

UTIA ANNUAL EVALUATION & REAPPOINTMENT PROCESS FOR DEPARTMENT HEADS

Note: For academic units/departments that do not have joint reporting lines, substitute the word “Dean” for “Deans” in the procedures below. For example, this would include units or departments in the College of Veterinary Medicine, the Department of Family and Consumer Sciences, etc.

UTIA Procedures

1. During the Fall Semester each year, appropriate faculty and/or staff, as defined by departmental by-laws, complete the Department Head Evaluation Form for their department/unit head. A copy of the form used for the Department Head Evaluation Survey developed for UTIA use is attached. It is the responsibility of the Deans to distribute the Department Head Evaluation Form to the department.
2. Individuals submit the completed *Department Head Survey* to the appropriate Dean’s Office by the deadline put forth in the Dean’s written request to the unit. The Dean’s Office retains the *Department Head Survey* annual submissions.
3. The Dean’s Office summarizes the results of the *Department Head Survey* into *The Annual Department Head Survey Summary*. Written comments from annual evaluation forms are not included in the *Annual Department Head Survey Summary*. The summary is forwarded to the Senior Vice President/ Senior Vice Chancellor (SVP/SVC) and, in the case of joint reporting lines, the other Deans for their review and then to the SVP/SVC. The summary data is provided to each department/unit head annually for informational purposes. The *Annual Department Head Survey Summaries* are retained by the appropriate Dean’s Office and are distributed during the Department Head Reappointment review process described below.
4. Each Dean conducts annual performance evaluations of each department/unit head early in the calendar year. The Dean’s performance evaluation of the department/unit head includes the UTIA *Faculty Evaluation Form* (Adm. E-03) and the UTIA *Annual Reporting Form* (Adm. R-03). These written evaluations contain goals achieved and expectations for the coming year. These written evaluations are forwarded to the SVP/ SVC for his/her information. The department/unit head receives a copy of each Dean’s performance evaluation, the original is forwarded to Human Resource Employee Relations Office, and a copy is retained by the issuing Dean.

REAPPOINTMENT OF ACADEMIC UNIT HEADS

Current UT Knoxville Faculty Handbook Policy Provides the Following Guidance (<https://facultyhandbook.utk.edu/>)

1.6.6 Reappointment of Department Heads

The final decision on the reappointment of a department head rests with the dean—or deans in cases where a department head reports to more than one dean. (The singular form is understood to represent the plural form in this Section 1.6.6., as applicable.) A department head may be reappointed for an additional five-year term after a reappointment review. The dean shall base the review on the annual evaluations of the department head by the departmental faculty and the annual assessment of the department head by the dean (as provided for in Section 1.6.5) and on input from relevant constituencies. In particular, prior to making a decision on reappointment, the dean shall (a) solicit input from all departmental groups, including students, staff, and faculty and (b) consult extensively with tenured, tenure-track, and other full-time departmental faculty having voting rights on matters other than tenure and promotion, as may be determined in the departmental bylaws (collectively, the “Voting Faculty”). The process for input solicitation and consultation shall include a vote of the Voting Faculty on the reappointment and may be further defined in collegiate or departmental bylaws. The faculty vote and the basis for that vote shall be documented in writing and promptly sent to the dean for review. Absent compelling circumstances, the dean shall give great weight to the consensus views of the Voting Faculty in making reappointment decisions. The dean shall issue a written report to the Voting Faculty that states his or her final decision on the reappointment of the department head and the reasons for that decision, citing to support from the annual evaluations and other input. During the term of office of the department head, he or she serves at the will of the dean. If a department head is not reappointed, the dean shall begin the process of selecting a new department head in accordance with Section 1.6.4.

UTIA Procedures

1. For joint academic units, the SVP/SVC selects one Dean to lead the reappointment process as defined by the Faculty Handbook. In the College of Veterinary Medicine, the Dean or a designee leads the reappointment process.
2. The Deans inform the department/unit head(s) under reappointment review when and how the process will be conducted and provides the UTIA written procedures (this document) to the department head.
3. It is suggested that the Department Head provide communication to the department outlining accomplishments of the department during the prior five years in advance of the review process.

4. The Deans select a tenured faculty member from outside the department/unit to serve as Reappointment Review Chair (RRC). The Deans also select a staff member from outside the department/unit to provide assistance as needed to the RRC. The RRC leads and manages the reappointment process at the department/unit level.
5. The Deans convene a meeting with the RRC for the purposes of discussing procedures, time frames, and his/her leadership and reporting responsibilities during the reappointment process. The Deans provide the RRC with the (1) UTIA written procedures, (2) Department Head Faculty and Staff Annual Performance Survey Summaries of the Department Head covering the past five years and (3) Deans Annual Department Head Review Summaries covering the past five years.
6. The RRC distributes the (1) UTIA written procedures, (2) Department Head Faculty and Staff Annual Survey Summaries covering the past five years and (3) the Dean's Annual Performance Department Head Review Summaries of the Department Head covering the past five years to the departmental faculty, staff, and students.
7. The RRC schedules time to meet with the unit's faculty, staff and/or students. At the discretion of the RRC, the designated administrative support staff member (from outside the unit) can attend these sessions serving as a recording secretary. NOTE: If modifications to procedure #4 are adopted, then no administrative support staff member will attend as recording secretary. In addition to scheduled formal meeting(s) with the unit's faculty, staff and students, the faculty, staff and students will be allowed to provide anonymous comments regarding the leadership and effectiveness of the department head over the past five years to the RRC for inclusion in the reappointment review summary package.
8. The RRC summarizes the meetings into a *Reappointment Meeting Summary*. The *Reappointment Meeting Summary* is distributed to interested faculty, staff, and students within the unit.
9. Within fifteen days after distribution of the *Reappointment Meeting Summary*, appropriate unit faculty, as defined by departmental by-laws, conduct an anonymous vote (secret ballot) for or against reappointment. The RRC and the designated administrative recording secretary (from outside the unit), will tabulate the reappointment votes. These votes will be forwarded, in writing, along with a copy of the Reappointment Meeting Summary and any anonymous comments, letters, or emails to the Deans.

10. If a dean's decision is not in agreement with the majority opinion of voting departmental faculty, he or she informs the RRC and provides reasons in writing to the department for distribution to the departmental faculty, staff, and students. The Deans will offer to meet with the departmental tenure-track and tenured faculty members as a group to discuss the administrative decision.
11. The Deans send a written *Final Report of the Reappointment Review* to all faculty, staff, and students in the department.
12. If reappointment does not occur, the Deans initiate procedures for selecting a new department head.