

BYLAWS OF THE DEPARTMENT OF MATHEMATICS

THE UNIVERSITY OF TENNESSEE AT CHATTANOOGA

304 Lupton Hall, 615 McCallie Avenue, Chattanooga, Tennessee 37403

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1. Introduction. The mission of the Department of Mathematics at The University of Tennessee at Chattanooga (UTC) is to teach mathematics and to engage in active scholarship and service. We, the Mathematics Faculty, constitute these *Bylaws* and operational policies to assist the Department in achieving excellence in teaching, advising, research, and service. If any policy or procedure in the *Bylaws* is found to be in conflict with the policies or the procedures of the College of Arts and Sciences (CAS), the University, or the University of Tennessee Board of Trustees, the policies and procedures of these three entities will take precedence (see *UTC Faculty Handbook*¹, page 1). Proposed amendments to the *Bylaws* are possible with a positive two-thirds majority vote of the eligible voting members of the Department (see Section 2.5). Any proposed amendments or revisions to the *Bylaws* must be provided to the Department one week before they will be voted on by the Department. Any amendments or revisions approved by the Department will become effective upon approval of the CAS Dean and Provost.

2. Department Organizational Structure and Meetings.

2.1. Membership. The members of the Department are classified into the following categories:

- (1) Tenured and Tenure-Track Faculty
 - (a) Tenured Faculty are faculty members who hold tenure in the Department.
 - (b) Tenure-Track Faculty are faculty members who have been appointed to a tenure-track position but who have not been awarded tenure in the Department.
- (2) Non-Tenure-Track Faculty
 - (a) Senior Lecturers are full-time faculty members who, typically after six years as an Associate Lecturer, were successfully promoted and whose primary duty is to teach.
 - (b) Associate Lecturers are full-time faculty members who, typically after four years as a Lecturer, were successfully promoted and whose primary duty is to teach.
 - (c) Lecturers are full-time faculty members whose primary duty is to teach.
 - (d) Adjunct Faculty are part or full-time faculty members whose primary duty is to teach on a limited-term appointment.

¹*UTC Faculty Handbook*,
<https://www.utc.edu/academic-affairs/faculty-senate/faculty-handbook>.

- (e) Visiting Faculty are faculty members whose official status is that as a visiting faculty member and whose primary duties are to teach and/or to perform research.
- (3) Administrative Staff and Graduate Teaching Assistants (GTAs)
 - (a) Administrative Staff consists of individuals who function in the role of administrative support.
 - (b) Graduate Teaching Assistants are graduate students supported by the Department through teaching and/or research assistantships.

2.2. Faculty Administrative Officers.

2.2.1. Department Head. From the *UTC Faculty Handbook*: “The department head serves at the pleasure of the dean, Provost, and Chancellor. The dean conducts an annual evaluation of the department head”.

2.2.2. Undergraduate Program Director. The Undergraduate Program Director is appointed by the Department Head after consultation with the Advisory Committee. The normal term of appointment is three years, with potential for reappointment, but the Undergraduate Program Director serves at the pleasure of the Department Head, CAS Dean, and Provost. Duties of the Undergraduate Program Director include oversight of degree progress of undergraduate majors and undergraduate courses. The Undergraduate Program Director facilitates advising of undergraduate majors and record-keeping associated with the undergraduate program, and chairs the Scheduling Committee. A reduction in teaching load, subject to approval by the CAS Dean and the Provost, normally accompanies this position.

2.2.3. Graduate Program Director. The Graduate Program Director is appointed by the Department Head after consultation with the Advisory Committee. The normal term of appointment is three years, with potential for reappointment, but the Graduate Program Director serves at the pleasure of the Department Head, CAS Dean, and Provost. Duties of the Graduate Program Director include oversight of degree progress of graduate students and graduate courses. The Graduate Program Director chairs the Graduate Committee. The Graduate Program Director facilitates recruitment, admission, and assignment of financial aid for graduate students and record-keeping associated with the graduate program. A reduction in teaching load, subject to approval by the CAS Dean and the Provost, normally accompanies this position.

2.2.4. Associate Department Head. The Department Head appoints the Associate Department Head after consultation with the Advisory Committee. The normal term of appointment is three years, with potential for reappointment, but the Associate Department Head serves at the pleasure of the Department Head, CAS Dean, and Provost. The Associate Department Head performs such administrative tasks as may be assigned by the Department Head, and in the Department Head's absence, the Associate Department Head represents the Department as needed in internal and external forums. If mutually agreed upon by all parties including the Advisory Committee, one of the Program Directors may also serve as the Associate Department Head. A reduction in teaching load, subject to approval by the CAS Dean and the Provost, normally accompanies this position.

2.3. Meetings. The operational procedures and policies will be deliberated at regular departmental meetings. Agenda items are determined by the Department Head in consultation with the faculty. All members of the Department are welcome to attend and to participate in the discussion. Departmental meetings will be conducted according to *Robert's Rules of Order*², unless otherwise provided under these bylaws. Unless indicated otherwise, passage of a motion will be done by simple majority of eligible voters present. A quorum consists of a simple majority of the total number of faculty members in Categories (1), (2a), (2b), and (2c). No absentee or proxy voting will be permitted for ballots cast during a meeting. When circumstances dictate, official meetings may be held using a video conferencing platform (e.g., Zoom or Skype).

2.4. Committees. This section defines the responsibilities, the membership criteria, and the constitution of the departmental committees to determine and to manage the activities related to the mission of the Department. Voter eligibility is described in Section 2.5. The members in Categories (1) and (2) are expected to participate in the activities of the committee work. They may make their preferences known to the Department Head and to the Advisory Committee on which committees they would like to serve. The term of office for all standing departmental committees is September 1st to August 31st of the following year.

The Department has the following committees:

- (1) Academic Awards

²H. M. Robert III, D. H. Honemann, T. J. Balch, D. E. Seabold, and S. Gerber, *Robert's Rules of Order Newly Revised*, 11th ed. (Da Capo Press, 2011).

- (2) Advisory
- (3) Budget
- (4) Colloquium
- (5) Contingent Faculty
- (6) Faculty Recruitment
- (7) Graduate
- (8) Math Competitions
- (9) Reappointment, Tenure, and Promotion (RTP)
- (10) Scheduling
- (11) Student Activities
- (12) Student Recruitment and Success
- (13) Undergraduate
- (14) Ad Hoc

To provide these committees with strong leaderships, the Department Head will appoint the Committee Chairs in consultation with the Advisory Committee. Unless indicated otherwise, a committee appointment is for one year only. Some committees will allow student representation and associated voting privileges. Should a committee choose to, a positive vote on a motion in the committee may result in the motion being forwarded to the Department, as a seconded motion, for consideration. The structure of a departmental committee should be representative of the different ranks in the Department, unless this is not permissible due to the relatively small size of the committee.

2.4.1. Committee Descriptions and Membership.

- (1) **Academic Awards.** This committee makes recommendations to the Department regarding the award of any scholarships for current students or future students in mathematics. The committee is responsible for advertising these scholarships, developing, distributing, collecting, and evaluating applications, and making careful recommendations to the Department. The committee is responsible for recommending the recipients of the annual awards given by the Department. The committee also makes recommendations to the Department regarding the UTC Student Government Association Outstanding Senior Award. In addition, the committee is charged with scheduling and making the necessary arrangements for the Honors Day Reception and Awards Ceremony.

Membership. Four members in Category (1) and two members in Category (2a), (2b), or (2c). No student members will serve on this committee.

- (2) **Advisory.** The charge of this committee is to draft and to update the departmental policies and procedures that are relevant to the *Bylaws*. In addition, this committee advises the Department Head on faculty concerns within the Department and assigning members to the other departmental committees.

Membership. Department Head plus two members in Category (1a), one member in Category (1b), and one member in Category (2a) or (2b). These members are elected from their respective categories by September 1st.

- (3) **Budget.** This committee reviews the annual operating budget, the gift fund, and the endowments. The committee works with the Department Head on matters regarding the amount, the structure, and the distribution of the budget of the Department. It further provides input on the departmental priorities and the resource allocation to the Department Head on the annual budget, as well as other departmental accounts. The committee seeks to foster budgeting transparency, longer term as well as immediate fiscal planning, a greater understanding of budget complexities within the Department, and a clear connection between the Department budget, College of Arts and Sciences goals, and the University's Strategic Plan. It is recommended that one member of the committee will volunteer to serve on the Budget and Economic Status Committee.

Membership. Three members in Category (1) and Department Head.

- (4) **Colloquium.** This committee schedules the times, the speakers, and the rooms for the departmental colloquium series. An attempt should be made to invite a broad spectrum of outstanding speakers on research topics that are of current interest to the Department and to provide an opportunity for faculty members and students to present their own research. The committee also seeks funding from internal and/or external sources to reimburse travel

expenses and, if appropriate, to provide honoraria for the guest speakers.

Membership. Three members in Category (1), one member in Category (2a), (2b), or (2c), one graduate student, and one undergraduate student.

- (5) **Contingent Faculty.** This committee provides the members of the contingent faculty, consisting of the members in Categories (2a), (2b), (2c), and (2e), their own forum, apart from the tenured and tenure-track faculty and the Department Head. The Committee Chair collects concerns or recommendations from the contingent faculty and brings them forward to the Department Head.

Membership. Members in Categories (2a), (2b), (2c), and (2e).

- (6) **Faculty Recruitment.** This committee consults with the Department to determine the staffing needs of the Department, works with the Department Head to write advertisements, and evaluates applicants for faculty openings. These decisions are crucial to the future success of the Department. Every effort should be made to solicit input from all members of the Department regarding the areas of specialization of the prospective candidates. The committee recommends candidates to the Department, which then meets as a body for discussion. The members in Categories (1a) will vote on a recommendation that they forward to the Department Head. See Section 6.1 regarding the hiring of non-tenure-track faculty members.

Membership. Five members in Category (1a) and one member in Category (2a).

- (7) **Graduate.** This committee considers all issues pertaining to the Department's graduate program. These issues include admission, selection and placement of GTAs, programs of study, pedagogy (including classroom visitations and evaluation of teaching in conjunction with the RTP Committee), modification of degree requirements, review of proposals to add, modify or delete graduate courses, preliminary examinations, supervisory committees, M.S. and Ph.D. defenses, and advisement. Any change to the

curriculum requires a majority vote of those eligible. One member of either this committee or the Undergraduate Committee who is also a member of the Graduate Faculty, will serve as the representative to the College Curriculum Committee.

Membership. Four members of the Graduate Faculty elected by members in Category (1) with members in Category (1b) having completed at least three consecutive years of their appointment, and Graduate Program Director as Chair.

- (8) **Math Competitions.** This committee administers events such as the Freshman Math Award, the TMTA (Tennessee Mathematics Teachers' Association) High School Math Contest, the MAA (Mathematical Association of America) AMC (American Mathematics Competitions) 8, AMC 10, AMC 12, and Middle and High School Poster Competition.

Membership. Minimum of three members in Categories (1) and (2), including at least one member from each of these categories.

- (9) **Reappointment, Tenure, and Promotion.** This committee considers reappointment, tenure, and promotion for faculty members within the Department. The role of the RTP Committee is critical and described in the *UTC Faculty Handbook*. The Chair of the RTP Committee must be a Full Professor.

Membership. All members in Category (1a), except Department Head.

- (10) **Scheduling.** This committee creates the class schedule for each semester. It is important that the committee identifies future course offerings for subsequent semesters (e.g., for at least three years) and provides this information to the Department for advising and recruitment.

Membership. Three members in Category (1), Graduate Program Director and Undergraduate Program Director, in consultation with the Department Head.

- (11) **Student Activities.** This committee facilitates communication between student chapters of the Association for Women in Mathematics and Pi Mu Epsilon and the UTC Math Club, and between those organizations and the Department. The committee meets at least once per regular semester.

Membership. Faculty Advisors plus two members from Categories (1) or (2) and Student Presidents of AWM, Pi Mu Epsilon, and UTC Math Club.

- (12) **Student Recruitment and Success.** This committee considers issues pertaining to recruitment and retention of undergraduate majors, along with their pre- and post-graduation success. The committee is responsible for organizing department sponsored events involving students (e.g., Student Advisement Nights and Student Welcome Back Party). The committee is expected to participate in on-campus new student recruiting events sponsored by the College and University. The committee may additionally participate in community outreach activities sponsored by Pi Mu Epsilon and the UTC Math Club (e.g., Annual Food Drive) and in off-campus recruiting activities.

Membership. Three members in Category (1), three members in Category (2a), (2b), or (2c).

- (13) **Undergraduate.** This committee considers issues pertaining to the Department's undergraduate program, including programs of study, pedagogy (including classroom visitations and evaluation of teaching in conjunction with the RTP Committee), modification of degree requirements, review of proposals to add, modify or delete undergraduate courses, program assessment and accreditation, internships, research and other experiential learning opportunities, and advisement. Any change to the curriculum requires a majority vote of those eligible. One member of either this committee who is also a member of the Graduate Faculty, or a member of the Graduate Committee will serve as the representative to the College Curriculum Committee.

Membership. Three members from Category (1) with members in Category (1b) having completed at least three consecutive years of their appointment, elected by

members from Category (1) with members in Category (1b) having completed at least three consecutive years of their appointment, plus two members from Categories (2a) and (2b) elected by members from those categories and Undergraduate Program Director as Chair.

- (14) **Ad Hoc.** This committee will be established to address a short term departmental issue only, as determined necessary by the Department Head. It will be dissolved after the assigned duties are accomplished.

Membership. Determined by the Department Head in consultation with the Advisory Committee.

2.5. Voter Eligibility. The members in Categories (1), (2a), (2b), and (2c) are eligible to vote on a department motion as follows:

- (1) Voting on hiring, staffing, or changes in the *Bylaws* are restricted to the members in Category (1a).
- (2) Voting on academic awards and colloquia are restricted to members in Categories (1), (2a), (2b), and (2c).
- (3) Voting on the curriculum and choice of textbooks are restricted to the members in Categories (1), (2a), and (2b). If the proposal pertains to the graduate curriculum, only the members in Category (1) with current membership in the Graduate Faculty may vote on the proposal.

3. EDO Evaluations and Reappointment Process for Tenure-Track and Tenured Faculty.

3.1. EDO Performance Evaluation. Each tenured and tenure-track faculty member will participate in an annual review, called the EDO (Evaluation and Development by Objectives) process (see *UTC Faculty Handbook*). Specific expectations for each faculty member are to be developed annually in consultation with the Department Head and explicitly included in the faculty member's statements for the EDO objectives concerning the following primary areas: teaching and advising, research, and service. These criteria are followed by representative activities, rather than exhaustive lists. Individual faculty members are responsible for documenting specific professional activities according to each criterion. Representative activities for EDOs that Meet Expectations and for EDOs

that Exceed Expectations are given below. A rating of Needs Improvement may occur if the faculty members fails to adequately engage in activities identified as representative activities for Meets Expectations. A rating of Unsatisfactory may occur if the faculty member fails to engage in activities identified as representative activities for Meets Expectations and whose performance in any of the three categories falls significantly below minimal expectations of the profession. Examples of such behavior include failure to meet classes, failure to submit grades in a timely manner, or to perform duties in a manner which has a negative impact on the students, the Department, the College, or the University.

3.1.1. Teaching and Advising. All tenured and tenure-track faculty members, regardless of rank and status, are expected to demonstrate a strong commitment to teaching excellence and to deliver quality instruction.

- (1) Representative activities for EDOs that Meet Expectations include, for example:
 - (a) Prepare syllabi following University guidelines
 - (b) Select teaching materials appropriate to the course description
 - (c) Teach courses in accordance with the syllabus
 - (d) Specify in the syllabus a reasonable grading policy to be carefully followed
 - (e) Meet classes as scheduled or, if it is necessary to be absent, notify the Department Head
 - (f) Hold office hours and be available to meet with students outside of regular class hours
 - (g) Share in the responsibility of academic advising, according to departmental arrangements for advisement
 - (h) Write letters of recommendation for students, if requested
 - (i) Submit grades according to UTC requirements
 - (j) Submit necessary materials for General Education courses taught
- (2) Representative activities for EDOs that Exceed Expectations include, for example:
 - (a) Develop and implement new programs
 - (b) Develop and implement new courses or substantially revise existing courses

- (c) Develop innovative teaching techniques and use of emerging technologies
- (d) Obtain awards for teaching excellence
- (e) Direct undergraduate research, Honors thesis, M.S. thesis, or Ph.D. dissertation
- (f) Participate in professional development activities, including workshops and symposia
- (g) Organize student fairs and undergraduate student competitions
- (h) Coach students applying for scholarships and awards
- (i) Supervise independent study courses
- (j) Write textbooks, publish scholarly articles in mathematics education, or present at research conferences in mathematics education
- (k) Write and submit grant proposals concentrating on instruction

3.1.2. Research. All tenured and tenure-track faculty members are expected to maintain an active, relevant research program in their areas of specialization.

- (1) Representative activities for EDOs that Meet Expectations include, for example:
 - (a) Publish research in journals that are judged to be high quality by peers, which include articles and other works published in refereed (printed or online) journals, books, parts of books, reviews, book reviews, monographs, survey articles, and accepted manuscripts
 - (b) Present research papers at technical and professional meetings, which include colloquia and seminars at other universities and research institutions
 - (c) Participate in conferences, workshops, and seminars with themes relevant to the research mission of mathematics
- (2) Representative activities for EDOs that Exceed Expectations include, for example:
 - (a) Secure funded projects, grants, or contracts
 - (b) Appointment to editorial boards of research journals, monographs, conference proceedings, or other scholarly publications

- (c) Engage in outreach activities in which there was significant use of the faculty member's expertise
- (d) Present invited talks in symposia, workshops, or other research conferences
- (e) Develop innovative software solving research problems
- (f) Publish with student coauthors

3.1.3. Service. All tenured and tenure-track faculty members are expected to engage in service at the Department, College, and/or University levels through committee assignments, or less official arrangements developed in consultation with the Department Head. These faculty members are expected to engage in professional service activities, as may be appropriate in mathematics.

- (1) Representative activities for EDOs that Meet Expectations include, for example:
 - (a) Develop advising materials for use by colleagues
 - (b) Attend advising events
 - (c) Participate in commencement exercises
 - (d) Serve as course coordinators
 - (e) Serve on departmental, college, and/or university committees
- (2) Representative activities for EDOs that Exceed Expectations include, for example:
 - (a) Participate in recruitment and enrollment activities which have a direct benefit to the Department
 - (b) Provide service to the Department, which include mentoring junior faculty in grantsmanship, publications, teaching, and service
 - (c) Provide service to discipline, which include selection as organizer or committee member for professional meetings, refereeing grant proposals for research funding agencies, refereeing contributions to journals, books, and professional conferences, and organizing research conferences, special sessions, or minisymposia within conferences

The Department Head will evaluate the EDOs of all members of the faculty. Policies in the *UTC Faculty Handbook* will be followed in the event of an EDO rating of Needs Improvement for Rank or Unsatisfactory for Rank.

4. Tenure-Track Process.

4.1. Evaluation. A faculty member holding a tenure-track appointment must serve a probationary period prior to being considered for tenure. The Department Head uses the EDO process for annual evaluations of faculty members. Essential to the EDO process and progress toward tenure is the connection between the expectations for annual performance to the long-term efforts toward tenure (see *UTC Faculty Handbook*). A candidate applying for reappointment, tenure, or promotion is required to present his or her research in the Mathematics Colloquium Series. This presentation should take place in the semester during which the candidate is applying, and it should occur prior to the vote by the RTP Committee.

4.2. Reappointment. A tenure-track faculty member is considered annually for reappointment. The faculty member must prepare and submit an annual dossier for consideration by the RTP Committee. The dossier will include all items identified in the *UTC College of Arts and Sciences Bylaws*³ and the *UTC Faculty Handbook*, in addition to two reports from teaching observations completed by the RTP Committee. Supplemental items may be included at the discretion of the particular faculty. A recommendation on reappointment will be forwarded from the RTP Committee to the Department Head. It is the responsibility of the Department Head to judiciously evaluate the faculty member in determining whether to recommend reappointment of the faculty member for the following year (see *UTC Faculty Handbook*).

4.3. Granting of Tenure. This section elaborates on the procedure and criteria used for granting tenure in the Department (for information on tenure-track appointments, including details related to applying for early tenure, see the *UTC Faculty Handbook*). The required materials to be submitted by a candidate are indicated on the *UTC Tenure/Promotion Folder Checklist*⁴. A candidate may additionally submit course development materials, samples of scholarly work, journal rankings and impact factors, and narratives on teaching, research, and service. These areas of activity should be in accord with the annual assignment of duties. The tenure evaluation should provide an account of this assignment.

4.4. Procedure. In all matters related to the tenure process, the Department will adhere to the following procedure (see *UTC Faculty Handbook*):

³*UTC College of Arts and Sciences Bylaws*, <https://www.utc.edu/academic-affairs/bylaws-for-colleges-and-academic-department>.

⁴*UTC Tenure/Promotion Folder Checklist*, <https://www.utc.edu/media/14446>.

- (1) A faculty member considered for tenure must hold the Ph.D., the Sc.D., or an equivalent terminal degree in mathematics or statistics, or a related field, from an accredited university program.
- (2) Evaluations regarding tenure are made as follows. The RTP Committee for tenure consists of the tenured faculty members within the Department. The candidate must prepare and submit a tenure dossier to the RTP Committee (see *UTC Faculty Handbook*). The candidate shall present his or her research at the Mathematics Colloquium. The RTP Committee conducts a peer review of the candidate's teaching. To determine the quality of the candidate's research, the RTP Committee solicits written evaluation of research from at least four nationally or internationally recognized external reviewers (see Appendix A.1; see also the *UTC Faculty Handbook*). The RTP Committee takes into consideration the EDO performance evaluations. The RTP Committee evaluates and makes recommendations to the Department Head.
- (3) At least two-thirds of all eligible voting committee members is required for a meeting. Abstentions are permitted. If this quorum is not met, the Chair of the RTP Committee will call another meeting for the same purpose. When circumstances beyond the control of the department prevent a face-to-face meeting from occurring, official meetings may be held using a video conferencing platform (e.g., Zoom or Skype).
- (4) The RTP Committee's decision with respect to recommendation for personnel tenure is by a majority of all eligible voting members. An official secret ballot is conducted at a meeting of the RTP Committee and is recorded in the candidate's application. The ballot options are Approve, Deny, and Abstain. No absentee or proxy voting will be permitted for ballots cast during a meeting.
- (5) The Department Head submits a separate recommendation.

4.5. Criteria. Teaching, advising, and research are a faculty member's primary responsibilities. They are the factual bases for personnel decisions. However, the Department also values service and will not tenure, promote, or reward a faculty member who has not provided service to the Department, College, University, and/or discipline. In addition, in consideration of the fact that tenure is the most important decision that a university can make in a faculty member's career, the tenure criteria should be stronger than that for promotion to Associate Professor. To warrant tenure, all criteria for the rank of Associate Professor must be

met. These achievements must be steadily demonstrated over a suitable period of time. In addition, the candidate must have demonstrated a proper level of service to the Department and discipline.

4.5.1. Teaching and Advising. A candidate for tenure is expected to teach an array of courses at the undergraduate and graduate levels. The candidate must be conscientious in classroom teaching, maintain high standards, and achieve excellence in teaching through a variety of activities from among the following:

- (1) **Classroom Teaching.** All materials supporting the case of excellence in classroom teaching will be considered: student ratings of faculty; instructional materials (such as syllabi, exams, lecture notes, etc.); the development of new courses or substantial revisions of existing courses; the development of novel teaching techniques; innovative use of emerging technologies; awards for teaching excellence; improvement of instruction grants; and peer observation of classroom teaching by faculty designated by the RTP Committee (summaries of the observations will be made available to the Department Head).
- (2) **Undergraduate and Graduate Research Supervision.** This may include supervision of students and committee memberships for undergraduate research, Honors thesis, M.S. thesis, and dissertation committees.
- (3) **Other Teaching-Related Activities.** This includes student preparation for qualifying exams and supervision of independent study courses.

In addition, the candidate is expected to have an established reputation as a good academic advisor, as measured by activities demonstrating knowledge of the curriculum for advising purposes, writing letters of recommendation, and advising student groups. The candidate should demonstrate the willingness and ability to meet the instructional goals of the Department. Clear evidence of a long term interest and enthusiasm for teaching and advising as high priority activities is essential.

4.5.2. Research. Candidates for tenure are expected to achieve excellence in research through the following representative activities: articles in refereed professional journals, books, book chapters, and monographs; grants and contracts; invited or contributed presentations in symposia, workshops, or other research conferences; organizing sessions or conferences; visiting appointments at other universities or institutions; and advising undergraduate and graduate students as a major professor or

conducting joint research activities with undergraduate and graduate students. For a recommendation of tenure, the candidate should have made a substantial contribution to research and have established a record of excellent achievement. It is expected that there should be evidence of a body of work of sufficient quality and quantity that has produced at least the beginning of a national reputation for significant and creative contributions to the candidate's field of research. Publication records should reflect establishing an independent and/or collaborative research program with evidence of the promise of continued growth.

4.5.3. Service. All faculty members are expected to share the service responsibilities of the Department and are encouraged to provide service to the profession. While service cannot normally be considered equivalent to teaching or research, a positive service contribution is necessary for advancement. A successful candidate for tenure is expected to attend departmental meetings and to have some limited service on student and departmental committees. A record of other departmental service and service to the professional community is desirable and will support the case for tenure.

4.5.4. Other Considerations. Collegiality is an important consideration in retention, tenure, and promotion considerations. One of the criteria for tenure, listed in the *UTC Faculty Handbook*, is for the candidate to *have demonstrated ability to relate appropriately to students and professional colleagues*.

5. Promotion Process for Tenure-Track and Tenured Faculty.

5.1. Procedure. All candidates for promotion are expected to perform teaching and advising, research, and service. In all matters related to the promotion process, the Department will apply the procedure in Section 4.4 (see also the *UTC Faculty Handbook*) with the following modifications to the RTP Committee. For promotion to Associate Professor, the RTP Committee consists of the tenured Associate and Full Professors of the Department. For promotion to Full Professor, the RTP Committee consists of the tenured Full Professors of the Department.

5.2. Criteria for Associate Professor. As stated in the *UTC Faculty Handbook*: "A tenure-track faculty member at the rank of Assistant Professor must be granted tenure in order to be promoted to the rank of Associate Professor". The path for promotion to Associate Professor will be through demonstrable effectiveness in teaching and excellence in research. Research in mathematics is judged primarily by the quality

of publications in reputable refereed journals, including both papers published and those accepted for publication. Extra weight is given to papers appearing in journals of high regard in the mathematical community. The expected rate of publication is one or more papers per year. However, quality is always the primary consideration in judging research. Joint or collaborative research is encouraged and shall be viewed positively. The standard for mathematics is that co-authors receive equal credit for joint work.

5.2.1. Teaching and Advising. The procedure for teaching evaluation and indicators for promotion to Associate Professor are the same as those outlined for tenure (see Section 4.5.1).

5.2.2. Research. The Department Head and the RTP Committee will recommend for promotion only candidates who exhibit high-quality undergraduate and graduate teaching and who are actively engaged in a continuing research program which has demonstrable high quality and which has progressed significantly beyond the level of the candidate's doctoral work. The candidate should demonstrate a sustained effort to obtain research funding, either individually or as part of a collaborative group. It is expected that the candidate regularly presents his or her research at conferences. Claims of excellence must be documented. The Department recognizes the following evidentiary material:

- (1) Publication of refereed research articles, books, or book chapters related to the candidate's research, the acceptance of such items, and the production of innovative scientific software shall be used to evaluate the quality of the candidate's research.
- (2) Invited papers, presentations, colloquium talks at other universities and at research laboratories, and service on editorial boards or on program committees for professional conferences will be viewed as another indicator of the candidate's research.
- (3) External funding and the source of funding will be viewed as indicators of the quality of the candidate's research.

5.2.3. Service. The procedure for service evaluation and indicators for promotion to Associate Professor are the same as those outlined for tenure (see Section 4.5.3).

5.3. Criteria for Full Professor. A successful candidate for Full Professor must show clear and convincing evidence of high levels of attainment in mathematical research. The candidate should demonstrate national or international recognition in the field and the likelihood of maintaining that prestige. In addition to performing at a level of effectiveness consistent with criteria for promotion to Associate Professor, a Full Professor should have a strong record of accomplishments. There must be a significant publication record that extends beyond that which was used for promotion to Associate Professor. External evaluations by nationally and internationally recognized experts play a role in determining the quality and impact of the candidate's research. The candidate must demonstrate excellence in teaching, advising, and research, without neglecting service, to be promoted to Full Professor.

5.3.1. Teaching and Advising. The procedure for teaching evaluation and indicators for promotion to Full Professor are the same as those outlined for promotion to Associate Professor (see Section 5.2.1).

5.3.2. Research. The candidate should be an authority in the field, nationally or internationally recognized for the extent and significance of the contributions to the discipline. The qualitative and quantitative evaluation of the candidate's work will be based primarily on research, funding, and publications taking place during the candidate's tenure as Associate Professor. The procedure for research evaluation and indicators of performance are the same as those outlined for promotion to Associate Professor (see Section 5.2.2).

5.3.3. Service. During the candidate's career as Associate Professor, the candidate must play an active part in the service activities of the Department, the College, the University, and the profession. Significant service to the profession that enhances the reputation and visibility of the Department and the University such as appointments on national committees, service on editorial boards of journals, the organization of conferences or workshops, serving on funding agency panels, and significant outreach activities (e.g., volunteering, judging, recruiting, organizing student activities, events, fairs, public lectures or presentations, etc.) are expected.

6. Evaluation, Reappointment, and Promotion Processes for Non-Tenure-Track Faculty.

6.1. Appointment. The Department will act in accordance with the hiring procedure in the *UTC Faculty Handbook* for the selection of new faculty for non-tenure-track appointments. The Department Head will create an ad hoc committee of at least five faculty members. The memberships of this ad hoc committee will be derived from the Faculty Recruitment Committee and two or more non-tenure-track faculty members in Category (2). For non-tenure-track Teaching appointments (e.g., Lecturers), the CAS Dean will interview all candidates. Appointments at the rank of Lecturer are made for a definite term of one year or less, Associate Lecturer appointments may be made for a definite term of up to three years, and Senior Lecturer or Distinguished Lecturer appointments may be made for a term of up to five years.

6.2. Responsibilities. All non-tenure-track faculty members in Category (2) who hold Teaching appointments (e.g., Lecturers), regardless of rank, are expected to demonstrate a strong commitment to teaching excellence and to deliver quality instruction. Specific duties include:

- (1) Prepare syllabi following University guidelines
- (2) Select teaching materials appropriate to the course description
- (3) Teach courses in accordance with the syllabus
- (4) Teach a variety of courses at the undergraduate level
- (5) Specify in the syllabus a reasonable grading policy to be carefully followed
- (6) Meet classes as scheduled or, if it is necessary to be absent, notify the Department Head
- (7) Hold office hours and be available to meet with students outside of regular class hours
- (8) Write letters of recommendation for students, if requested
- (9) Attain satisfactory student and peer evaluations
- (10) Submit grades according to UTC requirements
- (11) Submit necessary materials for General Education courses taught

Additional duties include a commitment to ongoing curriculum development and related department activities such as course coordination and supervision of GTAs, and service on departmental, College, and university-wide committees, or less official arrangements developed in consultation with the Department Head and specified in the objectives section of the annual evaluation.

Faculty who hold Teaching appointments teach twenty-four credit hours (i.e., four course sections per semester), or equivalent, annually. There are no research responsibilities or expectations for faculty who hold Teaching appointments, regardless of rank. Faculty who hold Teaching appointments whose appointment specifies that the continuation of their appointment is dependent on the completion of the terminal degree are expected to complete their terminal degree within one year of their initial appointment. Faculty who hold Teaching appointments are not afforded teaching releases for scholarship. All faculty who hold Teaching appointments are expected to acquire expertise in current best practices in mathematics pedagogy and to demonstrate a commitment to continued professional development in best practices in teaching and learning, including the use of alternative delivery formats.

Non-tenure-track faculty with research appointments will have responsibilities determined by their research supervisor with the approval of the Department Head.

6.3. Annual Performance Evaluation. The *UTC Faculty Handbook* provides a timeline for goal setting and reporting with the evaluation process. Specific expectations for non-tenure-track faculty members in Categories (2a), (2b), and (2c) are to be developed annually in consultation with the Department Head and explicitly included in the faculty member's statements for the evaluation objectives concerning teaching and service.⁵ These criteria are described by representative activities, rather than exhaustive lists. Individual faculty members are responsible for documenting specific activities according to each criterion. The specific teaching duties (1) through (11) in Section 6.2 are representative activities for evaluations that are Effective for Rank. The representative teaching activities for evaluations that are Exceptional for Rank include, for example:

- (1) Develop new courses or substantially revise existing courses
- (2) Initiate new, useful teaching techniques and application of emerging technologies
- (3) Obtain awards for teaching excellence
- (4) Participate in professional development activities, including workshops, symposia, student fairs, and undergraduate student competitions

⁵Non-tenure-track faculty members in Category (2e) who hold one-year visiting appointments are not subject to annual performance reviews (see *UTC Faculty Handbook*).

- (5) Write and submit teacher enrichment grant proposals

Faculty members in Categories (2a), (2b), and (2c) are expected to engage in service at the Department, College, and/or University levels through committee assignments, or less official arrangements developed in consultation with the Department Head and specified in the statement of the evaluation objectives. The representative service activities for annual evaluations that are Exceptional for Rank include, for example:

- (1) Participate in recruitment and enrollment activities which have a direct benefit to the Department
- (2) Provide service to the Department, which include serving as course coordinators, advising undergraduate students, and mentoring junior non-tenure-track faculty members in teaching and service, in addition to contributions in departmental committees and willingness to serve the Department's needs as observed by the Department Head and other faculty members
- (3) Provide service to the College and/or University, which include contributions in college committees and willingness to serve in time-demanding assignments such as membership on search committees

The process through which non-tenure-track faculty members will be evaluated annually by the Department Head involves the most recent annual evaluation only (see *UTC Faculty Handbook*).

6.4. Reappointment. While Teaching appointment positions are non-tenure-track, appointments at the rank of Lecturer are renewable for a definite term of one year or less, Associate Lecturer reappointments may be made for a definite term of up to three years, and Senior Lecturer or Distinguished Lecturer reappointments may be made for a term of up to five years. A non-tenure-track faculty member's reappointment review is linked to a successful annual evaluation process. The RTP Committee performs the initial evaluation and recommendation on reappointment and provides such recommendation to the Department Head. It is the responsibility of the Department Head to carefully evaluate the faculty member in determining whether to recommend reappointment of the faculty member (see *UTC Faculty Handbook*). In all matters related to the reappointment process for non-tenure-track faculty members in Categories (2a), (2b), and (2c), the Department will adhere to the following procedure:

- (1) The RTP Committee shall consist of the tenured faculty members within the Department. The faculty member under evaluation must prepare and submit a reappointment dossier to the RTP Committee. For Lecturers, the reappointment dossier will include the most recent annual evaluation, the last two semester student ratings, if available, and two reports from teaching observations completed by representatives of the RTP Committee. For Associate (respectively, Senior) Lecturers, the reappointment dossier will include the last two (respectively, four) annual evaluations, the last five (respectively, seven) semester student ratings, if available, and one report from a teaching observation done by a representative of the RTP Committee. Additional items may be included at the discretion of the particular faculty member.
- (2) The RTP Committee makes evaluations and recommendations and submits narratives to the Department Head at least one week prior to the official vote.
- (3) A quorum is required for a meeting. Abstentions are permitted. If a quorum is not met, the Chair of the RTP Committee will call another meeting for the same purpose.
- (4) The RTP Committee's decision with respect to recommendation for personnel reappointment is by a majority of eligible voting members who are present. An official secret ballot is conducted at a meeting of the RTP Committee and is recorded in the candidate's application. The ballot options are Approve, Deny, and Abstain. When circumstances dictate, official meetings may be held using a video conferencing platform (e.g., Zoom or Skype).
- (5) The Department Head submits a separate evaluation.

6.5. Promotion. Faculty members who have held Teaching appointments at the rank of Lecturer for a minimum of four (4) years may be considered for promotion to the rank of Associate Lecturer. Faculty members who have held Teaching appointments at the rank of Associate Lecturer for a minimum of six (6) years may be considered for promotion to the rank of Senior Lecturer. In all matters related to the promotion process for non-tenure-track faculty members in Categories (2a) and (2b), the Department will apply the procedure in Section 6.4 with the following modifications in the initial step (see *UTC Faculty Handbook*). The faculty member applying for promotion must prepare and submit a promotion dossier to the RTP Committee, which includes an updated curriculum vitae, a summary of all annual evaluations at the current level, the last

six semester student ratings, and recent student final examinations in all courses taught, one section per course, that are representative of the various grade distributions. Additional items may be included at the discretion of the particular faculty member. Senior lecturers who have demonstrated excellence in teaching may be recommended for appointment to the rank of Distinguished Lecturer by a positive vote of the RTP Committee and approval of the Department Head.

Appendix.

A.1. External Review Process. In order to develop more objective and fair tenure and promotion procedures, the Department will use an external review process to evaluate the research and scholarly component of all candidates for a tenure and/or promotion decision. This external review process is outlined in the *UTC College of Arts and Sciences By-laws*. The intent is not to replace the internal evaluation but to enhance and broaden the spectrum of the evaluators and their expertise in the area of research to provide a less parochial standard of performance.

The evaluation must be considered in a manner consistent with the *UTC Faculty Handbook*, whose guidelines include:

The purpose of the external review is *not* to make a recommendation regarding tenure/promotion but to provide an objective evaluation of the faculty member's record to date. This external review will include the performance area of research and may also include the performance areas of teaching and service, as defined by college and departmental bylaws.

Any external evaluation of research must address the issue of the teaching load and its relation to the teaching load at the external reviewer's institution. The quality of the teaching and the service contributions at the University remain strictly in the purview of the RTP Committee and should not constitute any part of the external review. In order to preserve the integrity and the authority of the University in determining the decision to award tenure and/or promotion, the external reviewer's comments should not be considered more heavily than the internal evaluation by the RTP Committee.

A.1.1. Selection of External Reviewers. The RTP Committee and the candidate for tenure and/or promotion should collaborate to generate a list of appropriate reviewers. In doing so, the candidate will provide a list of potential external reviewers, no fewer than four and no more than six, that the RTP Committee will review.⁶ Each potential reviewer should be identified by name, title, institution, and be accompanied by a brief rationale for her or his selection. The RTP Committee will choose at least two reviewers from the faculty member's list. The RTP Committee will then generate a list of potential external reviewers, no fewer than four, that the faculty member will review. Each potential reviewer should

⁶It is recommended that candidates communicate regularly (e.g., at professional meetings) with leading researchers in their field.

be identified by name, title, institution, and be accompanied by a brief rationale for her or his selection. From the RTP Committee's list, the candidate will choose no fewer than two reviewers. No fewer than four external reviewers remain at this point.

External reviewers should be selected based on the following guidelines:

- (1) Reviewers should be tenured and at or above the rank that the candidate seeks.
- (2) Reviewers should be at a peer institution, an aspirant peer institution, or an institution that is universally recognized as excellent.
- (3) Reviewers should not have had a working relationship with the candidate (dissertation director, chairperson, co-author, etc.); i.e., there should be no conflict of interest with the candidate.
- (4) Reviewers should not be in contact with the candidate about the review process from the time that they accept the external review assignment. The candidate should also not attempt to contact the external reviewer.

A.1.2. Contacting External Reviewers. By November 1st, the Department Head, on behalf of the RTP Committee, will solicit via e-mail a minimum of four and a maximum of seven external reviewers using a template letter supplied by the College. Should some of the selected reviewers decline, the RTP Committee would go back to the two lists and continue the process until at least three reviewers agree to submit an external review of the candidate's materials. Reviewers will then be provided with the candidate's dossier, and they will be asked to supply a one-to-two page letter of evaluation and a copy of their curriculum vitae by no later than January 15th.

The Department Head and the RTP Committee will consider these written reviews in making their recommendations concerning the tenure or promotion of the faculty member. The letters will become a part of the candidate's tenure and/or promotion file. In an effort to simplify the process, if the candidate is applying for tenure and promotion, the reviewers will be asked to comment on both in their letters.

A.2. Procedure for Vote for Termination of Faculty for Adequate Cause Based on Unsatisfactory Performance. The *UTC Faculty Handbook* requires that preliminary steps toward termination of a tenured faculty member for adequate cause include an anonymous vote by the tenured departmental faculty members (i.e., the RTP Committee) on the question of whether termination proceedings should be initiated.

This vote, taken after a review of the faculty member's performance in teaching, research and service, is advisory to the department head.

- (1) At least two-thirds of all eligible voting faculty is required for a meeting. Abstentions are permitted. The Chair of the RTP Committee will preside. If a quorum is not met, the Chair will call another meeting for the same purpose. If circumstances prevent the RTP Chair from presiding, a chair to facilitate the vote will be chosen from among the full professors.
- (2) The RTP Committee's decision with respect to recommendation for initiation of termination proceedings is by a majority of all eligible voting members present. An official secret ballot is conducted at a meeting of the RTP Committee and is conveyed to the Department Head. The ballot options are Initiate Termination Proceedings, Do Not Initiate Termination Proceedings, and Abstain. No absentee or proxy voting will be permitted for ballots cast during a meeting. When circumstances dictate, official meetings may be held using a video conferencing platform (e.g., Zoom or Skype).