will be considered on its individual merits in a review that includes the Dean of the College of Medicine, the faculty member making application, and the faculty member's departmental chair.

Applications should be submitted to the Departmental Chair in the College of Medicine by the first Tuesday in December for the following fall semester or the first Tuesday in June for the following spring semester. Requests for non-instructional assigned time during summer months will be considered with those for the subsequent fall semester and should be submitted by the first Tuesday in December.

This policy is in accord with TBR Guideline A-052 found at:

<http://www.tbr.edu/policies/default.aspx?id=1668>

12/11/89; 07/90; 9/92; 01/93

[Back to Top](#)

## Presidential Grant-in-Aid

The Presidential Grants-in-Aid for faculty development are funded annually in the East Tennessee State University budget. These funds are in lieu of external funding and in addition to resources in departments or other sources in the University. The Presidential Grants-in-Aid are administered by an Ad Hoc Committee composed of representatives from each college/school. The representatives are nominated by the college/school dean. The committee chair is appointed by the Vice President for Academic Affairs. The committee is responsible for reviewing applications and for making recommendations for awards to the Vice President for Academic Affairs.

## Policy

The Presidential Grants-in-Aid may be awarded for planned programs of faculty development that enhance teaching, research development, or service. The awards may include funding for either credit or non-credit activities for continuing development in the applicant's current discipline, preparation in a new area or discipline, or study leading to a degree. Individual faculty applications for a Presidential Grant -in-Aid will be given the highest priority. Full-time, tenured, tenure-track, clinical and research faculty, and lecturers are eligible to apply for an individual grant-in-aid. The maximum funding for an individual award is \$5,000.

A department, school/college, or an interdisciplinary group may apply for an award to provide development activities of value to a number of faculty. However, group awards will be considered as an exception and must be carefully designed in detail. The application will require special scrutiny and special approval. Recipients of individual awards and the applicant for a group award must agree to submit a brief written report to the Presidential Grant -in-Aid Committee following completion of the activity.

## General Information

# East Tennessee State University

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The criteria used by the committee will include the merit of the activity for enhancement of teaching, research development, or service activities. The committee will rate submitted proposals and funding will be based upon the scores received. There are no restrictions on the number of awards an individual or faculty group (school/college, department, etc.) may receive over the years. However, if funds are not available to meet all requests, and all other factors are equal, preference will be given to those who have not received awards previously. Some types of activities will not be funded or will receive low priority. Applications to attend courses, training programs, seminars, etc. of short duration (e.g. 1-2 days) that require high costs of travel, per diem and registration fees, will receive low priority for funding. Research proposals will not be funded; however, preparation to conduct research may receive positive consideration. Funding to attend professional meetings or to present papers should be requested from department resources. On occasions where development activities occur in conjunction with professional meetings, partial funding may be approved.

## Procedure for Submitting Applications

Complete the Presidential Grant-in-Aid form, available online in Microsoft Word format from the link below, and email as noted:

<http://www.etsu.edu/senate/facultyhandbook/forms.aspx>

Supporting material should be provided as a link in the document, an inserted image, or a separate scanned file. Applicant, chair, and Dean signatures are not required at the time of submission but will be needed before funds are released. However, the applicant may solicit positive comments from the Chair or Dean prior to review by the Committee.

## Grant Administration Procedures

Following are the deadline months and the activity period for the deadlines. A specific deadline date within these months will be determined by the Committee Chair and distributed as a reminder to all faculty through the e-mail system.

May, for activity period July – September

September, for activity period October – December

November, for activity period January – March

February, for activity period April – June

## Funding Procedures

All awards will be made through existing ETSU processes (e.g., travel, supplies, honorarium, etc.) Awards normally must be expended or, where permitted, encumbered by the end of the fiscal year (June 30). If an activity extends into a new fiscal year, the applicant(s) must divide the proposed budget to show which expenditures will fall into each fiscal year.

03/23/88; 11/19/01; 01/25/0; 11/05

# East Tennessee State University

---

[Back to Top](#)

## Research Development Committee Grants

The Research Development Committee of East Tennessee State University serves as an advisory body to the Vice Provost for Research and Sponsored Programs. The Research Development Committee is also responsible for distribution of Research Development Committee Funds following the guidelines provided below. The budget of the Research Development Committee provides funds for assistance to faculty members in support of individual research projects. These funds are in addition to departmental and college/school resources, including the award of released time.

### Policy

Research Development Committee research funds are administered by the Office of Research and Sponsored Programs on behalf of the Research Development Committee.

The Office of Research and Sponsored Programs also provides administrative support services to the Committee. The Committee approves budgetary allocation of the funds available for the year, evaluates applications for grants, and approves those to be supported.

Three types of financial assistance are available from the Research Development Committee: Major, Small and Interdisciplinary Grants.

### Major Research Grant (up to \$10,000)

Major Grants support research and scholarship costs as student assistants, supplies and equipment, travel necessary to engage in research, development of collaborations and released time. Specific guidelines for the use of the funds are updated and posted each year. Applications are submitted once per year and reviewed by the Research Development Committee members and ad hoc reviewers. Grants are approved on the bases of merit and of priority of the individual proposal and appropriate justification of specific needs to carry out the research. Grants are made for the university fiscal year.

1. **Summer Research Stipends.** A request for a summer stipend may be included in an application for a research grant. The amount of the stipend for the summer research grant will be equivalent to the teaching of one three-hour course during the summer, up to a maximum of \$2500. During the entire summer term, the recipient of a summer research stipend will not be permitted to teach more than one course or a maximum of four semester hours. The total amount of other summer salary support (e.g., from an extramural grant) must follow the Tennessee Board of Regents policy (TBR Policy 5:02:04:10) concerning total compensation permitted for academic year appointees during the summer.
2. **Research Graduate Assistants.** The funding of a graduate assistant may be included in an application for a research grant. The graduate assistant will receive the approved stipend rate for the academic year during which the appointment is held. Such support is to be included in the total budget of a research grant and money to pay the in-state maintenance fee (i.e., tuition) must be included.

# East Tennessee State University

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## Small Grants (\$1,500 maximum)

Small Grants may be requested up to a maximum of \$1,500 to support modest costs of research, such as supplies, chemicals, travel to libraries and travel for the purpose of data collection. Small Grant funds may also be used to defray journal article publication costs and purchase of reprints for pre-tenured faculty. Applications for small grants may be made at any time during the year until funds are exhausted; however, awards must be spent by the end of the current fiscal year (see below). The Research Development Committee uses a rapid review process to make timely decisions on these applications.

## Interdisciplinary Grants (\$50,000 maximum)

Interdisciplinary Grants may be requested up to a maximum of \$50,000 to support the costs of developing interdisciplinary research interactions among ETSU faculty. The funds may be used in the same manner as those for Major Grants (see above), and may include equipment purchases as well. Applications are submitted once per year and reviewed by the Research Development Committee members and ad hoc reviewers. Grants are approved on the bases of merit of the individual proposal and appropriate justification of specific needs to carry out the research. Grants are made for the university fiscal year.

## Cut-off Dates

All funds must be expended by the end of the university fiscal year, currently June 30, of the year for which the award is made. The chairperson of the Research Development Committee will establish appropriate cut-off dates prior to June 30th for the initiation of grant expenditures.

## Eligibility

Any tenured, tenure-track, or full-time employee of the University who holds faculty rank is eligible apply for funding from the Research Development Committee. However, in the case of individuals on renewable yearly contracts the department employing the individual must guarantee that if the award is made, the recipient will be in the employ of the University during the time period in which the grant is in effect. Students of the University are ineligible.

The Committee will not award a Major Research Grant to the same individual two years in a row, and no more than two Major Research Grants to the same individual in any five-year period. In a single funding cycle, an individual may submit no more than one Major Research Grant application as Principal Investigator and no more than one as Co-Investigator.

An individual may only be funded on one Small Grant during any fiscal year.

There are no limitations on participation in Interdisciplinary Grants.

## Priority Funding

The Research Development Committee will consider applications from all eligible faculty members; however, priority will be given to those applicants who meet the following criteria:

# East Tennessee State University

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1. new researchers;
2. researchers at all levels for whom an RDC grant will enable completion of preliminary work that will help the researcher become competitive for external funding;
3. experienced researchers in need of additional funding to sustain a research project pending receipt of external funds or whose track record is such to suggest a high likelihood of successful results;
4. experienced researchers entering new research fields; and
5. researchers for whom external funding realistically is not available.

Faculty members who have some external funding are not automatically precluded from receiving a Major Research award from the Research Development Committee if the project is not the same project as that receiving external support and the researcher is a new faculty member or an experienced investigator in process of changing direction in their research or scholarly activity. However, Major Research Grants may not be used to duplicate existing extramural support. Additionally, the applicant must inform the Research Development Committee if he/she is submitting a proposal to an external funding source requesting support for the same project described in the application to the Research Development Committee. In the event that the award is made by the external agency before the Research Development Committee grant begins the money will be returned to the Committee for assignment to another applicant. If the external award is made after Research Development Committee funding has begun the disposition of the remaining funds will be determined by the Chair of the Committee and the Vice-Provost for Research and Sponsored Programs after discussion with the Researcher.

## Review Criteria and Rating

### Major Grant Review Criteria

Major Grant Reviewers will rank applications based on both Priority and Merit criteria.

### Major Grant Review Priority Criteria

- New researchers
- Researchers at all levels for whom an RDC grant will enable completion of preliminary work that will help the researcher become competitive for external funding
- Experienced researchers in need of additional funding to sustain a research project pending receipt of external funds or whose track record is as such to suggest a high likelihood of successful results
- Experienced researchers entering new research fields
- Researchers for whom external funding realistically is not available

### Major Grant Review Merit Criteria

- The description of the research is detailed enough to permit adequate evaluation.
- The research problem is of sufficient importance, significance, and originality.
- The problem is not more complex than stated.
- The specific aims are measurable.
- The project is likely to produce new and useful information.

# East Tennessee State University

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- The methodology is adequate and appropriate to the research.
- The overall design of the research or scholarly activity has been carefully thought out.
- The investigator appears to be familiar with pertinent literature and methodology.
- If a scientific investigation, the proposed research is based on a sound hypothesis that rests on sufficient evidence.
- The proposed budget is reasonable and sufficiently justified.
- There is a good possibility of external sponsored support.

## Major Grant Review Summary Ratings

Each application is given a score for Priority and for Merit according to the descriptions above. The following table shows how scores should be assigned, with final decisions to be made by the individual reviewers prior to the formal meeting of the review group.

Score	Priority Descriptors	Merit Descriptors
1	New Researchers	Exceptional
2	Outstanding	
3	Research enabling preliminary work increasing competitions for external funds	Excellent
4	Very Good	
5	Experienced researchers needing bridge funds or previous successful track record	Good
6	Satisfactory	
7	Experienced researchers entering new research fields	Fair
8	Marginal	
9	All other researchers	Poor

The final score for the proposal is determined by the reviewer based on these two scores. The final score is typically, but does not have to be, the average of the two scores. Each reviewer's final score will be discussed at a reviewer group meeting. Changes in scores will

# East Tennessee State University

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be made as desired after discussion, and then all members of the review group will record their scores to be used in calculating a Summary Score.

After all review groups have completed scoring, all the Major Grant scores are combined and normalized for determining the pay line. Final authorization of the pay line is made by vote at the annual Spring meeting of the RDC membership, including ad hoc reviewers, using blinded grant information.

## Small Grant Review Criteria

Small Grants are reviewed and awarded based on merits and justification of specific needs to carry out the specific research that advances the stature of the university. Additionally, review includes consideration as to whether the proposal will increase the likelihood of extramural funding flowing into the university; “leveraging” of funds is a critical aspect of the review. Reviewers are given wide latitude in the personal determination of these criteria for each small grant. Scoring is made as either Acceptable or Not Acceptable by each reviewer.

Final determination is based on the majority of reviewer scores.

## Interdisciplinary Grant Review Criteria

Interdisciplinary Grants are awarded on the basis of the individual proposal and appropriate justification of specific needs to carry out the seed grant research or the interdisciplinary symposium, according to the following criteria:

- The research is interdisciplinary.
- The project establishes cooperative and interdisciplinary research programs at ETSU.
- The description of the research is detailed enough to permit adequate evaluation.
- The research problem is of sufficient importance, significance and originality.
- The problem is not more complex than stated.
- The specific aims are measurable.
- The project is likely to produce new and useful information.
- The methodology is adequate and appropriate to the research.
- The overall design of the research or scholarly activity has been carefully thought out.
- The investigator appears to be familiar with the pertinent literature and methodologies proposed.
- If a scientific investigation, the proposed research is based on a sound hypothesis that rests on sufficient evidence.
- There is a good possibility of external sponsored support.

## Interdisciplinary Grant Review Ratings

Each application is scored for Merit according to the descriptions above. The following table shows how scores should be assigned, with final decisions to be made by the individual reviewers prior to the formal meeting of the review group.

Score	Rating Descriptor
1	Exceptional



# East Tennessee State University

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2	Outstanding
3	Excellent
4	Very Good
5	Good
6	Satisfactory
7	Fair
8	Marginal
9	Poor

The final score for the proposal is determined by the reviewer based on these descriptors.

Each reviewer's final score will be discussed at a reviewer group meeting. Changes in scores will be made as desired after discussion, and then all members of the review group will record their scores to be used in calculating a Summary Score.

After all review groups have completed scoring, all the Interdisciplinary Grant scores are combined and normalized for determining the pay line. Final authorization of the pay line is made by vote at the annual Spring meeting of the RDC membership, including ad hoc reviewers, using blinded grant information.

## Exclusions

Grants from the Research Development Committee may not be used for support in obtaining advanced degrees, the research for or preparation of theses or dissertations, the publication of thesis or dissertations, or any other use specifically mentioned in the current pertinent Guidelines.

## Submission Procedures

Application forms for Research Development Grants may be obtained in electronic format from the Office of Research and Sponsored Programs or online via the Research Development committee website. The Research Development Committee will establish and publish deadlines for a single funding competition for Major and Interdisciplinary Grants, typically at the end of February. For all grants, the completed application must be routed through the appropriate chair and dean, or supervisor and director, then submitted to the Office of Research and Sponsored Programs. The application must be signed by all these individuals before it will be considered for review.

Although a proposal may be submitted to the RDC before approval is received, research projects involving special approvals for human subjects, animals, hazardous materials or other items listed in the Guidelines must be approved by the appropriate University committee before the funds are released and the project can begin.

# East Tennessee State University

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## Major Grants

For Major Grants, one (1) paper copy of the signed application and the electronic version of the Grant must be submitted to the Office of Research and Sponsored Programs by the published deadlines (date and time) for distribution to the Research Development Committee. Applications submitted after the published deadline will be returned to the applicant.

## Small Grants

Applications for Small Grants are accepted at anytime during the year until funds dedicated for support of this program are exhausted. One (1) paper copy of the signed application and the electronic version of the Grant must be forwarded to the Office of Research and Sponsored Programs for distribution to the Small Grant Review Subcommittee of the Research Development Committee.

## Interdisciplinary Grants

For Interdisciplinary Grants, one (1) paper copy of the signed application and the electronic version of the Grant must be submitted to the Office of Research and Sponsored Programs by the published deadlines (date and time) for distribution to the Research Development Committee. Applications submitted after the published deadline will be returned to the applicant.

## University Expectations

The Research Development Committee makes awards to support research with the following understandings:

Research grants are awarded for the purpose of conducting professional academic research.

Acceptance of the award signifies the intent of the employee to continue at the University for the following academic year. Recipients of awards must sign the acceptance form before an account is established and expenditures can be made.

The University exercises no direction or supervision over the details of the research to be performed, but it does require adherence to the original objectives and purposes of the research and adherence to the established policies of the University.

Each recipient of an award must report to the Committee upon completion of the project or the grant period as to the final expenditure of funds, the results of the research, and proposed or resulting publications. The report must be submitted to the Office of Research and Sponsored Programs using the electronic forms available on the Research Development Committee website no later than 180 days after the termination date of the grant. No person shall be eligible for consideration for a Research Development Committee award unless final reports from previously funded projects have been filed and approved by the Committee.

Each publication resulting from a research grant must carry an acknowledgment that the research was supported by the East Tennessee State University Research Development

# East Tennessee State University

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Committee. Each recipient of a Grant is required to provide one copy of any resulting papers or publications to the Office of Research and Sponsored Programs and one copy to the University Library.

Recipients of a summer stipend will devote a large part of the summer period to the research proposed in the grant. No other substantial effort, such as teaching more than one course or the equivalent in sponsored program activity, will be permitted. Persons employed under a twelve-month contract will not receive a stipend in addition to their regular salary.

If a patentable invention or copyrightable material results from grant support, the Principal Investigator must follow procedures described in the East Tennessee State University Policy on Patents and Copyrights.

## Grant Administration Procedures

Following notification of award, the Principal Investigator will be contacted by the Office of Research and Sponsored Programs to discuss and finalize the project budget. The Office of Research and Sponsored Programs will request an account number on behalf of the Principal Investigator, and provide the Principal Investigator with this number, a copy of the final budget, and the Research Development Committee expenditure guidelines. The Principal Investigator is expected to carry out the research project as specified in the proposal, and to administer the account in accordance with established University fiscal procedures and regulations. Payment of any overdrafts on Research Development Committee accounts will become the responsibility of the Principal Investigator's department.

Any changes in the budget for the project must be approved by the chair of the Research Development Committee and the Vice Provost for Research. Requests for such adjustments must be made in writing.

Grant funds must be expended or, where permitted, encumbered by the end of the university fiscal year. The Principal Investigator is responsible for meeting this deadline and for not exceeding the budget allocated in the grant. If expenditures exceed the amount granted the Principal Investigator's department will be responsible for provision of funds to cover the overdraft.

01/05/89; 10/17/96; 08/04/11; 10/11;

[Back to Top](#)

# East Tennessee State University

---

## Section 4 Compensation

[Extra Compensation](#)

[Outside Employment](#)

[Part-Time Instruction](#)

[Travel](#)

[Uncompensated Adjunct Faculty](#)

[Winter/Summer/Intersession Faculty](#)

### Extra Compensation

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP07.aspx>

In all cases of outside employment not covered by this document, the President of the University shall be notified of employment in accordance with Board of Regents Policy No. 5:01:05:00, "Policy on Outside Employment."

09/08/80; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

### Outside Employment

Refer to ETSU Personnel Policies and Procedures Manual at

<http://www.etsu.edu/humanres/relations/PPP07.aspx>

In all cases of outside employment not covered by this document, the President of the University shall be notified of employment in accordance with Board of Regents Policy No. 5:01:05:00, "Policy on Outside Employment."

09/08/80; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

### Part-Time Instruction

Refer to TBR Personnel Guidelines at:

<http://www.tbr.edu/policies/default.aspx?id=1752>

Effective 10/11, policy changes will appear on the webpage cited [Back to Top](#)

### Travel

# East Tennessee State University

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Refer to ETSU Financial Procedures Manuel at

[http://www.etsu.edu/fa/fs/finpro/FP-7\\_Travel.aspx](http://www.etsu.edu/fa/fs/finpro/FP-7_Travel.aspx)

04/01/87; 05/10/01; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

## Uncompensated Adjunct Faculty

The purpose of this policy is to define uncompensated adjunct faculty and provide a process for the appointment of individuals to this position at East Tennessee State University.

### Definition

According to Tennessee Board of Regents Policy No. 5:02:01:00, adjunct faculty are defined as "professional staff members of businesses, industries and other agencies and organizations who are appointed by institutions and schools on a part-time basis to carry out instructional, research or public service functions." In addition, the title "adjunct faculty" may be given to administrators and others within the University who provide part-time instructional, research, or public service functions to an academic department in which they do not hold faculty rank.

### Title

Academic rank is an element of faculty status, and shall be limited to the regular, full-time personnel of the institution (TBR Policy No. 5:02:01:00); therefore, the title "Adjunct Faculty" without rank designation will be used for all individuals in this affiliated status.

### Privileges

While uncompensated adjunct faculty provide service to the University without monetary remuneration, they are eligible for certain faculty privileges during the term of appointment.

These may include the option to purchase an ETSU Recreational Pass ([http://www.etsu.edu/students/campusrec/membership.aspx\\_blank](http://www.etsu.edu/students/campusrec/membership.aspx_blank)), the option to buy a faculty/staff parking decal ([http://www.etsu.edu/fa/fs/parking/\\_blank](http://www.etsu.edu/fa/fs/parking/_blank)), and faculty discounts to athletic events (<http://www.etsubucs.com/tickets/TixMain/>). Adjunct faculty also qualify for a library courtesy card.

### Term of Appointment

Adjunct appointments are normally made for two academic years and are renewable upon review at the end of the appointed term.

Appointment Procedures

# East Tennessee State University

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Adjunct faculty appointments are made by the president of the University upon the recommendation of the department chair and academic dean, and the endorsement of the appropriate vice president.

1. The academic chair initiates the appointment by completion of the Uncompensated Adjunct Faculty Appointment Form which provides data on the candidate's credentials and a statement of the reason for the appointment, i.e. what will be the function of the adjunct faculty member-clinical instruction, periodic or part-time instruction, and public service. A copy of the form is available online at: [http://www.etsu.edu/humanres/forms.aspx#2\\_blank](http://www.etsu.edu/humanres/forms.aspx#2_blank).
2. The term of appointment will be noted on the form.
3. A complete curriculum vitae for all adjunct faculty nominees will be kept on file in the dean's office.
4. The completed appointment form is forwarded to the appropriate academic dean and to the appropriate vice president for review and approval.
5. Appointments will be made once each year; therefore, completed forms should be forwarded to the president for approval no later than July 1 preceding the academic year of appointment.

## Letter of Appointment

Upon the recommendation of the appropriate vice president the Office of Human Resources will prepare, for the President's signature, a letter of appointment indicating the department to which the appointment is made, the term of appointment, the title, and a request for a letter of acceptance of the appointment.

## Notification of Appointment

A copy of the President's letter of appointment will be forwarded to the appropriate vice president and to the academic dean. Copies of the candidate's letter of acceptance will also be forwarded to the appropriate vice president and dean upon receipt in the president's office.

## Exceptions

Exceptions to the policy can be made upon the recommendation of the appropriate vice president and upon approval by the President.

08/18/86

[Back to Top](#)

## Winter/Summer/Intersession Faculty

Refer to TBR Policy 5:02:04:10 at:

[http://www.tbr.edu/policies/default.aspx?id=1488\\_blank](http://www.tbr.edu/policies/default.aspx?id=1488_blank)

# East Tennessee State University

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ETSU's Winter Session is under pilot in the 2011-12 academic year and inclusion in policy will be addressed.

04/18/90; TBR Meetings: March 4, 1977; March 17, 1989; March 16, 1990; October 2, 1998; Effective 03/06, policy changes will appear on the webpage cited

[Back to Top](#)

# East Tennessee State University

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## Section 5 Grades & Other Matters Related to Students

### Academic and Other Policies Pertaining to Student Matters

For academic and other policies pertaining to students, refer to the appropriate link below:

Gatton College of Pharmacy Student Handbook at:

<http://www.etsupharmacy.com/currentstudents/handbook>

Quillen College of Medicine Student Policies and Procedures at:

[http://www.etsu.edu/com/sa/admissions/collegeinfo/Catalog\\_2012-20130313.pdf#page=59](http://www.etsu.edu/com/sa/admissions/collegeinfo/Catalog_2012-20130313.pdf#page=59)

Graduate Catalog at:

<http://catalog.etsu.edu/content.php?catoid=10&navoid=477>

Undergraduate Catalog at:

<http://catalog.etsu.edu/content.php?catoid=9&navoid=431>



# East Tennessee State University

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## Section 6 Curriculum

[Course Credit](#)

[Curriculum Proposals](#)

[Electronic Course](#)

[Experimental Courses](#)

[SACS COC Substantive Changes](#)

[Study Aboard Courses](#)

[Summer and Winter Sessions](#)

[Textbook Policies](#)

### Course Credit

#### Purpose

East Tennessee State University determines credit awards for its courses and programs based on the professional judgment of its faculty in applying accepted practices in higher education and in alignment with its mission. Faculty, department chairs, deans, the Undergraduate Curriculum Committee, the Graduate Council, and the Academic Council are responsible for the implementation of the policy. The Vice Provost for Academic Affairs oversees the implementation and determines the effectiveness of the policy and procedures as part of the university's planning and institutional effectiveness (PIE) process. If needed, revisions of the policy or procedures would be developed by an Academic Council ad hoc committee and approved or amended by the Council.

The purpose of this document is to define credit, the criteria for determining credit, process for determining credit, and external confirmation. The U.S. Department of Education Regulatory Language is included. Note that ETSU prefers not to use "hour" in its policy as it places emphasis on learning outcomes not time.

This policy and procedures are approved by the East Tennessee State University Academic Council and published in the Faculty Handbook, Chairs Handbook, and Curriculum Process System. Compliance with the policy is assured. All course and program credit awards are documented electronically on the Curriculum Process System by the various proposal approvers.

#### Definition

A semester credit is a unit of educational accomplishment represented by learning outcomes.

#### Criteria for Determining Credit for Courses

# East Tennessee State University

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Faculty and review committees determine the quantity of credits for a course in accordance with commonly accepted practice in higher education. Institutionally established criteria reflect professional standards and include some or all of the following:

- discipline-specific best practices;
- purpose and goals of the course;
- intellectual/learning outcomes;
- content and topics;
- major assignments;
- assessment methods;
- class level: lower or upper division undergraduate, undergraduate/graduate combined, graduate (master and/or doctoral).
- course type: lecture, lab, clinical, studio, study abroad, internship, field placement, independent study, thesis, or dissertation;
- course delivery method: synchronous, asynchronous, or combined
- articulation and transferability of credit to other institutions; and
- other factors as appropriate.

In accordance with federal regulation (34 CFR 600.2 and subsequent guidance), one semester credit reasonably approximates the learning outcomes expected from one hour of direct faculty instruction and a minimum of two hours of out-of-class student academic engagement each week for 15 weeks. Courses offered in alternative calendars and course types require an equivalent amount of faculty and student engagement and learning outcomes.

## Criteria for Determining Credit for Programs

Faculty and review committees determine the quantity of credits for a program in accordance with commonly accepted discipline-specific best practices for undergraduate, graduate, or professional degrees and policies of the Tennessee Board of Regents and the Tennessee Higher Education Commission.

## Process for Determining Credit

- Faculty develop courses and programs and provide justification for proposed credit amounts.
- College and university faculty committees conduct rigorous reviews of course and program proposals, including justifications for credit to be awarded, and are responsible for final approval of proposals. Final acceptance of a proposal by each appropriate review committee denotes the review and acceptance of the proposed number of credits.

## External Confirmation

- Accreditation and program reviewers assess ETSU programs of study in accordance with discipline-specific best practices, including credits awarded for courses.
- ETSU provides its policy and procedure for awarding of credit for compliance with Comprehensive Standard 3.4.6 and Federal Requirement 4.8 of the Principles of

# East Tennessee State University

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Accreditation, Southern Association of Colleges and Schools, Commission on Colleges and others.

## U.S.D.O.E. Regulatory Language

In 34 CFR 600.2 of the final regulations (March 2011), ETSU defined a credit hour for Federal programs, including the Federal student financial assistance programs, as—

An amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonable approximates not less than:

1. One hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or

At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution, including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. USDOE, Office of Postsecondary education, <http://ifap.ed.gov/dpccletters/GEN1106.html>.

6/9/11; 08/11

[Back to Top](#)

## Curriculum Proposals

East Tennessee State University's curriculum proposal, review, and internal approval process is in accord with the Principles of Accreditation of the Commission on Colleges of the Southern Association of Colleges and Schools (SACS). The process is also consistent with policy and guidelines regarding program review and approval of the Tennessee Board of Regents (TBR), the governing board for the universities and colleges within the System.

Finally, the ETSU process complies with Tennessee Higher Education Commission (THEC) requirements regarding the authorization of new programs. Specifically, ETSU's curriculum review and approval process complies with TBR Policy 2:01:01:00 (Program Review and Approval), TBR Guideline A-010 (Academic Program Proposals), and THEC Policy A:1 (New Program Review Criteria).

Other sites of interest regarding curricular matters at ETSU include the following:

ETSU Graduate Catalog      <http://catalog.etsu.edu/index.php?catoid=8>

ETSU Undergraduate Catalog      [http://www.etsu.edu/reg/catalog/undergraduate.aspx\\_blank](http://www.etsu.edu/reg/catalog/undergraduate.aspx_blank)

ETSU Proficiency-Intensive Course Listing      Update in process

TBR Academic Policies:

# East Tennessee State University

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[http://www.tbr.edu/policies/default.aspx?id=998\\_blank](http://www.tbr.edu/policies/default.aspx?id=998_blank)

TBR Form A-010:

<http://www.tbr.edu/offices/academicaffairs.aspx?id=500>

THEC New Program Review Criteria:

[http://www.tn.gov/thec/Divisions/AcademicAffairs/aa\\_main.html](http://www.tn.gov/thec/Divisions/AcademicAffairs/aa_main.html)

06/01; 07/11

[Back to Top](#)

## Electronic Courses

### Definition of Terms

1. Distance education courses – any course in which a minimum of 50% of the content is delivered electronically and the student and instructor are not in the same physical location. Courses may be synchronous or asynchronous and delivered via online technologies, videoconferencing technologies, or virtual classroom technologies. The term distance education, for the purpose of this handbook section, is intended to include all types of courses delivered electronically.
2. Instructional Television (ITV) – any course delivered through videoconferencing technologies utilizing the ETSU multipoint control unit bridge. Courses may be delivered to another videoconference enabled room at a remote location and/or delivered to individual desktop computers.
3. Web-based courses – any course delivered using an asynchronous pedagogy utilizing online course technologies. ETSU defines any Web-based course in which more than 50% of the content is delivered via online technologies as an asynchronous online course.
4. Web-enhanced courses – any course in which less than 50% of the course content is delivered via online technologies in an asynchronous or synchronous format.
5. Telecourse – a commercially prepared course purchased by the Office of eLearning for delivery for credit as an ETSU course.
6. Virtual classroom – any course in which a virtual classroom tool is used to deliver the course in a synchronous format. This may include a portion or all of the course content.

### TBR Guidelines

ETSU follows TBR Guideline A-070 in the administration of distance education courses.

### Program Planning And Implementation

The mission statement for the Office of eLearning is to provide academic support services to ETSU students, faculty, and staff, to provide support for the synchronous and asynchronous delivery of course content, and to provide a robust reliable Web presence for the university.

# East Tennessee State University

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The goals of the Office of eLearning are to:

1. provide high-quality academic support services for faculty who teach Web-based and Web-enhanced courses;
2. increase student access to learning resources by providing faculty with the necessary tools and resources to create pedagogically sound Web-based and Web-enhanced courses;
3. support faculty use of software applications and multimedia classroom equipment available at ETSU;
4. provide quality multimedia assistance for faculty and staff through workshops, individual assistance, and phone and email support while always searching for new and creative uses for technology in the academic environment;
5. support the integration of technology into education; and
6. provide a reliable, robust Web presence for ETSU.

The Office of eLearning complies with the TBR definition for distance education. The Office of eLearning complies with TBR policies, when applicable, related to Program Review, Admissions, Undergraduate Academic Retention Standards, Classification of Students, Faculty Promotion, Payment of Student Fees and Enrollment of Students. The Office of eLearning also complies with TBR's Guideline A-020 Inter-institutional Relationships and Off-Campus Affairs.

## Academic Standards

Each distance education course is consistent with ETSU's mission, level, and nature. Academic standards for distance education courses are determined by the academic unit offering the course. All distance education courses (synchronous and asynchronous) carry the same code, title, and credit as other sections of that course. Academic departments determine faculty load and compensation for all distance education courses. The Office of eLearning makes administrative and academic information available online at <http://online.etsu.edu> to distance education students, faculty, and administrators.

All students in distance education courses have access to academic support, library services, and other instructional support that other students have. Links for these services are provided online at <http://online.etsu.edu> for all distance education students and faculty.

## Identification Of Distance Education Courses

### Responsibility

The Office of eLearning is responsible for courses identified as distance education courses in compliance with TBR, SACS, and institutional policy. Courses are identified as distance education courses through appropriate section numbers and methods of instruction.

### Telecourses

The Office of eLearning is responsible for providing academic chairpersons materials to review in the consideration of telecourses for broadcast, video checkout, and video streaming

# East Tennessee State University

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for college credit. Potential courses may be identified by faculty or academic chairs and recommended for offering as a telecourse.

## Internet (Web-based) Courses

In consultation with the Director of Academic Technology Support, academic departments identify synchronous and asynchronous Web-based courses. Academic Technology Support provides training and support for Internet courses.

## Instructional Television (ITV) Courses

Academic departments/colleges, in consultation with the Director of Instructional Television Services (ITV), identify instructional television courses. All new distance education faculty receive training. The Director of ITV Services is responsible for interactive television and telecourse training. A copy of the ITV Handbook is updated annually and available online at: [http://www.etsu.edu/academicaffairs/elearning/itv/documents/teacher\\_handbook\\_5.2010..pdf](http://www.etsu.edu/academicaffairs/elearning/itv/documents/teacher_handbook_5.2010..pdf)

## Distance Education Faculty Responsibilities

### Responsibilities

Faculty teaching synchronous and asynchronous courses, depending upon the course delivery medium, are responsible for the best practice guidelines set forth in the Office of eLearning Memorandum of Understanding related to electronic delivery of courses. [http://www.etsu.edu/academicaffairs/elearning/ats/online/faculty/development/mou.aspx\\_blank](http://www.etsu.edu/academicaffairs/elearning/ats/online/faculty/development/mou.aspx_blank)

### Intellectual Property

Tennessee Board of Regents Guideline A-075 on Intellectual Property Rights ([http://www.tbr.edu/policies/default.aspx?id=1674&terms=intellectual%20property\\_blank](http://www.tbr.edu/policies/default.aspx?id=1674&terms=intellectual%20property_blank)) addresses faculty development of instructional materials for Web-based courses. ETSU complies with the TBR policy regarding intellectual property rights.

### ETSU Memorandum of Understanding

A web-based course is defined as a course in which more than 50% of the course content or traditional contact hours are delivered via some form of Internet activity. All Web-based courses at ETSU must be coordinated through the Office of eLearning, and faculty are advised to contact this office for information and assistance early in the process of developing an Internet-based course.

Faculty who plan to develop an Internet-based course to be offered at ETSU should complete a memorandum to formally clarify the nature of the course and establish a record of understandings regarding rights to the Internet-based course and course materials. The form to be used for the memorandum of understanding is available online at

# East Tennessee State University

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If a faculty member is being employed or assigned specifically to create the Internet-based course or materials for the university/department, faculty and administrators should also consult TBR Guideline A-075, Distance Education and Intellectual Property ([http://www.tbr.edu/policies/default.aspx?id=1674&terms=intellectual%20property\\_blank](http://www.tbr.edu/policies/default.aspx?id=1674&terms=intellectual%20property_blank)) and, when appropriate, complete a Work Made for Hire Agreement.

## Roles, Responsibilities, and Duties of ITV Administrators and Staff

All Instructional Television (ITV) administrators and staff have written job descriptions that are updated periodically. Current job descriptions ([http://www.etsu.edu/humanres/jobdescriptions\\_app/job\\_descriptions.aspx\\_blank](http://www.etsu.edu/humanres/jobdescriptions_app/job_descriptions.aspx_blank)) are on file in the Office of eLearning and Office of Human Resources.

An overview of professional staff responsibilities is covered in the ITV Faculty Handbook.

Job descriptions for part-time support staff (e.g., production assistants, faculty assistants, classroom assistants) are included in the appendix.

## Distance Education Evaluation and Assessment

The sponsoring school/college is responsible for evaluating course instructors as it does in all other instructional situations (see TBR Guidelines A-070, 1[4] [http://www.tbr.edu/policies/default.aspx?id=1672\\_blank](http://www.tbr.edu/policies/default.aspx?id=1672_blank)).

The Office of eLearning administers distance education student surveys for faculty in selected distance education courses every fall and spring semester. The student surveys also evaluate the effective use of the medium of instruction.

The Office of eLearning administers faculty questionnaires for all distance education courses every semester.

Results of distance education faculty questionnaires and student surveys provide data on assessing and/or improving distance education services.

## Distance Education Funding

No distinction shall be made between student credit hours generated through distance education and credit hours generated through on-campus instruction.

The Office of eLearning shares revenue, after expenses, for all distance education courses funded from the regular academic year and summer budgets. The Office of eLearning maintains a budget to acquire and maintain distance education hardware and courseware.

The Office of eLearning maintains records of revenue and operating costs.

## Distance Education Enrollment Data

# East Tennessee State University

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The Office of eLearning is responsible for generating and providing student enrollment data on distance education and for reporting to the University and TBR.

Data is maintained in files in the Office of eLearning.

## Scheduling Distance Education Courses

Academic units schedule distance education courses in the same manner that other courses are submitted. Distance education course scheduling follows the same semester timetable and procedures determined by the Registrar's Office.

Faculty and chairs will be involved in the determination of maximum enrollments for distance education courses in consultation with eLearning staff.

Specific section numbers and instructional delivery methods must be identified for all distance education courses. Academic units can contact the Office of eLearning for scheduling information.

Course scheduling information for ITV is available at: [http://www.etsu.edu/itv\\_blank](http://www.etsu.edu/itv_blank)

## Telecourse Management

Telecourses are available via streaming services

Final approval for offering a video check-out telecourse is dependent upon:

1. the past record of the telecourse (if any exists),
2. marketability of the course,
3. availability of course materials, and
4. cost of course.

### Telecourse Program Sources

1. Course software is obtained by satellite broadcast or by purchasing master copies of the telecourse series.
2. The Office of eLearning will supply catalogs and review materials for those who wish to review sources for telecourses.
3. Faculty will be provided sample videos of telecourse programs for preview and planning purposes only.

### Instructional Support

1. The Office of eLearning will pay reasonable costs for mailing student course materials, duplication, advertising, telecourse license fees, student royalty fees, and faculty assistants.
2. The Office of eLearning makes arrangements for students to take exams at off- locations (in cooperation with the faculty member.)

### Web-Based Course and Web-Enhanced Course Management



# East Tennessee State University

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Per ETSU policy, a Web-based course is defined to be a course in which more than 50% of the course material is delivered via the Internet.

The Office of eLearning provides a course management system site for all ETSU course sections. In compliance with the Higher Education Opportunity Act (HEOA), access to all courses defined as distance education courses must be via the ETSU course management system. Faculty must comply with ETSU's Web-based course standards and policies, as described in the Memorandum of Understanding for Web-based course development available at: <http://www.etsu.edu/online/>.

## Instructional Television Course Management

The Director of ITV Services works with academic units and off-campus center staff to schedule courses. The Director of ITV Services hires, trains, and supervises production assistants and classroom facilitators for courses at off-campus sites. The Operations Coordinator maintains the on- and off-campus courier service. The Office of eLearning maintains equipment at off-campus sites. The Office of eLearning staff works with off-campus center staff to deal with problems and improve services for distance education courses.

## Distance Education Faculty Assistance and Instructional Support

The Office of eLearning offers faculty assistance and instructional support, depending upon course medium, for:

1. logistics between faculty on-campus and off-campus sites via courier services
2. faculty assistants
3. faculty handbook and policies available at <http://www.etsu.edu/online/>.
4. copyright compliance
5. training, including teaching guidelines, instructional design, course management
6. course scheduling information
7. library services at on-campus and off-campus sites
8. off-campus testing services
9. classroom facilitators and production assistants for on-campus overflow classrooms and off-campus sites
10. student assessment of instruction
11. procedures for inclement weather or missing class.

## Marketing, Publicity, and Promotion of Distance Education

The Office of eLearning is responsible for marketing, publicity, and promotion of distance education courses. Faculty may be asked to participate in marketing.

08/11

[Back to Top](#)

## Experimental Courses

# East Tennessee State University

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Experimental courses may be offered twice with approval by the dean of the respective college or school and the Vice President for Academic Affairs or the designee. The proposal for an experimental course should include clear purpose for offering it, an outline of course content, and criteria for evaluating the course. Only under unusual circumstances will an experimental course be approved to be offered more than two times. If a course is to be offered after the second time, it should be made permanent on the course title file with the curriculum review process being initiated by the department chair.

In addition, courses for ETSU Study Abroad submitted for initial approval as “experimental” courses must include logistical descriptions and a complete budget. Forms are provided on the ETSU Curriculum Process System and also are available from the Office of International Programs & Services. Logistics and budget must be reviewed and approved by the International Advisory Council (or its designated committee) prior to final approval of an experimental Study Abroad course.

09/15/79; 03/91; 07/11

[Back to Top](#)

## SACS COC Substantive Changes

East Tennessee State University maintains compliance with substantive change policy and procedures of the Southern Association of Colleges and Schools (SACS) as delineated in Substantive Change for Accredited Institutions of the Commission of Colleges. East Tennessee State University notifies the Commission on Colleges (COC) of significant modification or expansion of the nature and scope of the university and, when required, seeks approval prior to the initiation of changes. If unclear as to whether a change is substantive in nature, East Tennessee State University contacts Commission staff for consultation.

East Tennessee State University recognizes the responsibility of the COC to review substantive changes that occur between decennial reviews and to determine if the University continues to meet defined standards and federal regulations.

East Tennessee State University faculty and administrative officials that approve substantive changes at appropriate levels of the institution are identified in the Substantive Change Procedures for Academic Programs, Distance Education, Off-campus Sites, and those unlikely to be proposed by ETSU. The campus community accesses the policy and procedures from the ETSU Faculty Handbook, ETSU SACS Web site, ETSU Curriculum Process System, and ETSU Chairs Handbook [these resources should eventually be linked].

05/03/10

[Back to Top](#)

## Study Abroad Courses

## Study Abroad Policies and Guidelines

# East Tennessee State University

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ETSU follows TBR Guidelines A-051 Faculty Exchange, A-076 Development & Operation of Off-Campus International Educational Programs, and Policies 2:08:10:00 ([http://www.tbr.edu/policies/default.aspx?id=5700\\_blank](http://www.tbr.edu/policies/default.aspx?id=5700_blank)) and 2:08:20:00 ([http://www.tbr.edu/policies/default.aspx?id=5702\\_blank](http://www.tbr.edu/policies/default.aspx?id=5702_blank)) in the administration of study abroad courses.

ETSU guidelines for procedures and all necessary student and faculty forms are available from the Office of International Programs & Services by request or from their website: [http://www.etsu.edu/honors/international/faculty/proposeteach.aspx\\_blank](http://www.etsu.edu/honors/international/faculty/proposeteach.aspx_blank).

## Program Planning and Implementation

ETSU Study Abroad courses are offered off-campus at international locations, led by ETSU faculty (or approved staff), and listed in the appropriate department or discipline at ETSU. Off-campus locations must be approved in advance

.In addition to content review for academic standards, Study Abroad courses are also subject to review of logistics and budget. The ETSU Office of International Programs & Services advises faculty and staff on necessary logistical arrangements and budgets. The International Advisory Council serves an additional advisory role and provides final approval of logistics and budget for all study abroad course offerings. Third-party provider/service organizations may be used, but contractual agreements are subject to all current ETSU financial policies and procedures and may require review by the ETSU University Counsel and Chief Financial Officer.

## Academic Standards

Each Study Abroad course is consistent with ETSU's mission and appropriate to level and nature of the degree program.

Academic standards for study abroad courses are determined by the academic unit offering the course. Academic content of Study Abroad courses are reviewed and approved by appropriate university Curriculum Committees according to current ETSU procedures and policies.

Credit for Study Abroad courses must meet TBR guidelines. Field trips, site excursions, and other cultural activities must be structured as a formal part of the course and integral to course learning objectives. In general, each week abroad in a Study Abroad course will equate to one credit hour, but course content, itinerary, and learning outcomes ultimately determine the appropriate number of credits assigned. Study Abroad courses must include two formal orientation meetings with students---one prior to departure (on campus or online), and a second meeting held upon arrival at the international site.

Academic departments and Faculty Leaders are advised to begin development of Study Abroad courses at least 12 months in advance of the first course offering to allow adequate time to develop plans, complete necessary documents, obtain approvals, and recruit students.

# East Tennessee State University

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## Identification of Study Abroad Courses

Study Abroad courses are individual courses, either experimental or formal, and cannot be offered as Special Topics or Independent Studies.

Study Abroad courses offered and led by ETSU faculty (or approved staff) are identified in course schedules with a special section code (-SA1,- SA2, etc.).

Off-campus locations must be approved and assigned a Site Location number by the Tennessee Higher Education Commission. ETSU International Programs & Services Office provides information on existing sites and assists faculty with appropriate forms.

## Logistic and Budget Development and Review of Study Abroad Courses

The Office of International Programs and Services assists faculty in planning for logistical arrangements for Study Abroad courses and developing a budget appropriate to the course.

Logistical and budgetary plans for Study Abroad courses are reviewed and approved by the International Advisory Council (or its designated committee) before any particular offering of a course is scheduled or advertised to students. Expedited review and approval is provided by Director of International Programs & Services for courses previously offered at the same destination site and relatively unchanged in logistics or budget. Review and approval of logistical and budgetary aspects will be deferred for initial approval of a formal course proposed as a general category of study abroad offerings within a discipline (i.e., destination site to be determined in the future). Logistical and budget approvals then follow standard procedures described above.

## Faculty Participation and Responsibilities for Study Abroad Courses

### Faculty Leaders

Faculty Leaders must be full-time faculty or staff members with the academic credentials appropriate to the Study Abroad course, discipline, and accreditation standards and are identified as Instructor of Record for the course. Exceptions with regard to full-time status of the Faculty Leader may be recommended by the chair and dean of the appropriate department and college to the International Advisory Council for review and final approval.

Workshops in developing and conducting Study Abroad courses are offered by the Office of International Programs & Services.

### Faculty Leader Responsibilities

A faculty or staff member serving as a Faculty Leader is responsible for all aspects of developing and offering a Study Abroad course, including itinerary and logistics in the host

# East Tennessee State University

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country and all financial responsibilities as proposed, disclosed to students, and/or arranged with the University. Funds provided by students for travel costs and for maintenance fees, and processing of costs associated with an ETSU Study Abroad course must follow current ETSU financial policies and procedures.

Faculty Leaders are responsible for ensuring that course activities comply with and students are informed about pertinent laws and customs of the destination country. If assignments or projects that involve human subjects are proposed as a course activity, approval must be obtained from the ETSU Institutional Review Board and documentation provided as part of the review of logistics provided by the International Advisory Council.

Faculty Leaders should monitor advisories issued by the U.S. State Department and Center for Disease Control ([http://travel.state.gov/travel/cis\\_pa\\_tw/tw/tw\\_1764.html](http://travel.state.gov/travel/cis_pa_tw/tw/tw_1764.html) and [http://travel.state.gov/travel/travel\\_1744.html](http://travel.state.gov/travel/travel_1744.html)) and are responsible for keeping enrolled students informed of any advisories issued for the destination country. In addition, Faculty Leaders must register their group with the U.S. Department of State, which in turn will ensure that the U.S. Embassy in the destination country is informed.

Faculty Leaders are responsible for submitting all appropriate ETSU Study Abroad forms (e.g., medical information, assumption of risk, etc.) for each student to the Office of International Programs & Services prior to any departure.

Faculty Leaders are required to complete an Emergency Preparedness Workshop offered by the Office of International Programs & Services before departure and at least once every three years.

Faculty Leaders of ETSU Study Abroad courses must include two formal orientation meetings with students in their course plans---one orientation prior to departure (on campus or online), and a second meeting held upon arrival at the destination site (first or only).

## Inclusion of Family Members of Faculty Leaders

Spouses and minor children of Study Abroad Faculty Leaders may be allowed to participate in study abroad programs if arrangements are made to ensure that their presence will not impair the operation of the program or infringe on participants. In addition, arrangements must be made to ensure that family expenses are not incorporated into the program budget.

Faculty Leaders who wish to include spouses and/or minor children must request approval of accompanying family included in the description of course logistics. The following information must be included: ages of minor children, begin/end dates of their intended stay, and descriptions of arrangements that will ensure their independence from budget and academic activities. Requests may be denied or other restrictions may be applied. All appropriate ETSU Study Abroad forms (e.g., medical information, assumption of risk, etc.) must be submitted for accompanying family members to the Office of International Programs & Services prior to departure. Spouses and/or minor children are required to purchase any travel/medical insurance required of all program participants.

# East Tennessee State University

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## Responsibilities for Administration of Study Abroad Courses

The ETSU International Advisory Council (IAC) has ultimate responsibility for oversight of policies, procedures, and assessments of international education and activities, including Study Abroad courses and programs. This Council is responsible for approval of logistics and budget arrangements, exceptions to full-time status of Faculty Leaders, and requests for accompanying family members. The IAC may request modifications of these arrangements prior to final approval. The IAC also is responsible for review of course assessments and may initiate actions necessary to cancel courses or modify future assignments of Faculty Leaders.

The ETSU Office of International Programs & Services and the Honors College provide staff and procedural support to the International Advisory Council.

The IAC is responsible for oversight of funds distributed for student scholarships (as recommended by the Study Abroad Scholarship Awards Committee: [http://www.etsu.edu/honors/international/abroad/scholarships/default.aspx\\_blank](http://www.etsu.edu/honors/international/abroad/scholarships/default.aspx_blank)) and for faculty development support related to international education ([http://www.etsu.edu/honors/faculty.asp\\_blank](http://www.etsu.edu/honors/faculty.asp_blank)).

Requests for review of evaluations of Scholarship or Faculty Development awards should be directed to the IAC, with copies submitted to the Office of the Provost.

Visiting out-of-state students are eligible to enroll in ETSU Study Abroad courses at in-state rates. The Office of International Programs & Services is available to assist these students in obtaining the appropriate tuition charges.

The Office of International Programs also is responsible for advising Faculty Leaders about course development, required campus procedures, registration of travel groups with the U.S. Department of State, and travel and health advisories issued by U.S. government agencies.

A travel warning or alert issued by the U.S. State Department for a destination country that is scheduled for ETSU Study Abroad requires an assessment of safety considerations. ETSU University Counsel and Senior Administration will conduct the assessment and must provide approval before the Study Abroad course may be conducted. Additional safeguards, trip procedures, and/or student notification may be required.

In emergency situations, the ETSU Office of International Programs & Services is designated as the first contact for communication with Faculty Leaders. This Office is then responsible for initiating appropriate campus-based communications and procedures to arrange for the appropriate emergency responses. The ETSU Honors College and the appropriate department serve as secondary contacts.

### Evaluation and Assessment of Study Abroad

Student evaluation of Study Abroad courses is administered by the ETSU Honors College, with results provided to the Faculty Leader, Department Chair, and the International Advisory Council. Additional course assessment instruments (e.g., the Intercultural Development Inventory) are offered on a voluntary basis.

# East Tennessee State University

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Assessment of Study Abroad courses by Faculty or Staff Leaders is held annually and includes both an individual evaluation survey and outcomes reported in a meeting of all Faculty or Staff Leaders for discussion and evaluation of problems or needs.

The ETSU International Advisory Council is responsible for review and integration of all assessments and for initiating actions deemed necessary to ensure the future safety of students and the financial and academic integrity of ETSU Study Abroad courses.

## Funds and Funding for Study Abroad

The Honors College provides funds to assist Faculty Leaders with travel costs for course development (logistics in destination country) or initial offerings of an ETSU faculty-led Study Abroad course. A Faculty Request for Study Abroad Development form is available from the Honors College ([http://www.etsu.edu/honors/faculty.asp\\_blank](http://www.etsu.edu/honors/faculty.asp_blank)); requests should be submitted at least three months in advance of proposed activities, or earlier as needed for course budgets. Requests for review of the outcomes of these requests should be submitted to the IAC, with copies to the Office of the Provost.

Funds provided by students for travel costs associated with an ETSU Study Abroad course may be collected by the ETSU Faculty Leader or paid directly to a third-party provider, if used. Funds collected from students must be deposited in an ETSU Agency account.

Disbursements of funds from this account must follow all ETSU financial policies and procedures.

Study Abroad courses are eligible for Study Abroad Cohort status, which provides access to all maintenance fees generated and provides Faculty/Staff Leaders with flexibility of salary and use of maintenance fees for travel costs. Participation as a Study Abroad Cohort course must be arranged in advance by contacting the ETSU Honors College at least four months prior to the course offering. Participation in the Study Abroad Cohort requires that Faculty Leaders agree in advance to salary adjustments in lieu of course cancellation due to low enrollment.

## Scheduling Study Abroad Courses

Study Abroad courses must be scheduled in advance in coordination with other course offerings in the appropriate academic department. Course sections are identified via a special code (-SA1, -SA2, etc. rather than -001, -002, etc.) used to report on international education activities and to provide specialized course listings for student reference.

Initial offerings of Study Abroad courses usually require a minimum of 12 months advance preplanning to ensure adequate logistical arrangements in the destination country, as well as sufficient time for campus approval procedures and for advance recruitment of students.

Faculty Leaders and academic departments are advised to begin development of their Study Abroad courses at least one year in advance and to begin student recruitment at least 6 months in advance of the planned departure dates.

## Marketing, Publicity, and Promotion of Study Abroad

# East Tennessee State University

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Academic departments are responsible for the content of all materials generated and distributed regarding Study Abroad courses offered. The Honors College and Office of International Programs & Services host materials about ETSU Study Abroad on their websites. Printed materials designed to be distributed outside the ETSU campus must follow ETSU policies and procedures ([http://www.etsu.edu/univrela/printing.aspx\\_blank](http://www.etsu.edu/univrela/printing.aspx_blank)).

02/11

[Back to Top](#)

## Summer and Winter Sessions

Summer and Winter Sessions are considered non-standard and accelerated terms. Winter Session offers four-week online courses and is considered part of the spring term. Summer sessions are broken into three segments which may be combined in several ways and, thus, affect the amount of time available for instruction. These segments include Pre-summer, Summer I and Summer II. Segments are combined in sequence to determine course length.

For example, a course may be offered Pre-summer and Summer I, Summer I and Summer II or Pre-Summer, Summer I and Summer II. The most common configuration is Summer I and Summer II. Teaching during summer sessions is also funded separately and funding may affect course availability and teaching loads.

7/13

[Back to Top](#)

## Textbook Policies

Tennessee Code Annotated, Title 49, Chapter 7, Part 1 specifies that the Tennessee Board of Regents develop policies for minimizing the cost of textbooks and ancillary course materials at its higher education institutions, while maintaining quality of education and academic freedom. TBR Policy 2:07:00:00 ([http://www.tbr.edu/policies/default.aspx?id=1896\\_blank](http://www.tbr.edu/policies/default.aspx?id=1896_blank)) requires each institution to develop policies for minimizing the cost of textbooks and ancillary course materials. In compliance with the TBR policy, ETSU has established the following processes:

The ETSU Bookstore supplies faculty with pre-populated Textbook Requisition Forms (TRF) for courses in October for the Spring term and in March for Summer and Fall terms to allow sufficient time for ordering and receiving textbooks/materials prior to the beginning of a term.

If a faculty member wants to change a previous selection, he or she should so indicate on the TRF, provide pertinent information about the new selection, and return for a cost statement.

Information regarding instructor-specified required and supplementary textbooks/and materials is available to students by term on the ETSU Bookstore Web site ([http://www.neebo.com/east-tennessee-state-university\\_blank](http://www.neebo.com/east-tennessee-state-university_blank)). This information includes cost, title, author, publisher, edition, International Standard Book Number (ISBN), and whether the textbook or materials are required, recommended, or optional. New or used textbook/



# East Tennessee State University

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materials and costs are also available. It is recommended that any college/department printed or online information regarding textbooks/materials include costs.

Each ETSU Bookstore TRF includes costs of new and used textbooks/materials, and each instructor must affirmatively knowledge the price of the textbooks and materials giving approval to order. The bookstore will only order after instructor authorization. Faculty members should consider ways to reduce the cost of course materials prior to ordering.

Cost-minimization strategies, information about course textbook/materials costs, and buy back considerations are posted on the Faculty Senate Web site ([http://www.etsu.edu/senate/default.aspx\\_blank](http://www.etsu.edu/senate/default.aspx_blank)). As standard practice, bundled materials are discouraged. When bundled materials are requested on the TRF, the department chair also must sign the form verifying review of costs.

The ETSU Bookstore allows students to purchase a textbook separately from a bundled package of course materials that include a textbook(s). When possible, the bookstore sells study products separately from each other.

The ETSU Bookstore promotes convenient book buy-backs through several advertised means in order to increase the availability of used textbooks.

Copies of textbooks provided by publishers at no cost will be available to students through departmental libraries or Sherrod Library where they will be placed on reserve, thus allowing maximum hours of access to students.

The ETSU Bookstore staff will comply with this policy, including the textbook inventory and monitoring charge.

09/15/79; 3/17/95; 02/07/08;

[Back to Top](#)

## Section 7 Facilities

[Facilities Use Policy](#)

[Quillen College of Medicine Medical Library](#)

[University Libraries](#)

### Facilities Use Policy

Refer to ETSU D. P. Culp University Center at:

[http://www.etsu.edu/students/univcent/policies/default.aspx\\_blank](http://www.etsu.edu/students/univcent/policies/default.aspx_blank)

7/31

[Back to Top](#)

### Quillen College of Medicine Medical Library

The ETSU Quillen College of Medicine (QCOM) Medical Library acquires, organizes, manages, and facilitates access to medical and bio-medical sciences' learning resources and information to support the education, research, patient care, and collaborative programs of the College of Medicine.

### The Mission Statement of the Medical Library

Refer to the ETSU QCOM Medical Library at:

[http://comlib.etsu.edu/dept/node/66\\_blank](http://comlib.etsu.edu/dept/node/66_blank)

### Free Inquiry and the Medical Library

Refer to statement as defined in the initial sections of this policy.

### Collection Development Policies

#### Book Order Policy

All faculty, administrators, staff and students at ETSU QCOM are encouraged to participate in building the library's book collection. Requests for books should be channeled through the appropriate academic department's library representatives/liaisons, who can evaluate and route requests in a manner consistent with the library and departmental policy. All requests are subject to available funds.

Consideration is also given to the priority level assigned by the requestor:

1. Essential for instruction or research

# East Tennessee State University

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2. Supplementary for reading or research
3. Developmental: useful in the growth of the existing collection

To assist in book selection and recommendations, publisher's catalogs and Internet databases may be used. Submit titles directly to the QCOM Library administration.

It is the policy of the QCOM Medical Library to purchase only one copy of a book or monograph for addition to any collection, unless there is a demonstrated need for additional copies for reserve or curriculum support.

## Gift Book Policy: Information for Prospective Donors

Donors contribute significantly to strengthening the collection and fulfilling the mission of QCOM Medical Library through their gifts of books. Gifts of library materials are subject to acceptance by the library faculty. Items will be evaluated in terms of institutional value, considering whether materials duplicate library holdings and support the curriculum.

When the library accepts a gift, it becomes the property of the QCOM Medical Library, which reserves the right to determine whether the gift will be retained, where it will be located and how it will be cataloged and circulated. Materials not retained may be disposed of by the library administration as they see fit.

The library will provide appropriate acknowledgement of gifts. However, university policy does not permit including the dollar value of the gift in the acknowledgement. This is the donor's responsibility.

The Acquisitions Department will receive gifts. For questions regarding gifts or the gift policy, contact the Department Coordinator.

## Periodicals Acquisition Policy

The QCOM Medical Library Periodicals Department manages the library periodical collection. The selection and recommendation of periodicals and journals are made by individual departments and are subject to final approval of the Medical Library Director with the advice of the Learning Resources Advisory Committee.

The library honors requests from programs reviewed for re-accreditation purposes.

The collection is maintained at current cost levels. This means that for each new title added to the collection, one or more titles must be cancelled.

## Library Circulation/Reserve Policy

### Circulation Policy

1. Patron Eligibility - Refer to Library Circulation/Reserve/E-Reserve, section a., under main University Libraries above.

# East Tennessee State University

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## 2. Library Patron Loan Categories:

- a. Faculty/staff loan period: 90 days for books and 3 days for periodicals, subject to recall; renewals possible if there are no holds.

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section b. (1), under main University Libraries above.

2. Student loan period: 4 weeks for books and 3 days for periodicals; renewals possible if there are no holds.

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section b. (2), under main University Libraries above.

## 3. Reserve loan period

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section b. (3), under main University Libraries above.

## c. Fines

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section c., under main University Libraries above.

## d. Encumbrances

Refer to Circulation/Reserve/E-Reserve, Circulation Policy section d., under main University Libraries above.

## e. Disposition of Charges

All money paid for fines go into the QCOM Medical Libraries "Revenue" account.

## Course Reserve Policy

Materials placed on reserve include materials from the QCOM Medical Library collections, materials owned by a faculty member, and photocopies of materials. Photocopying of all materials is the responsibility of the faculty member for purposes of copyright compliance. Copyright law guidelines require the library to hold no more than one photocopy of a work on reserve. Students may make their own study copy from the reserve item. Faculty members are asked to sign acknowledgement of copyright responsibility in the space provided on the Course Reserve Materials List.

## a. Personal Copy

Refer to Course Reserve/E-Reserve Policy, Forms, (2), b., (2), (b), under main University Libraries above.

## b. Photocopies

# East Tennessee State University

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Refer to Course Reserve/E-Reserve Policy, Forms, (2), b., (2), (c), under main University Libraries above.

## c. Loan Periods

Refer to Course Reserve/E-Reserve Policy, Loan Periods, under main University Libraries above.

## d. Faculty Loan Privileges

Refer to Course Reserve/E-Reserve Policy, Faculty Loan Privileges, under main University Libraries above.

## e. Periodicals

Refer to Course Reserve/E-Reserve Policy, Periodicals, under main University Libraries above.

## f. Reserve Fines

Refer to Course Reserve/E-Reserve Policy, Reserve Fines, under main University Libraries above.

## g. Removal from Reserve

Refer to Course Reserve/E-Reserve Policy, Removal from Reserve, under main University Libraries above.

## Copyright Guidelines with Respect to Books and Periodicals

Refer to Copyright Guidelines with Respect to Books and Periodicals under main University Libraries above.

## Faculty Borrowing Policy

Refer to Faculty Borrowing Policy under main University Libraries above.

## Tennessee Academic Library Collaborative (TALC)

Refer to Faculty Borrowing Policy under main University Libraries above.

## Confidentiality of Records Policy

Refer to Faculty Borrowing Policy under main University Libraries above.

## Photocopy Services

# East Tennessee State University

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A copy card may be used in the self-service copiers in the library at \$0.05 per copy. A copy card vending machine, which dispenses cards at a cost of \$0.40 per card, is available. ETSU personnel may use their University I.D. card as a copy card. Ask for assistance at the Circulation Desk.

ETSU Faculty may request photocopies of articles from journals held by the Medical Library. The cost is \$0.10 per page. If the request is for "Rush" and/or to be faxed, an extra \$2.00 per article will be added to the charges.

## Interlibrary Loan Policy

The Interlibrary Loan (ILL) department obtains materials from other libraries to support the teaching and research of all ETSU faculty. First-time users and all faculty with special or rush requests should contact the ILL Department to discuss policies. ILL costs are as below:

ETSU Students: \$1.00 non-refundable processing fee per article plus lending library/faxing fee, if applicable;

University Departments/Faculty and Staff/Affiliated Hospital Libraries: \$2.00 non-refundable fee per article plus lending library/faxing fee, if applicable;

Community Health Professionals: \$15.00 per article plus lending library/faxing fee, if applicable;

LoansomeDoc Requests for affiliated members: \$2.00 per article plus lending library/faxing fee, if applicable;

LoansomeDoc Requests for non-affiliated members: \$10.00 per article plus lending library/faxing fee, if applicable.

Request forms are available at the Reference Desk or via the QCOM Medical Library WebPages.

ILL users are responsible for careful handling and prompt return of all borrowed materials.

Any charges from a lending library are passed on to the faculty member. Faculty authorized to charge their departments or university accounts should so indicate on request forms.

## Library Instruction

The library instruction and orientation services program is geared toward the curricular needs of the university faculty. Instruction requests should be scheduled in advance through the QCOM Medical Library Reference Department. Faculty members should discuss with a librarian any class assignments related to library use, in order to increase the value of the learning experience related to library instruction. Faculty members who plan to have their classes do independent work in the library should schedule such visits with the Reference

# East Tennessee State University

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Services staff. Faculty or graduate teaching assistants should remain with their classes while in the library.

## Database Access

Refer to Database Access Policy under main University Libraries above.

## Library Internet Access and Use Policy

### Mission Statement for Internet Use

Internet access at the James H. Quillen College of Medicine Library is an extension of our library's commitment to meeting the medical community's information needs. In addition to using the Internet as an information resource, the library also provides Internet access to information for the public.

### Acceptable Use

The James H. Quillen College of Medicine library does NOT monitor and has no control over the information accessed through the Internet and cannot be held responsible for its content. Internet resources provided by the library are primarily provided for students, faculty and staff of ETSU and its colleges. We also provide access for community users as a courtesy.

The computer and Internet settings may not be changed.

The workstations may not be used for any fraudulent or unlawful purpose, including activities prohibited under any applicable federal, Tennessee, or local laws.

It is the responsibility of the user to be aware of the display of all notices concerning copyright and to respect the copyright laws of the United States.

## Guidelines for Public Internet Use

1. Computer use by patrons may be limited to 30 minutes per session.
2. Extension of the time limit may be granted at the library staff's discretion and only if the computer does not need to be accessed by another patron.
3. Internet use on the public terminals does not include the use of Email or online chat rooms.
4. James H. Quillen College of Medicine Library is not responsible for the quality or accuracy of information found through Internet resources.

Internet access privileges will not be given to anyone who breaches this usage policy.

2/2001; 07/11

[Back to Top](#)

# East Tennessee State University

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## University Libraries

(Sherrod and Extended Campuses)

The following library policies are reviewed periodically and are revised as necessary. Current library policies may be found on the University libraries website at: [http://sherrod.etsu.edu\\_blank](http://sherrod.etsu.edu_blank)

## Free Inquiry and the East Tennessee State University Libraries

The ETSU libraries provide a wide range and representation of published and electronic information to serve the objectives of the institution. The concept of free inquiry and its relation to the resources of the University libraries is self-evident; however, it is important to recognize and reaffirm the freedoms that are essential to the selection, organization, and use of the resources of the University.

The first essential freedom is to allow the selection of library books and other materials according to the instructional and research needs of the University faculty, recognizing the importance of representing all major views including those that may be currently unorthodox or controversial. The classification and arrangement of these library resources must also be based upon principles of free access, balanced with the need for preservation of resources.

The second essential freedom is to allow free inquiry by the individual. Under no circumstances should a faculty member, employee or student of East Tennessee State University be denied access to the library's collections or its facilities, or have any limitations imposed on use because of age, sex, color, race, religion, national origin, disability, veteran status, or sexual orientation.

## Collection Development Policy

All faculty, administrators and students at ETSU are encouraged to participate in building the library's collections. Requests for materials should be channeled through the appropriate academic department, which can evaluate and route requests in a manner consistent with the library and departmental policy.

## Book Requests

All books requested for the library are subject to available funds. Consideration is also given to the priority level assigned by the requestor:

1. Essential for instruction or research
2. Supplementary for reading or research

Book requests can be made through the Acquisitions Department, departmental library coordinator, or via the Electronic Request Form ([http://libraries.etsu.edu\\_blank](http://libraries.etsu.edu_blank)) on the



# East Tennessee State University

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Sherrod Library website. To assist in book selection and recommendations, several online review and selection resources are available from the acquisitions department.

It is the policy of the University Libraries to purchase only one copy of a book or monograph for addition to any collection, unless there is a demonstrated need for additional copies for reserve or curriculum support. It is also policy to purchase only books that are not held by the NEW Libraries (Northeast State Community College, East Tennessee State University, and Watauga Regional Library), as reflected in the University Libraries catalog ([http://sherrod.etsu.edu\\_blank](http://sherrod.etsu.edu_blank)) as all books in the federation are available via regular courier service. Purchase of duplicate material will be considered if there is demonstrated need.

## Gift Book Policy – Information for Prospective Donors

Refer to Sherrod Library at:

[http://sherrod.etsu.edu/lib/gifts.html\\_blank](http://sherrod.etsu.edu/lib/gifts.html_blank)

## Periodicals & Database Acquisition

Each title in the University Libraries periodical collection is assigned to departments within the various colleges campus-wide on basis of relevancy to discipline. Selection and recommendation of periodicals and journals are made by individual departments and are subject to final approval of the periodicals and acquisitions librarians.

The library honors journal requests from programs preparing for accreditation reviews as the budget allows. The collection is maintained at current cost levels, and for each additional title requested the department must suggest cancellation of one or more journals in their discipline of equal value.

The library prefers to subscribe to electronic journals to provide the broadest access to university students and personnel regardless of their location. Online periodicals (<http://sherrod.etsu.edu/tools/articles.html>) that are accessible by IP address are made available through a proxy server and are preferred over those requiring a password for access. Most of the library's electronic journals are obtained through subscriptions to vendor aggregated databases. New databases are selected based on recommendations from teaching faculty and library faculty. Some databases are provided through the Tennessee Electronic Library or the Regents Online Degree Program. Individual journals are also purchased when they are not available in one of the library's subscribed databases.

## Library Circulation/Reserve/E-Reserve Policy

### Circulation Policy

All persons checking out library materials must use their ETSU identification or library borrowers card.

# East Tennessee State University

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Students are encumbered for overdue outstanding library materials and/or fines totaling \$10 or more. Failure to pay fines and charges for lost materials may result in students being encumbered and not being permitted to register for subsequent terms or receive transcripts from the Registrar's Office. However, grades are not withheld.

## e. Disposition of Charges

All money paid for fines goes into the University's general fund, not to the Library.

## Course Reserve/E-Reserve Policy

Materials placed on reserve include materials from the Sherrod Library collections, materials owned by a faculty member, photocopies of materials, and materials that are scanned and posted to a server in PDF format (E-Reserve). Photocopying of all materials is the responsibility of the faculty member for purposes of copyright compliance. Copyright law guidelines require the library to hold no more than one photocopy of a work on reserve. Students may make their own study copy from the reserve item. Faculty members are asked to sign acknowledgment of copyright responsibility in the space provided on the Course Reserve Materials List.

## a. New Lists

Reserve Lists should be submitted at least 5 working days prior to the time the assignment is announced to students. The period of time required for processing a reserve list varies according to the volume of reserve requests, availability of materials and delays in retrieving books on loan. Please keep in mind that processing delays increase during the beginning of each semester.

NOTE: Lists will be processed in the order in which they are received.

### 1. Limitations

- a. Faculty should not request more than 20 items for a course without consulting the reserve staff prior to submission of the list. Lists should be limited to required readings. Suggested or recommended reading lists and/or resource materials are used infrequently, and students benefit more from direct loan of suggested readings from the general collection for the regular 4-week loan period.
- b. The faculty member should retrieve library materials from the stacks to be submitted along with the Reserve Materials List form. Forms are also available at the Reserve Desk. Note: For best results, change the print page margins (all) to 0.25" and make sure the header and footer information is not being printed. In Netscape or Internet Explorer, these settings are under the File menu then the Page Setting Menu.
- c. Materials are processed during weekdays only. Staff are not available for processing nights or weekends.

## b. Forms

# East Tennessee State University

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1. The Reserve Materials List form must include the following information:

- a. Faculty name
- b. Department
- c. Faculty extension number
- d. Semester and year
- e. Course number
- f. Date materials are to be removed from reserve
- g. Type of loan period desired
- h. Complete call numbers
- i. Building name/room number for return of materials
- j. Acknowledgment of copyright responsibility (faculty signature).

NOTE: If the assignment is to be a chapter in a book, please list the source by the book author and title, and then the chapter number.

2. Identification of reserve material for retrieval and records purposes uses one of the following designations.

1. a. Call Numbers. Materials from the Sherrod Library collections are identified by Dewey Decimal or Library of Congress call numbers.
- b. Personal Copy. Materials owned by a faculty member and loaned to the Reserve Desk will be shelved on Personal Copy shelves, alphabetically by faculty surname. When personal copies of titles on reserve are lost by users, the library is not liable for the loss; however, the library reserve staff will contact the faculty member concerning fines and/or replacement charges which would be consistent with library fine policies.
- c. Photocopies. Photocopies of materials are placed in folders, labeled by author and title, and are filed under faculty surname and then by author's surname (or title if there is no author). Photocopying of all material is the responsibility of the faculty member. For purposes of copyright compliance, a full bibliographic citation (author, title, publisher, date, etc.) documenting the source must accompany each photocopied article.

Copyright: Recent Copyright Law interpretations require the library to hold no more than one photocopy of a work for more than one term. From this copy, students may make their own study copy (Public Law 94-533, Sections 107 & 108; House Report 94-1476 and House Report 94-1733). Attached are "Copyright Guidelines with Respect to Books and Periodicals." Further information on the Copyright Law is available from the Library Circulation Department Supervisor. Faculty members must sign the space provided on the Reserve Materials List form acknowledging copyright responsibility.

c. Loan Periods

# East Tennessee State University

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Faculty members select the most appropriate loan period for their reserve materials from the following categories.

1. Two-hour, NOT TO LEAVE LIBRARY. Material may be used in the library for only two hours at a time and must be returned at the end of the two (2) hour limit.
2. One-day, material may be checked out for one day.
3. Three-day, material may be checked out for three days. Holds and renewals are not permitted on reserve materials. When multiple requests are received for a title, the reserve staff will select the more restrictive loan period.

## d. Faculty Loan Privileges

Faculty members, including those who placed the material on reserve, are subject to the same reserve loan periods as students.

## e. Periodicals

Periodical issues (bound or unbound) will not be placed on reserve in the Circulation/Reserve Department since these non-circulating materials are available in the Periodicals Department. Only personal photocopies of periodical articles will be placed on reserve. If a faculty member places an article from a periodical article on reserve, the article must be copied by the faculty member before submitting it to the Reserve Department staff. A full citation (author, title, publisher, date, etc.) documenting the source must accompany the photocopied article.

## f. Reserve Fines

1. 2-hour reserve material - \$0.50 per hour overdue
2. 1-day and 3-day reserve material - \$1.00 per day overdue

The reserve fine schedule is designed to assure return of materials on time because high demand and accessibility to the material is the library's priority. Fines accrue to a maximum of \$50.00.

## g. Removal from Reserve

Materials will be removed from the reserve collection as soon as possible after the date designated by the faculty member on the Reserve Materials List form as the termination date. Personal materials will be returned to the faculty member.

Materials are not automatically kept on active reserve status. All reserve materials will be reviewed periodically by the reserve staff and those materials not used frequently or recently will be removed.

## Copyright Guidelines with Respect to Books and Periodicals

# East Tennessee State University

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Public Law 94-553 is a major revision of federal copyright law and has been in effect since January 1, 1978. Almost all aspects of the use of copyrighted materials in any form or medium are governed by this law. A part of the law which is especially important for educators at ETSU to be aware of is the concept of "fair use" as it applies to the reproduction of copyrighted works.

## Faculty and Fair Use

The definition of fair use related to books and periodicals is provided in guidelines that were prepared as part of the Congressional Report accompanying the copyright law. Selections from the "Agreement of Guidelines for Classroom Copying in Not-For-Profit Educational Institutions" (H.R. Report 94-1476, p. 68-70) are summarized below using examples. The guidelines state the minimum and not the maximum standards of fair use under section 107 of the law.

## Faculty MAY:

1. Make or request a single copy for use in scholarly research, or in teaching, or in preparation for teaching a class, of the following:
  - a. A chapter from a book;
  - b. An article from a periodical or newspaper;
  - c. A short story, short essay, or short poem, whether or not from a collective work; or
  - d. A chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper.
2. Make or request multiple copies for classroom use only, and not to exceed one per student in a class, of the following:
  - a. A complete poem, if it is less than 250 words and printed on not more than two pages;
  - b. An excerpt from a longer poem, if it is less than 250 words;
  - c. A complete article, story, or essay, if it is less than 2,500 words, or an excerpt from any prose work if it is less than 1,000 words or 10 percent of the work, whichever is less but in any event a minimum of 500 words; or
  - d. One chart, graph, diagram, drawing, cartoon, or picture per book or periodical.

Each copy must include a notice of copyright.

If there is sufficient time, permission must be obtained to reuse any copy from the copyright holder. NOTE: Copying shall not be repeated with respect to the same item by the same teacher from term to term.

## Faculty MAY NOT:

1. Make multiple copies of a work for classroom use if it has already been copied for another course in the same institution.

# East Tennessee State University

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2. Make multiple copies of a short poem, article, story, or essay from the same author more than once in a class term, or make multiple copies from the same collective work or periodical issue more than three times a term.
3. Make multiple copies of works more than nine times in the same class term.
4. Make a copy of works to take the place of an anthology.
5. Make a copy of consumable materials, such as workbooks.

In general, short portions of works may be copied to be used for criticism, commentary, news reporting, teaching, scholarship, or research by library patrons.

Copying by Faculty or Students with University Equipment: In unsupervised copying of copyrighted material by faculty or students using University duplication equipment (e.g., coin operated or unsupervised photocopying machines or audiovisual equipment), compliance with the copyright law is the responsibility of the individual.

Questions relating to copying for educational purposes can be directed to the Dean, University Libraries; or, consult an attorney.

## Faculty Borrowing Policy

Faculty can borrow 100 library books for 90 days. Materials may be renewed in person, by phone, or via the patron account option on the online catalog.

Books borrowed by faculty will be recalled if another patron requests use of the item, and the faculty member has had the book at least 28 days. If a recalled book is not returned within 7 days from date of notification, it will be considered lost and the faculty member will be billed by the library for its replacement and processing costs.

A courtesy notice is sent to faculty members two weeks prior to the actual due date of an item. At the end of the 90-day loan period overdue notices will be sent via email or snail mail to faculty members. Fines on library materials will accumulate after the 90-day loan period. Faculty will be responsible for these fines and any costs regarding lost or damaged items.

Non-print materials, including videos, motion pictures, filmstrips, and audio recordings are checked out from the Library Media Center (LMC), located in 311 Sherrod Library, with no limitations except that material which is on reserve for another user must be returned in time for that user. No overdue fines are charged against a faculty member using LMC materials. Faculty will be responsible for any costs regarding lost or damaged materials. NOTE: Library faculty using videos for class presentations must reserve in advance since students are permitted to check out videos.

### Visiting Faculty Library Privileges

The Sherrod Library recognizes the scholarly research and curriculum needs of the University's designated full-time visiting faculty through interlibrary loan privileges that are subject to the conditions and procedures described below:

# East Tennessee State University

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## a. Temporary Faculty Borrowing Policy

Upon written notification by an ETSU vice-president, dean, or departmental chair, the Circulation Services Supervisor will authorize borrowing privileges to full-time visiting faculty. This notification will include the full name of the visiting faculty member, starting and ending dates of visit, and the sponsoring department's name and mailing address. The borrowing privileges will be accessed by presentation of an ETSU identification card issued at the time of registration with the sponsoring department. Sherrod Library faculty loan policy allows faculty to borrow books from the main circulating collection for 90-days. Materials may be renewed by telephone. A temporary faculty card expires on the ending date of the semester in which the card is issued but is renewable should the faculty member's work at ETSU continue past that date.

## b. Procedure for Recall and Retrieval

Books borrowed by faculty will be recalled if another ETSU patron requests use of the item. Faculty members are not charged standard overdue fines for materials returned late, but must pay replacement charges for lost books and recall and reserve desk late charges. Replacement costs are based on the average cost of a book, currently \$45 for books from the main circulating collections.

Should materials charged out to visiting faculty remain outstanding after the visiting faculty member has left ETSU, the sponsoring University officials and offices will be asked to aid the library in retrieving the materials. All correspondence concerning recall or retrieval of library materials will be conducted through the appropriate departmental University offices.

## Tennessee Academic Library Collaborative (TALC)

The Tennessee Academic Library Collaborative was created to foster collaboration activities among the libraries of Tennessee's public institutions of higher education. TALC is comprised of the libraries of the State University and Community College System of Tennessee (TBR) and the University of Tennessee System. The driving force behind TALC is a commitment to meeting the information needs of its collective clientele while striving to reduce the rate of increase of costs.

TALC has implemented a Universal Borrower's Card for approved members that can be used by faculty and students in obtaining library materials from sister institutions.

## Confidentiality of Records Policy

The ETSU Libraries protect patrons' privacy regarding use of the library and library material. The patron records maintained in the library are considered private and confidential.

Library record is defined as a "document, record or other method of storing information retained by a library that identifies a person as having requested or obtained specific information or materials from such library. Library record does not include non-identifying

# East Tennessee State University

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material that may be retained for the purpose of studying or evaluating the circulation of library materials in general." Tennessee Code Annotated 10-8-101 (b).

TCA 10-8-101 through 10-8-103 provides that, "No employee of a library shall disclose any library record that identifies a person as having requested or obtained specific materials, information or services or as having otherwise used such library. Such Library records shall be considered an exception to the provisions of Section 10-7-503 (which provides that all public records shall be open for public inspection)."

Requests for confidential library information that cannot be honored:

1. A request for the circulation records of a patron.
2. A request by a faculty member for the identities of students who borrowed reserve items.
3. A request to review the circulation records of a student suspected of plagiarism.
4. A request to see interlibrary loan borrowing records.
5. A request for addresses, phone numbers, ID numbers, or other personal information contained in the patron database.
6. A request to see a list of individuals who are not members of the University community but who have been granted library borrowing privileges.
7. A request to reveal the nature of a patron's reference request or database search.
8. A request for a list of suggested acquisitions submitted by a particular person.
9. A request from law enforcement authorities for the identity of anyone conducting research on a particular subject.
- 10A request for the names of persons who have used audio-visual materials.
- 11A request for a list of items photocopied for or faxed to a particular person.
- 12A request by a parent for information such as fines or other fees by the library without the student's permission.
- 13A request to review past use of study room, listening room, study carrel, or CD-ROM workstation.

Library records may be disclosed only under the following circumstances:

1. Upon the written consent of the library patron.
2. Pursuant to the order of a court of competent jurisdiction. Upon receipt of such process, order, or subpoena, the library's officers will consult with their legal counsel to determine if such process, order, or subpoena is in proper form and if there is a showing of good cause for its issuance; if the process, order, or subpoena is not in proper form or if good cause has not been shown, they will insist that such defects be cured.
3. When used to seek reimbursement for the return of lost, stolen, misplaced or otherwise overdue library materials.



# East Tennessee State University

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## Interlibrary Loan Policy

The Interlibrary Loan (ILL) department obtains materials from other libraries to support the teaching and research of all ETSU faculty and staff and the scholarly activity of enrolled students. Online access to an account for requesting and tracking books and other material is available to all current employees and students. ILL users are responsible for careful handling and prompt return of all borrowed materials. The Sherrod Library uses funds from indirect costs of grants to subsidize interlibrary loan fees and copyright fees for faculty, staff, and graduate students. Any fines from overdue or lost material are the responsibility of the patron.

## Library Instruction

The library instruction program's purpose is to instill students and faculty with skills necessary to access, retrieve, capture, and evaluate information resources in print and electronic media. The information skills taught in the library instruction program support the University's mission by educating students to locate and use information that supports their scholarship, and whose aims are to help them become responsible, enlightened, and productive citizens; improve the human community; and enhance the cultural environment of the region. Instruction sessions are developed in conjunction with teaching faculty to meet the specific goals of their classes and pedagogical styles are developed to fit the needs of students in various disciplines and level of academic skill. The information seeking skills taught in library instruction classes are designed to assist students in fulfilling their information needs, not only for a particular class, but also for future topical interests. Instruction classes are continually revised and adapted to the changing information requests of teaching faculty and to embrace new information resources acquired by the library.

The library instruction and orientation services program is geared towards the curricular needs of the University faculty and is available for their classes. Faculty should schedule their library instruction needs two weeks in advance through the Faculty Outreach Librarian (1642 Sherrod Library). Faculty should be prepared to discuss with the assigned library faculty member any class assignments related to library use since they increase the learning experience related to library instruction. Faculty who plan to have their classes do independent work in the library should schedule such visits with the Faculty Outreach Librarian. Faculty or graduate teaching assistants should remain with their classes while in the library.

## Database Access

The Sherrod Library offers access to commercial databases via end-user searching via the Internet. Access to a variety of bibliographic databases is available utilizing authentication with a current, valid ETSU ID log-on from any computer.

## Library Assigned Study Rooms

# East Tennessee State University

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There are a total of 54 lockable Assigned Study Rooms in the central bookstack areas of the Sherrod Library, distributed 18 per floor. Six Assigned Study Rooms, two per floor, are reserved as open rooms.

The lockable Assigned Study Rooms include a work surface, chair, and electrical and data outlets for the use of personally owned equipment. There is no telephone service available in the study rooms. The proper installation of personal computers in the study rooms is the responsibility of the assignee.

## Policies

Based on guidelines approved by the University Libraries Advisory Committee, the library Assigned Study Rooms are reserved only for the use of faculty and graduate students engaged in ETSU related research projects where access to the library collections and services is necessary as a contribution to that research.

**NOTE:** Long-term assignments of the study rooms are not made due to the demand for this important library resource.

## Eligibility for Application

- a. All full-time ETSU tenured and tenure-track faculty working on an research project requiring library materials.
- b. All ETSU emeritus faculty working on a research project requiring library materials.
- c. Visiting resident faculty sponsored by an ETSU department working on a research project requiring library materials.
- d. Graduate students in the thesis or designated paper stage of their studies.

**EXCLUSIONS:** Graduate students in their first year of study, graduate research assistants who have access to faculty offices and spouses or family members of eligible faculty and graduate students.

## Term of Assignment

The term of assignment for study rooms is one semester, renewable, but contingent upon demand by other applicants. The maximum period of assignment is limited to two semesters after which the assignee must vacate and reapply for post-assignment consideration.

## Method of Assignment

Applicants will complete a library Assigned Study Room application available in the Sherrod Library Administration Office, Room 417. The application will then be reviewed by library administration and forwarded to the academic department chair or academic thesis committee chair to confirm and approve eligibility. The department or committee chair then

# East Tennessee State University

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forwards it to the Dean of Libraries. Approved applicants will be put on a list for assignment of a study room and will be notified by the office of the Dean of Libraries when one is available. All applicants will need to obtain a key from the Library Administration office for the Assigned Study Room. Lost keys will be charged to the applicant's account with an additional service charge when a lock change is required.

## Library Media Center (LMC)

The Library Media Center (LMC) is housed in Sherrod Library, Room 311. It acquires, maintains, and circulates the University's collection of audiovisual media (including DVDs, videotapes, CD recordings, audio books, multimedia material, anatomy models, etc.) in support of all curriculum areas except those in the Quillen College of Medicine.

### Acquisition Policy

All items requested for the LMC are subject to available funds. Consideration is also given to the priority level assigned by the requestor:

1. Essential for instruction or research
2. Supplementary for reading or research

Media requests can be made through the LMC, the Acquisitions Department, departmental library coordinator, or via the Electronic Request Form on the Sherrod Library website.

Requestors should check the online catalog for current holdings before submitting requests, and whenever possible, include copy of catalog description, review, or other citation.

### Circulation

Circulation is free to students, faculty, and community borrowers. Loan periods, restrictions, and fines vary by type of material and patron category. All patrons must have a current ETSU ID.

#### a. Advance Bookings

Faculty are encouraged to make advance bookings of all materials to be used in class during the course of a semester. Bookings will be received in person, by phone, and email.

#### b. Course Reserves

Faculty are encouraged to place on reserve for in-house only materials of materials they assign for supplemental listening/ viewing during the course of a semester.

#### c. Type of Materials

# East Tennessee State University

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1. Audiobooks (CD or cassette). 28 day loan, renewable once if no hold, no limit for faculty/staff; limit of 2 for students. Overdue fines: \$.25 per day to a maximum of \$10.00; replacement fee of \$45.00.

2. DVD and Videotapes: one week loan for faculty staff and students, renewable once if no hold; no limit for faculty, 2 limit for students ; overdue fine \$1 per day to maximum of \$50 ; if lost, replacement fee of \$100 plus accumulated fine.

3. Anatomy models: 2 hour checkout (In Library Use Only) for Students, Faculty, Staff. \$.50 per hour late fee up to \$10.00. Replacement cost is \$100.00

4. Microcomputer software (media that accompanies, monographs, etc.): 28 day loan; otherwise 7 day loan ; no limit ; overdue fine \$1 per day to maximum of \$50; if lost, replacement fee of \$100 plus accumulated fine.

5. Media Equipment: LMC will circulate media equipment for short-term use only. This includes video projectors and TurningPoint Audience Response Systems Patron must fill out an Equipment Loan Contract form.

## Viewing Facilities and Room Bookings

The LMC has viewing facilities available with 20 individual carrels, four small group rooms, two large group rooms, and a multimedia room.

Except for the room temporarily assigned to Supplemental Instruction, rooms are not available for long-term booking. Large and small group rooms, located on the third floor of Sherrod Library, are available on a first-come, first-serve basis or may be booked in advance by phoning the Library Media Center. The Multimedia Room (Room 309) should be booked at least 24 hours in advance, and presenters must have training in operating the equipment. This room is well suited for videoconferences and other multimedia presentations.

10/11; 7/13

[Back to Top](#)

# East Tennessee State University

---

## Departmental Tenure and Promotion Criteria

[Clemmer College of Education](#)

[College of Arts and Sciences](#)

[College of Business and Technology](#)

[College of Clinical and Rehabilitative Health Sciences](#)

[College of Nursing](#)

[College of Public Health](#)

[Gatton College of Pharmacy](#)

[Quillen College of Medicine](#)

[School of Continuing Studies and Academic Outreach](#)

[Sherrod Library](#)

# East Tennessee State University

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## Clemmer College of Education Tenure and Promotion Criteria

Curriculum and Instruction

[Tenure](#) || [Promotion](#)

Education Leadership and Policy Analysis

[Tenure](#) || [Promotion](#)

Human Development and Learning

[Tenure](#) || [Promotion](#)

Kinesiology, Leisure and Sport Sciences

[Tenure](#) || [Promotion](#)

University School

[Tenure](#) || [Promotion](#)

# East Tennessee State University

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## Arts and Sciences

Appalachian Studies

[Tenure](#) || [Promotion](#)

Art and Design

[Tenure](#) || [Promotion](#)

Biological Sciences

[Tenure](#) || [Promotion](#)

Chemistry

[Tenure](#) || [Promotion](#)

Communication

[Tenure](#) || [Promotion](#)

Criminal Justice and Criminology

[Tenure](#) || [Promotion](#)

Geosciences

[Tenure](#) || [Promotion](#)

History

[Tenure](#) || [Promotion](#)

Literature and Language

[Tenure](#) || [Promotion](#)

Mathematics and Statistics

[Tenure](#) || [Promotion](#)

Music

[Tenure](#) || [Promotion](#)

Philosophy and Humanities

[Tenure](#) || [Promotion](#)

Physics and Astronomy

[Tenure](#) || [Promotion](#)

# East Tennessee State University

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Political Science, International Affairs, and Public Administration

[Tenure](#) || [Promotion](#)

Psychology

[Tenure](#) || [Promotion](#)

Social Work

[Tenure](#) || [Promotion](#)

Sociology and Anthropology

[Tenure](#) || [Promotion](#)



# East Tennessee State University

---

## College of Business & Technology Tenure and Promotion Criteria

Accountancy

[Tenure](#) || [Promotion](#)

Computer and Information Sciences

[Tenure](#) || [Promotion](#)

Economics and Finance

[Tenure](#) || [Promotion](#)

Engineering Technology, Surveying, and Digital Media

[Tenure](#) || [Promotion](#)

Management and Marketing

[Tenure](#) || [Promotion](#)

# East Tennessee State University

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## College of Clinical & Rehabilitative Health Sciences Tenure and Promotion Criteria

Allied Health Sciences

[Tenure](#) || [Promotion](#)

Audiology and Speech-Language Pathology

[Tenure](#) || [Promotion](#)

Physical Therapy

[Tenure](#) || [Promotion](#)

# East Tennessee State University

---

## College of Nursing Tenure and Promotion Criteria

College of Nursing

[Tenure](#) || [Promotion](#)

# East Tennessee State University

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## College of Public Health Tenure and Promotion Criteria

Biostatistics/Epidemiology

[Tenure](#) || [Promotion](#)

Community and Behavioral Health

[Tenure](#) || [Promotion](#)

Environmental Health

[Tenure](#) || [Promotion](#)

Health Sciences

[Tenure](#) || [Promotion](#)

Health Services Management and Policy

[Tenure](#) || [Promotion](#)

# East Tennessee State University

---

## Gatton College of Pharmacy Tenure and Promotion Criteria

Pharmaceutical Sciences

[Tenure](#) || [Promotion](#)

Pharmacy Practice

[Tenure](#) || [Promotion](#)

# East Tennessee State University

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## Quillen College of Medicine Tenure and Promotion Criteria

Biomedical Sciences

[Tenure](#) || [Promotion](#)

Family Medicine

[Tenure](#) || [Promotion](#)

Internal Medicine

[Tenure](#) || [Promotion](#)

Obstetrics & Gynecology

[Tenure](#) || [Promotion](#)

Pathology

[Tenure](#) || [Promotion](#)

Pediatrics

[Tenure](#) || [Promotion](#)

Psychiatry & Behavioral Sciences

[Tenure](#) || [Promotion](#)

Surgery

[Tenure](#) || [Promotion](#)

# East Tennessee State University

---

## School of Continuing Studies and Academic Outreach Tenure and Promotion Criteria

Cross-Disciplinary Studies

[Tenure](#) || [Promotion](#)

# East Tennessee State University

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## Sherrod Library Tenure and Promotion Criteria

Library

[Tenure](#) || [Promotion](#)