










# June 2022 Academic, Research and Student Success Committee Meeting




<b>Schedule</b>	Wednesday, June 1, 2022 8:00 AM — 9:00 AM CDT
<b>Venue</b>	Maxine A. Smith University Center - Fountain View Boardroom (352)
<b>Organizer</b>	Sparkle Burns

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Presented by David Kemme

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# 1. Call to Order and Opening Remarks

Presented by David Kemme





## 2. Roll Call and Declaration of Quorum

Presented by Melanie Murry



### 3. Approval for Meeting Minutes for March 1, 2022

For Approval

Presented by David Kemme

**University of Memphis Board of Trustees**  
**Academic, Research and Student Success Committee Meeting**  
**Meeting Minutes - March 1, 2022**

**Committee Membership:**

Douglas Edwards  
Marvin Ellison  
R. Brad Martin  
David North  
Carol Roberts  
David Kemme  
Celeste Riley, student Trustee, Non-voting  
Provost, Ex-Officio, Non-voting member  
Vice President for Research, Ex-Officio, Non-voting member  
Vice President for Student Academic Success, Ex-Officio, Non-voting member

**Agenda Item 1: Call to Order and Opening Remark**

Chairman Edwards welcomed the committee and commented that this will be a very special meeting since it would be the last one, we would spend time with President David Rudd.

**Agenda Item 2: Roll Call and Declaration of Quorum**

R. Brad Martin  
Carol Roberts  
Celeste Riley  
David North  
David Kemme  
Douglas Edwards

Board Secretary Murry announced the presence of a quorum.

*Additional trustees in attendance but not part of this committee:*  
Cato Johnson

**Agenda Item 3: Approval of Meeting Minutes from December 8, 2021 (Approved)**

Chair Kemme asked if there were any questions or discussion regarding the minutes from the December 8, 2021 meeting. Trustee Roberts moved that the minutes be approved, and it was properly seconded. Voice vote was called and unanimously approved.

**Agenda Item 4: Proposed Revision to Faculty Handbook and Role of Board of Trustees (Presentation)**

Chair Kemme recognized Dr. Tom Nenon, Provost. Dr. Nenon remarked that Dr. Jeff Marchetta, past Faculty Senate president and chair of the faculty policies committee, worked closely with faculty leadership and the provost on the handbook. The work was presented to Dr. Rudd and Dr. Hardgrave, as well as to faculty senators and will be taken to the Faculty Senate for discussion before being presented to the Board in June for ratification.

**Agenda Item 5: Annual Institutional Mission Statement (Approved)**

Dr. Tom Nenon, Provost, stated that Tennessee state law requires the Board of Trustees to approve and submit an annual mission statement to THEC. This year's mission statement has no significant changes other than updating of numbers.

Chair Kemme called for a motion to approve the mission statement. Trustee Edwards moved and the motion was properly seconded. Voice vote was called and unanimously approved.

**Agenda Item 6: Naming in Recognition of a Philanthropic Gift-College of Communication and Fine Arts Theatre Building (Approved)**

Chair Kemme recognized Ms. Joanna Curtis, Vice President for Advancement. Ms. Curtis asked the Board's approval to name the theatre building in memory of Jimmy Humphreys' parents, Edward & Bernice Humphreys. Jimmy Humphreys made a significant contribution to the College of Communications and Fine Arts (CCFA). He is a friend and longtime supporter of the University and wanted to make this gift in memory of his parents, so the building would be known as the Edward & Bernice Humphreys Theatre Building.

Chair Kemme called for a motion to approve the naming of the Theatre Building. Trustee Roberts moved and the motion was properly seconded. Voice vote was called and unanimously approved.

**Agenda Item 7: GROWWTH (Growing Relational and Occupational Wealth in West Tennessee Households (Presentation)**

Chair Kemme recognized Dr. Richard Irwin, Executive Dean, UofM Global & Academic Innovation, College of Professional & Liberal Studies. Dr. Irwin gave a presentation on GROWWTH (Growing Relational and Occupational Wealth in West Tennessee Households). The University is pursuing the \$25 million grant from the Tennessee Department of Human Services. We were awarded a \$445,000 Temporary Assistance for Needy Families (TANF) Planning Grant (Phase I). The Implementation Grant Pilot (Phase II) will be awarded by April 21. If awarded, the \$25 million/3 years will launch in the fall.

**Agenda Item 8: Additional Business**

Chair Kemme asked for any new business. There was none. Chair Kemme asked Provost Nenon if there were any students or faculty from Ukraine or Russia and have we reached out to them. Provost Nenon responded that students and faculty have been identified and contacted.

**Agenda Item 9: Adjournment**

Chair Kemme called for a motion to adjourn. Trustee Roberts moved and the motion was properly seconded. Committee adjourned.



## 4. Recommendations for Tenure and Promotion

For Approval

Presented by Tom Nenon

# The University of Memphis Board of Trustees

Recommendation

For Approval

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Tenure and Promotion, Recommendation for Approval

**Presented by:** Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

## **Background:**

Tenure is the principle that entitles a faculty member continuation of his or her annual appointment until relinquishment or forfeiture of tenure, or until termination of tenure for adequate cause. A healthy tradition of academic freedom and awarding tenure and promotion are uniquely fundamental to the academy and essential to the proper functioning of a university. Faculty members eligible for tenure must serve a probationary period and must demonstrate continuing value to the institution.

Tenure and promotion are granted only by positive action by the Board of Trustees to faculty members in a department, school, or college of the University of Memphis. The list of faculty members recommended for tenure and promotion is attached.

## **Recommendation:**

The Academic, Research, & Student Success Committee recommends that the Board approve and grant tenure and promotion to the faculty members recommended by the provost in the department, school or college of the University indicated in the meeting materials.



**The University of Memphis**  
**2022 Tenure and Promotion Recommendations**

	Faculty Name	Current Rank	Proposed Rank	Tenure Only	Promotion Only	Tenure & Promotion
<b>Cecil C. Humphreys School of Law</b>						
	Regina Hillman	Clinical Assistant Professor	Clinical Associate Professor		X	
<b>College of Arts &amp; Sciences</b>						
Biology	Emerson Bowers	Assistant Professor	Associate Professor			X
Biology	Jaime Sabel	Assistant Professor	Associate Professor			X
Chemistry	Daniel Baker	Associate Professor	Professor		X	
Chemistry	Paul Simone	Associate Professor	Professor		X	
Chemistry	Xuan Zhao	Associate Professor	Professor		X	
Computer Science	Thomas Watson	Assistant Professor	Associate Professor			X
English	Evelyn Fogle	Associate Professor	Professor		X	
English	Carey Mickalites	Associate Professor	Professor		X	
English	Terrence Tucker	Associate Professor	Professor		X	
History	Steve Stein	Associate Professor	Professor		X	
History	Cookie Woolner	Assistant Professor	Associate Professor			X
Physics & Materials Science	Thang Ba Hoang	Assistant Professor	Associate Professor			X
Psychology	Kristoffer Berlin	Associate Professor	Professor		X	
Psychology	Helen Sable	Associate Professor	Professor		X	
Psychology	Nicholas Simon	Assistant Professor	Associate Professor			X
School of Social Work	Susan Elswick	Associate Professor	Professor		X	
World Languages	Robert Kelz	Associate Professor	Professor		X	
World Languages	Hironori Nishi	Assistant Professor	Associate Professor			X
<b>College of Communication &amp; Fine Arts</b>						
Art	Lucas Charles	Associate Professor	Professor		X	
Art	Gary Golightly	Associate Professor	Professor		X	
Communication and Film	Marina Levina	Associate Professor	Professor		X	
School of Music	Marcin Arendt	Assistant Professor	Associate Professor			X
School of Music	Artina McCain	Assistant Professor	Associate Professor			X
School of Music	Kimberly Patterson	Assistant Professor	Associate Professor			X
School of Music	William Shaltis	Assistant Professor	Associate Professor			X
School of Music	David Spencer	Associate Professor	Professor		X	
Theatre and Dance	Michael Medcalf	Assistant Professor	Associate Professor			X
<b>College of Education</b>						
Center for Research in Educational Policy	Christine Bertz	Research Assistant Professor	Research Associate Professor		X	
Counseling, Ed Psychology & Research	Yeh Hsueh	Associate Professor	Professor		X	
Counseling, Ed Psychology & Research	Christian Mueller	Associate Professor	Professor		X	
Instruction & Curriculum Leadership	Luann Ley Davis	Assistant Professor	Associate Professor			X
Instruction & Curriculum Leadership	William Hunter	Associate Professor	Professor		X	
Instruction & Curriculum Leadership	James Meindl	Associate Professor	Professor		X	
Instruction & Curriculum Leadership	Andrew Tawfik	Assistant Professor	Associate Professor			X
<b>College of Health Sciences</b>						
Exercise, Sport & Movement Sciences	Melissa Puppa	Assistant Professor	Associate Professor			X
<b>Fogelman College of Business &amp; Economics</b>						
Crews School of Accountancy	Nan Golden	Assistant Professor	Associate Professor			X
Crews School of Accountancy	Hongbo Zhang	Associate Professor	Professor		X	
Economics	Jose Joaquin Lopez	Assistant Professor	Associate Professor			X
Management	Stephen Lanivich	Assistant Professor	Associate Professor			X

**The University of Memphis**  
**2022 Tenure and Promotion Recommendations**

	Faculty Name	Current Rank	Proposed Rank	Tenure Only	Promotion Only	Tenure & Promotion
<b>Herff College of Engineering</b>						
Civil Engineering	Sabyasachee Mishra	Associate Professor	Professor		X	
Civil Engineering	Brian Waldron	Associate Professor	Professor		X	
Engineering Technology	James McGinnis	Assistant Professor	Associate Professor			X
Mechanical Engineering	Ranganathan Gopalakrishnan	Assistant Professor	Associate Professor			X
<b>Loewenberg College of Nursing</b>						
	Michelle Baldwin	Clinical Assistant Professor	Clinical Associate Professor		X	
	Candace McGowen	Clinical Assistant Professor	Clinical Associate Professor		X	
	Tracey Power	Clinical Assistant Professor	Clinical Associate Professor		X	
	Jason Sasser	Clinical Associate Professor	Clinical Professor		X	
<b>School of Public Health</b>						
	Chunrong Jia	Associate Professor	Professor		X	
<b>University Libraries</b>						
	Brigitte Billeaudeaux	Assistant Professor	Associate Professor			X
	Kenneth Haggerty	Assistant Professor	Associate Professor			X

## 5. Proposals for Tenure Upon Appointment

For Approval

Presented by Tom Nenon

# The University of Memphis Board of Trustees

## Recommendation

### For Approval

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Tenure Upon Appointment – Ashish Joshi

**Presented by:** Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

#### **Background:**

Prior to joining the University of Memphis as the dean of the School of Public Health, Dr. Joshi served as a Senior Associate Dean Academic and Student Affairs and Professor of Epidemiology and Biostatistics at the CUNY Graduate School of Public Health and Health Policy-New York. Dr. Joshi joined CUNY in 2014 as a founding assistant dean of student affairs and was promoted to the Associate Dean of Student and Alumni Affairs and in 2018, appointed as Senior Associate Dean of Academic and Student Affairs of the CUNY Graduate School of Public Health and Health Policy. Before joining CUNY Graduate School of Public Health and Health Policy, Joshi was an Associate Professor at the Department of Health Services Research and Administration at the University of Nebraska Medical Center's College of Public Health. Dr. Joshi has participated in global health projects in India, Haiti, Nigeria, Bangladesh, Brazil, and Egypt and successfully implemented implementation of nearly two dozen health technological interventions in areas of population surveillance, m-health interventions, consumer health informatics, and population health dashboards across various countries globally. Dr. Joshi has been actively engaged in the response to COVID-19 in New York City as well as in other parts of the world. He has published more than 100 peer-reviewed articles in the area of population health informatics.

Dr. Joshi conceptualized the SMAART (Sustainable, Multisector, Accessible, Affordable, Reimbursable, and Tailored) model using combined principles of the human-centered approach, humanistic, behavioral, learning, and information processing theory to advance the achievement of Sustainable Development Goals. He has presented his work at the WHO, United Nations, and several other government agencies globally. Dr. Joshi was recently funded through the Open Society Foundation to establish globally the first Population Health Informatics Regional Hub at the James P Grant School of Public Health, BRAC University Bangladesh. The goal of this hub is to train students with population health informatics skills so that data and research capacity can be enhanced among the various public health practitioners in Bangladesh and other countries in the region.

Dr. Ashish Joshi received a bachelor's degree in medicine and surgery from The Punjabi University in India. He also received a Master of Public Health in Boston and a PhD in Health Informatics from the University of Texas Health Science Center, Houston.

#### **Recommendation:**

The Academic, Research, & Student Success Committee recommends that the Board approve and grant

tenure upon appointment for Dr. Ashish Joshi as professor in the School of Public Health.

## REQUEST FOR A REDUCTION OF TENURE TRACK PROBATION PERIOD

This is a request to recommend that Ashish Joshi in the Department of School of Public Health  
*First Middle Last*

be granted a 6 year(s) reduction in his/her tenure probation period. A copy of his/her vita must be attached.

**Date:** 04/15/2022 **Justification** (If necessary, use additional pages and attach to this form.)

Dr. Ashish Joshi has been named dean of the School of Public Health, effective August 1, 2022.

Joshi is currently senior associate dean of Academic and Student Affairs and professor of Epidemiology and Biostatistics at the CUNY Graduate School of Public Health and Health Policy-New York. He is active in several research and entrepreneurial initiatives funded by the city, state, National Institute of Health and other international agencies. Joshi is chair of the Global Health Informatics Working Group at the American Medical Informatics Association.

Joshi has participated in global health projects in India, Haiti, Nigeria, Bangladesh, Brazil and Egypt. He has presented his work at the World Health Organization, United Nations and other agencies worldwide. Having published more than 100 peer-reviewed articles in the area of population health informatics and designs, he develops and implements technological innovations and interventions at the intersection of clinical care and population health to enhance health and well-being of communities.

Joshi has been active in the response to COVID-19 in New York and other parts of the world. He led CUNY SPH collaboration with the Housing Recovery Office of the Mayor of New York City to secure a nearly \$10 million grant to contribute towards the implementation of the City's innovative Resource Navigator Test and Trace Program.

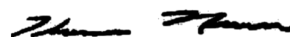
Joshi received a bachelors degree in medicine and surgery from Punjabi University in India, a Master of Public Health from Boston University and a PhD in health informatics from the University of Texas Health Science Center at Houston.


We recommend tenure upon appointment as professor for Dr. Joshi.

### APPROVAL SIGNATURES:

\_\_\_\_\_  
Departmental Chairperson Date

\_\_\_\_\_  
Dean Date

 04/26/2022  
Provost Date

 4.27.2022  
President Date

### COMMENTS

Recommend approval

Approved

# Ashish Joshi, Ph.D., M.B.B.S., MPH

New York, NY 10027 • (443) 570-6018 (US) • ashish1875@gmail.com

## Senior Associate Dean Academic and Student Affairs and Professor (Tenured)

City University of New York Graduate School of Public Health and Health Policy

Educational Leadership / Research & Teaching / Program Development/Innovation and Entrepreneurship

**Office address:** City University of New York  
CUNY Graduate School of Public Health and Health Policy  
55 West 125 Street; Room#712  
New York 10027  
Phone: 443 570 6018  
Email: [ashish.joshi@sph.cuny.edu](mailto:ashish.joshi@sph.cuny.edu)

### Education

- **Doctor of Philosophy in Health Informatics**, School of Health Information Sciences  
University of Texas, Houston, TX
- **Master of Public Health (Epidemiology and Biostatistics)**, Boston University, Boston, MA
- **Certificate in Public Health Informatics** University of Maryland, College Park, MD
- **Bachelor of Medicine and Surgery** Punjabi University, India

### Affiliations

- American Public Health Association
- American Medical Informatics Associations
- Health Record Banking Alliance

### ADMINISTRATIVE APPOINTMENTS

2018 to Present	Senior Associate Dean Academic and Student Affairs CUNY Graduate School of Public Health and Health Policy
2016 to 2018	Associate Dean Student and Alumni Affairs, CUNY Graduate School of Public Health and Health Policy
2014 to 2016	Founding Assistant Dean of Students Affairs, CUNY Graduate School of Public Health and Health Policy
2012 to 2014	Director Center for Program Informatics, College of Public Health, University of Nebraska Medical Center
2010 to 2014	Program Lead, Mobile Emerging Technologies & Population Health Outcomes Research
2009 to 2010	Research Director, Consortium for IT and Health Outcomes Research, UMBC, Baltimore

### ACADEMIC APPOINTMENTS

2018 to Present	Professor (Tenured) CUNY SPH
2019-Present	Visiting Professor, AIIMS, Rishikesh, India
2014 to 2018	Associate Professor, CUNY SPH
2010 to 2014	Assistant Professor, CGHAD. Department of Health Services Research

...continued...

2010 to 2012 Adjunct Research Professor, Department of Information Systems, UMBC  
 2008 to 2010 Adjunct Assistant Professor, Pediatrics, University of Maryland  
 2007 to 2010 Affiliate Appointment U.S. Department of Veteran Affairs at Baltimore VA  
 Research Assistant Professor, Department of Information Systems, UMB 2007 to 2010  
 Faculty Research Associate, Epidemiology and Preventive Medicine, UMB 2004 to 2007

## PROFESSIONAL EXPERIENCE

2003 Consultant Intern, Cambridge Health Alliance  
 2001-2002 Resident Physician, Internal Medicine, Dr. Ram Manohar Lohia Hospital  
 2000 Resident Physician, Internal Medicine, Lady Harding Medical College

## COMMITTEES

2004-Present Public Health Expertise Network Mentors Program  
 2010-2014 Graduate Faculty Member, University of Nebraska Medical Center  
 2010-2014 Inter-professional Service Learning Committee, COPH, UNMC  
 2011-2014 Faculty member Knowledge Engineering Group, UNMC  
 2011-2014 Student Recruitment and Admissions, HSRA, COPH, UNMC  
 2012-2014 Led College of Public Health Innovation Team, UNMC  
 2012-2014 College of Public Health, UNMC Research IT Committee  
 2012-2014 Led College of Public Health Information Technology Strategy Plan  
 2014- Present Member of the CUNY SPH Dean's Cabinet  
 2014- Present Member of the CUNY wide Student Affairs Council  
 2014- Present Member of the CUNY wide Academic College Technology Committee  
 2015- Present Member of the CUNY wide IT Committee  
 2016-Present Member of the Dean CUNY SPH Advisory Council  
 2015-Present CUNY SPH Deans Dissertation Grants  
 2015-2018 Led CUNY SPH Graduation Committee  
 2015-Present CUNY SPH Deans Student and Faculty Awards  
 2016-Present Led CUNY SPH Student Affairs working group  
 2019-Present Led Curriculum Implementation and Innovation Working Group  
 2018-Present Member of the CUNY wide Academic Affairs Council  
 2018-Present Ex-Officio Member CUNY SPH Curriculum Committee  
 2018-Present Member CUNY SPH Doctoral Committee  
 2018-Present Ex-Officio Member CUNY SPH Assessment Committee  
 2019-Present Member CUNY SPH Staff Appreciation Committee  
 2019-Present Member ASPPH Data Advisory Committee  
 2020-2021 Chair Elect Global Health Informatics Working Group, AMIA  
 2020-Present Member, CUNY SPH Strategic Planning  
 2020-Present Lead, CUNY SPH Strategic goal on Academic Excellence  
 2020-Present CUNY Wide Faculty Workload working group  
 2020-Present Led CUNY SPH Online working group in response to COVID-19  
 2020-Present Lead Resource Supervisor Training, NYC Mayor COVID-19 Initiative  
 2020-Present Member CUNY SPH Ad hoc Governance Task force  
 2021-Present Chair Global Health Informatics Working Group, AMIA



- 2021-Present CUNY SPH School Reopening Working Group
- 2021-Present Member, CUNY wide Graduate Education Task Force

## IMPLEMENTATION OF INNOVATIVE HEALTH TECHNOLOGIES GLOBALLY

- 2010-Present Health for all (Swasthya Pahal): Multi-lingual interactive Portable Health Information Kiosk in an **Indian** setting (Nearly 10000 users)
- 2010 Internet enabled, bi-lingual interactive Dengue Information platform in an **Indian** setting
- 2011 Internet enabled Geovisualization Platform SanaViz that facilitated evaluation telehealth programs in **Brazil**
- 2010-2011 Internet enabled bi-lingual platform to prevent, monitor, and manage risk of Metabolic Syndrome in rural, urban and urban slum settings in **India**
- 2013 Implementation of an interactive internet and standalone based community and hospital based surveillance of acute infections among children in **Nigeria**
- 2014-2016 Mobile and Internet based SMAART platform to monitor RF/RHD Surveillance among children living in rural settings in **India**
- 2015-Present Designed, development and implementation of End the Epidemic Dashboard to track the HIV programs and policies in the State of New York, **USA**
- 2016-Present SMAART informatics framework to address SDGs, **India**
- 2016 Internet enabled Healthy CUNY platform to address food security, Health Insurance, and Anxiety and Depression among CUNY students in New York, **USA**
- 2016 Bi-lingual NCD surveillance platform in urban slum settings of **Haiti** (English and Creole)
- 2016 Bi-lingual Arabic prototype to provide Hepatitis C education in **Egypt**
- 2017-2020 SMAART platform Road Traffic Injury Surveillance across five states in **India**
- 2017-2020 Diet Decision Support system Type2 Diabetic patients in urban and rural settings
- 2018-2019 Internet enabled Well-Being dashboard **for** New York City, **USA**
- 2019-Present IeDEA Treat All Africa Dashboard in **Africa**
- 2020-Present SMAART RAPID Tracker: A Policy Informatics Platform to track COVID-19

## INNOVATIVE HEALTH TECHNOLOGY INITIATIVES

- 2010-Present Decision support tool to manage Chronic NCDs self-management
- 2018-Present RISE: A women empowerment initiative to address Gender Inequality
- 2020-Present V-INSPIRE Innovative virtual experiential learning initiative

## INNOVATIVE STUDENT ENGAGEMENT INITIATIVES

- 2021-Present Career and Mentorship Program to guide students advance public health careers
- 2021-Present SMAART IMPACT Seed grant to support student centric innovative solutions to solve public health challenges of the 21<sup>st</sup> century

## PATENTS AND COPYRIGHTS

- 2020 SMAART RAPID Tracker Filed US Copyright office
- 2020 V-INSPIRE PUBLIC HEALTH Filed US Copyright office
- 2020 SMAART Filed US Copyright office
- 2012 SMAART. Trademark UNMC

- 2011 An internet based Interactive Anti-coagulation system. UNMC
- 2010 A community-based chronic disease surveillance using PHIK, India
- 2009 Patient Education and Motivation Tool (PEMT) (Invention report filed in the U.S. copyright Office)
- 2008 Personalized Adaptive Classification-Based Clinical Decision Support System for patients with Vestibular Disorders (PACD-VD). UMBC Office of Technology Development ref no. 2564AJ
- 2006 Screening Tool for vulnerable population age 15-30 years for eligibility for Gardasil Vaccine (Invention report filed in the U.S. copyright Office by UMB)

## COURSES TAUGHT

- 2006 Research Informatics: A data management approach, University of Maryland, School of Medicine
- 2010, 2011, 2012 Introduction to Public Health Informatics, Center for Public Health Informatics, India
- 2012 Introduction to Biomedical Informatics (Co-instructor), College of Public Health, U of Nebraska Medical Center
- 2012, 2013, 2014 Introduction to Operations Research Population Health, Foundation of Healthcare Technologies Society
- 2016 Research Seminar Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2016 Introduction to Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2016, 2017, 2018, 2019 Introduction to Consumer Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2016, 2017, 2018, 2019 Applications of Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2020 Fundamentals of Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2020 Design and Development of Population Health Information Systems, CUNY Graduate School of Public Health and Health Policy
- 2020 Principles of Consumer Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2017, 2018, 2019, 2020 Nutrition Informatics: Dietetic Internship Program, CUNY Graduate School of Public Health and Health Policy
- 2020, 2021 Principles of Population Health Informatics, University of Hong Kong School of Public Health
- 2020 Population Health dashboards, CUNY Graduate School of Public Health and Health Policy

## COURSES CREATED

- 2010, 2011, 2012 Introduction to Public Health Informatics, Center for Public Health Informatics, India
- 2012, 2013, 2014 Introduction to Operations Research Population Health, Foundation of Healthcare Technologies Society

- 2016, 2017, 2018, 2019 Research Seminar Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2016, 2017, 2018, 2019 Introduction to Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2016, 2017, 2018, 2019 Introduction to Consumer Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2016, 2017, 2018, 2019 Applications of Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2019 Fundamentals of Population Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2020 Design and Development of Population Health Information Systems, CUNY Graduate School of Public Health and Health Policy
- 2020 Principles of Consumer Health Informatics, CUNY Graduate School of Public Health and Health Policy
- 2017, 2018, 2019, 2020 Nutrition Informatics: Dietetic Internship Program, CUNY Graduate School of Public Health and Health Policy
- 2020 Population Health dashboards, CUNY Graduate School of Public Health and Health Policy

## AWARDS

- 2018 Digital Commonwealth Award, Colombo, Sri Lanka
- 2017 Promising Indian Award of the Year, New Delhi, India
- 2016 CUNY Chancellors Award
- 2013 Mahatma Gandhi Pravasi Samman, House of Lords, London
- 2013 UNMC Research Innovation Award
- 2013 Design and development of an interactive dengue health information portal. Best Oral Presentation Award. Centre for Research in Medical Entomology (ICMR) Brain Storming Conference on Dengue Scenario in India: Disease burden, surveillance and control, Madurai India.
- 2012 UNMC Research Innovation Award
- 2012 UNMC Distinguished New Investigator Award
- 2012 Heath Kiosks as an Equal Opportunity Resource for Better Health: A Systematic Review. Best Paper at 1st International Conference on Global Health Challenges. Venice Italy
- 2012 Evaluation of Hello Doctor 24x7 Healthcare Services in Rural India: A Case Study. Best Paper presentation at E-Telemed. The Fourth International Conference on eHealth, Telemedicine, and Social Medicine, Valencia, Spain
- 2012 AMIA PHI 2011: Setting the Next Informatics Agenda for Public Health Scholarship Robert Wood Johnson Foundation. Orlando, Florida. Conference Fellowship.
- 2011 Tele education evaluation in Brazil. University of University of Texas Health Science Center, University of Texas, Houston, under US Department of Education and Brazil Ministry of Health UFPE, Recife, Brazil.
- 2010 Tele education evaluation in Brazil. University of University of Texas Health Science Center, University of Texas, Houston, under US Department of Education and Brazil Ministry of Health UFPE, Recife, Brazil.

## FUNDING

### Active Grants

**Title:** Aftercare Navigator Program for provision of essential services for COVID-19

**Dates:** July1 2021-June 30 2022

**Sponsor:** The New York City Mayor's Office of Housing Recovery Operations

**Amount:** \$7,000,000

**Role:** PI

**Title:** End of the Epidemic Data Center

**Dates:** October 1 2014-March 31 2022

**Sponsor:** Health Research, Inc.

**Amount:** \$583,647

**Role:** Co-PI (PI Nash)

**Title:** CHASE: An Innovative County-Level Public Health Response to the Opioid Epidemic in New York State

**Dates:** October 1 2014-March 31 2022

**Sponsor:** NIH/NIDA

**Amount:** \$317,950

**Role:** Co-I (PI El Bassel)

**Title:** NYS Vaccine hesitancy dashboard

**Dates:** April 1 2021-Dec 31 2022

**Sponsor:** CUNY SPH Foundation

**Amount:** \$500,000

**Role:** Investigators (Ayman El Mohandes, Scott Ratzan, Ashish Joshi)

**Title:** Establishing Population Health Informatics Regional Hub

**Dates:** September 1 2021-August 30 2022

**Sponsor:** OSUN Foundation

**Amount:** \$319, 321

**Role:** PI

### Grants Submitted

**Title:** Jobs-Plus Mental Health Integration Technical Assistance and Training Proposal

**Dates:** 07/01/21 – 06/30/24

**Sponsor:** NYC - The Mayor's Office of Contract Services

**Amount:** \$900,000

**Role:** Co-I

**Title:** Harlem Strong Mental Health Coalition: A Multi-sector Community-Engaged Collaborative for System Transformation

**Dates:** 9/21/2021-8/31/2026

**Sponsor:** NIH

**Amount:** \$3,600,000 (\$5,049,669 total with indirect)

**Role:** Co-I

*Upcoming Resubmission:*

**Title:** Harlem Strong: A Randomized Control Trial of an Integrated Mental Health and Economic Empowerment Intervention for Residents in Affordable Housing Developments

**Dates:** 04/01/2022-03/31/2027

**Sponsor:** NIH

**Amount:** \$2,500,000 (\$3,784,935 total with indirects)

**Role:** Co-I

## Completed Grants

**Title:** Resource Navigator Program for provision of essential services for COVID-19

**Dates:** June 1 2020-June 30 2021

**Sponsor:** The New York City Mayor's Office of Housing Recovery Operations

**Amount:** \$870,198

**Role:** PI

**Title:** National Task Force Project Enhancement of KAP regarding oral health of 0-6 year old children in rural India using internet enabled surveillance

**Dates:** April 1 2019- March 31 2021

**Sponsor:** Indian Council of Medical Research, Government of India

**Amount:**

**Role:** Co-PI (PI Goyal)

**Title:** Design and Evaluation of a Personalized Human Centered Dietary Decision Support System among Diabetic patients

**Dates:** March 1 2017- February 28 2019

**Sponsor:** Indian Council of Medical Research, Government of India

**Amount:** \$40,000

**Role:** Co-PI (PI Gaba)

**Title:** Integrated Road Traffic Injury Surveillance: India. National Tasks Force Project across five states of India

**Dates:** June 1 2017-May 30 2019

**Sponsor:** Indian Council of Medical Research, Government of India

**Amount:** \$150,000

Role: Co-PI (PI Babu)

Title: **Fulbright Junior Faculty Development Program**

Dates: June 1 2017-November 1 2017

Sponsor: Fulbright

Amount: \$42,382

Role: Co-PI (PI Gibbs)

Title: **Fulbright Junior Faculty Development Program**

Dates: April 1 2016-December 12 2016

Sponsor: Fulbright

Amount: \$54,490

Role: Co-PI (PI Gibbs)

Title: **Fulbright Junior Faculty Development Program**

Dates: April 1 2016-December 12 2016

Sponsor: Fulbright

Amount: \$54,490

Role: Co-PI (PI Gibbs)

Title: **Compendium of HIV-related Data Sources for Research and Evaluation**

Dates: January 1 2016-June 30 2016

Sponsor: Public Health Solutions

Amount: \$120,000

Role: Co-PI (PI Nash)

Title: **The Healthy CUNY App: Your path to academic success. CUNY Strategic investment initiative**

Dates: November 15 2015- June 30 2016

Sponsor: Public Health Solutions

Amount: \$415,000

Role: Co-I (PI Freudenberg)

Title: **Using Bi-Lingual Podcast to disseminate diabetes related health education among Hispanic Adults.**

Dates: January 1 2015- June 30 2015

Sponsor: CTSE Grant Weil Cornell Medical Center

Amount: \$20,000

Role: Co-PI

Title: **School based surveillance for early detection of acute pharyngitis and RF/RHD, ICMR, Govt. of India**

Dates: April 1 2014- March 30 2016

Sponsor: Indian Council of Medical Research, Government of India

Amount: \$45,000

Role: Co-PI (PI Negi)

Title: A community based surveillance system to monitor acute bacterial infections in Nigeria

Dates: July 1 2012- June 30 2014

Sponsor: Bill and Melinda Gates Foundation

Amount: \$2,45,000

Role: Co-PI (PI Obaro)

Title: **Evaluation of a touch screen Computer based Breast-feeding Educational Support program**

Dates: October 1 2012- September 30 2014

Sponsor: AHRQ

Amount: \$284,000

Role: PI

Title: **An innovative informatics approach to prevent and manage metabolic syndrome**

Dates: April1 2012- October 30 2013

Sponsor: AHRQ

Amount: \$85,000

Role: PI

Title: **A Water Health Initiative**

Dates: January 1 2013- December 30 2013

Sponsor: Planet Water

Amount: \$50,000

Role: PI

Title: **Design and Development of an Interactive PT-INR Remote monitoring system**

Dates: January 10 2012- May 12 2012

Sponsor: Interactive Medical Technologies

Amount: \$82,165

Role: PI

Title: **Design and Development of an Interactive Dengue Health Information platform for healthcare professionals in the State of Orissa**

Dates: February 1 2012- May 30 2012

Sponsor: State Government of Orissa

Amount: \$12,000

Role: PI

Title: **Evaluation of Health Management Information System for evaluation barriers to immunization coverage in the State of Orissa**

Dates: March 1 2012- May 30 2012

Sponsor: State Government of Orissa

Amount: \$4,000

Role: PI

Title: **Evaluation of Computer Mediated Interactive Nursing Education program.**

Dates: October 1 2011- September 30 2012  
Sponsor: US Department of Veteran Affairs  
Amount: \$121,255  
Role: PI

Title: **CE Outcomes on EU Cardiovascular Needs Assessment.**  
Dates: Pfizer.  
Sponsor: US Department of Veteran Affairs  
Amount: \$10,000  
Role: PI (Joshi and Colburn)

Title: **Computer based Medical Home Model for Children with Special Health Care needs.**  
Dates: April 1 2011- Dec 31 2011  
Sponsor: University of Maryland, Baltimore  
Amount: \$15000  
Role: PI

Title: **Usability and Feasibility of CRP in Renal Transplant Patients**  
Dates: April 1 2011- March 31 2012  
Sponsor: University of Maryland, Baltimore  
Amount: \$25000  
Role: PI

Title: **Design and evaluate Computer-Mediated Health Education Program for Veterans with Multiple Myeloma**  
Dates: August 1 2007- August 31 2008  
Sponsor: U.S. Department of Veteran Affairs  
Amount: \$84,567  
Role: PI

Title: **A pilot program of Computer based education to increase influenza vaccine rates for Baltimore children**  
Dates: June1 2007- June 30 2008  
Sponsor: Wilson Foundation  
Amount: \$23,000  
Role: PI (Joshi and Lichenstein)

Title: **Design and evaluate Computer-Mediated Health Education Program for nurses seeing Multiple Sclerosis Patients in VA hospitals**  
Dates: August1 2008- January 30 2009  
Sponsor: U.S. Department of Veteran Affairs  
Amount: \$65,000  
Role: PI

Title: **Evaluation of Home-Based Anticoagulant Self-Testing in Primary care setting**



Dates: January 1 2009- May 12 2010

Sponsor: Inverness

Amount: \$15,000

Role: PI

Title: **Predictive model to create a decision-making algorithm for patients with bladder cancer**

Dates: June 15 2008- December 14 2010

Sponsor: Inverness

Amount: \$25,000

Role: PI

## PUBLICATIONS

Book

- 2017 Published First Textbook on *Population Health Informatics: Driving Evidence Solutions into Practice*, Published by Jones and Bartlett  
Joshi A, Levi Waldron and Lorna Thorpe

Book chapter

- Forthcoming Chapter "Information and Communication Technology enabled Healthcare" Forthcoming Book "Essentials of Health Management"  
Oxford Publication

Peer Reviewed Journal (\*indicates student mentored and student as co-authors)

1. **Joshi A**, Gertner R, Roberts L and Mohandes El Ayman. An Evidence based approach of Academic Management in a School of Public Health using SMAART Model. Sustainability 2021, 13(21), 12256
2. Dinesh Kumar, **Ashish Joshi**, Ashoo Grover, Sunil Raina, Ashok Kumar Bhardwaj, Bhavya Malhotra, M.Sc. Effect of personalized human centered dietary decision support system (PHCDDSS) on dietary knowledge, attitude, practice (KAP) and mean fasting blood sugar (FBS) among participants with type-2 diabetes mellitus (T2DM) in community-based settings of northern state of India *Journal of Diabetology* 2021, 12(3), 338-343
3. **Joshi A**, Kaur M, Kaur R, Grover A, Nash D, El-Mohandes A. Predictors of COVID-19 Vaccine Acceptance, Intention, and Hesitancy: A Scoping Review. Front Public Health. 2021 Aug 13; 9:698111. [PMC8414566](https://doi.org/10.3389/fpubh.2021.698111)
4. **Joshi, A\***.Bruce, Amadi, C, Amatya, J. (2021) & I. Developing Evidence-based population health informatics curriculum: Integrating competency based model and job analysis. Online Journal of Public Health Informatics, 13 (1) PMID: [PMC8238051](https://doi.org/10.3389/fpubh.2021.698111)

5. Surapaneni KM, Kaur M, Kaur R, Grover A, **and Joshi A**. Examine the impact of COVID-19 Vaccine Communication, Acceptance and Practice (CO-VIN-CAP) on Vaccine hesitancy in an Indian setting: Protocol for a Cross-Sectional Study. *JMIR Res Protoc*. 2021 May 13. DOI: [10.2196/29733](https://doi.org/10.2196/29733)
6. **Joshi A\***, Gaba A, Thakur S, Grover A. Need and Importance of Nutrition Informatics in India: A Perspective. *Nutrients*. 2021; 13(6):1836. PMCID: [PMC8230128](https://pubmed.ncbi.nlm.nih.gov/PMC8230128/)
7. **Joshi, A.**, Apeksha H. Mewani, Srishti Arora and Ashoo Grover. India's COVID-19 Burdens, 2020. *Front. Public Health*, 14 April 2021 PMCID: [PMC8079724](https://pubmed.ncbi.nlm.nih.gov/PMC8079724/)
8. **Joshi, A\***. Kaur, H., Krishna, L. N., Sharma, S., Sharda, G., Lohra, G., Bhatt, A., & Grover, A. (2021). Tracking COVID-19 burden in India using SMAART RAPID tracker. *Online Journal of Public Health Informatics*, 13(1). PMCID: [PMC8075416](https://pubmed.ncbi.nlm.nih.gov/PMC8075416/)
9. **Joshi, A.**, Kajal, F., Bhuyan, S. S., Sharma, P., Bhatt, A., Kumar, K., Kaur, M., & Arora, A. (2020). Quality of Novel Coronavirus Related Health Information over the Internet: An Evaluation Study. *The Scientific World Journal*, 2020, 1562028. PMCID: [PMC7411495](https://pubmed.ncbi.nlm.nih.gov/PMC7411495/)
10. Goyal, A., Grover, A., Gauba, K., Gupta, A., Mehta, N., Dutta, S., Pandey, R. M., **Joshi A\***, Malhotra B, Amadi-Mgbenka C, et al. Gender and the Digital Divide Across Urban Slums of New Delhi, India: A Cross-Sectional Study. *J Med Internet Res*. 2020 Jun; 22(6): e14714. PMCID: [PMC7338923](https://pubmed.ncbi.nlm.nih.gov/PMC7338923/)
11. Babu BV, John KR, Manickam P, Kishore J, Singh R, Mangal DK, **Joshi A**, Bairwa M, Sharma Y. Development and Implementation of Integrated Road Traffic Injuries Surveillance - India (IRIS-India): A Protocol. *Adv J Emerg Med*. 2019 Dec 15; 4(2):e35. PMCID: [PMC7163273](https://pubmed.ncbi.nlm.nih.gov/PMC7163273/)
12. Goyal A, Grover A, Gauba K, Gupta, A., Mehta, N., Dutta, S., Pandey, R. M., **Joshi, A.**, Thakur, J. S., Mohanty, U., & Dhaliwal, R. S. A community-based pragmatic, controlled trial for preventing and reducing oral diseases among 1-6-year-old children visiting Anganwadi centers, under the Integrated Child Development Scheme, India. *BMC Public Health*. 2019; 19(1):1626. PMCID: [PMC6892135](https://pubmed.ncbi.nlm.nih.gov/PMC6892135/)
13. **Joshi A\***, Amadi C, Schumer H, Galitzdorfer L, Gaba A. A human centered approach to design a diet app for patients with metabolic syndrome. *Mhealth*. 2019;5:43 PMCID: [PMC6789292](https://pubmed.ncbi.nlm.nih.gov/PMC6789292/)
14. **Joshi A**, Arora A, Amadi-Mgbenka C, Mittal N, Sharma S, Malhotra B, Grover A, Misra A, Loomba M. Burden of household food insecurity in urban slum settings. *PLoS One*. 2019 Apr 2;14(4):e0214461 PMCID: [PMC6445475](https://pubmed.ncbi.nlm.nih.gov/PMC6445475/)

15. Kristen Cribbs, Susanna Lynch, Marita LaMonica, Chioma Amadi, and **Joshi A.** Enhancing Graduate Practicum Project Development and Selection at Schools of Public Health: A Case Study. *Pedagogy in Health Promotion: The Scholarship of Teaching and Learning* 1–7 © 2019 Society for Public Health Education  
<https://doi.org/10.1177/2373379919842232>
16. Tymejczyk O, McNairy ML, Petion JS, Rivera VR, Dorélien A, Peck M, Seo G, Walsh KF, Fitzgerald DW, Peck RN, **Joshi A**, Pape JW, Nash D. Hypertension prevalence and risk factors among residents of four slum communities: population-representative findings from Port-au-Prince, Haiti. *J Hypertens.* 2019 Apr;37(4):685-695 PMID: [PMC7680636](https://pubmed.ncbi.nlm.nih.gov/30666636/)
17. Negi PC, Merwaha R, Rao S, Asotra S, Mahajan A, **Joshi A.** School-based surveillance for detection of children with acute pharyngitis, rheumatic fever/rheumatic heart disease in Shimla district, Himachal Pradesh, India-A cluster randomized controlled trial. *Indian Heart J.* 2018 Dec;70 Suppl 3:S74-S81 PMID: [PMC6309137](https://pubmed.ncbi.nlm.nih.gov/30666636/)
18. Harleigh Schumer, Amadi, C and **Joshi A**, Evaluating the Dietary and Nutritional Apps in the Google Play Store. *Healthcare Informatics Research* 2018 Jan; 24(1): 38–45 PMID: [PMC5820085](https://pubmed.ncbi.nlm.nih.gov/30666636/)
19. **Joshi A**, Amadi C, Katz B, Kulkarni S, Nash D. A Human-Centered Platform for HIV Infection Reduction in New York: Development and Usage Analysis of the Ending the Epidemic (ETE) Dashboard. *JMIR Public Health Surveill.* 2017 Dec 11;3(4):e95 PMID: [PMC5742657](https://pubmed.ncbi.nlm.nih.gov/30666636/)
20. **Joshi A**, Arora M, and Malhotra. B. Usability Evaluation of a Portable Health Information Kiosk Using a SMAART Intervention Framework. *Global Journal of Health Sciences* 2017 Vol9 (8) DOI:[10.5539/gjhs.v9n8p153](https://doi.org/10.5539/gjhs.v9n8p153)
21. **Joshi A**, Wangmo R, Amadi C. Blogs as Channels for Disseminating Health Technology Innovations. *Healthc Inform Res.* 2017 Jul;23(3):208-217 PMID: [PMC5572525](https://pubmed.ncbi.nlm.nih.gov/30666636/)
22. **Joshi A\***, Chioma Amadi, Amina Alam, Margaret A Krudysz, Gabriela Hernandez Using data to inform decision making in recruitment of prospective Public Health students. *Research in Higher Education*, Vol 32 (1-18) 2017  
<https://eric.ed.gov/?id=EJ1148924>
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- efficacy and intent to breastfeed among rural Hispanic women. *Int J Med Inform.* 2016 Jul;91:10-9 DOI: [10.1016/j.ijmedinf.2016.04.001](https://doi.org/10.1016/j.ijmedinf.2016.04.001)
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26. **Joshi A\*** and Chioma Amadi. Assessment of CEPH-Accredited Institutions Offering Public Health Programs in the United States: A Short Report *Front Public Health.* 2016 Jan 27; 3:290. PMID: [26858945](https://pubmed.ncbi.nlm.nih.gov/26858945/)
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33. Harisharan N, Singh AK, Dangal NR, Surapaneni KM, **Joshi A\***. Multiple Risk Factors of Alcoholic and Non-Alcoholic Myocardial Infarction Patients. *Glob J Health Sci.* 2015 May 17;8(1):46166 DOI: [10.5539/gjhs.v8n1p62](https://doi.org/10.5539/gjhs.v8n1p62)
34. Chezian C, Murthy S, Prasad S, Kasav JB, Mohan SK, Sharma S, Singh AK, **Joshi A\***. Exploring Factors that Influence Smoking Initiation and Cessation among Current Smokers. *J Clin Diagn Res.* 2015 May;9(5):LC08-12

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36. Gaba A, Amadi C, Srivastava A and **Joshi A\***. The Nutrition and Dietetics Workforce needs skills and expertise in the New York Metropolitan Area. Global Journal of Health Sciences 2015 Sep 28;8(6):14-24 PMCID: [PMC4954905](#)
37. Patnaik L, **Joshi A**, Sahu T. Mobile phone-based education and counseling to reduce stress among patients with diabetes mellitus attending a tertiary care hospital of India. Int J Prev Med. 2015 May 4;6:37 PMCID: [PMC4427989](#)
38. **Joshi A\***, Amadi C, Meza J, Aguirre T, Wilhelm S. Comparison of Socio-Demographic Characteristics of a Computer Based Breastfeeding Educational Intervention Among Rural Hispanic Women. J Community Health. 2015 Oct; 40(5):993-1001. DOI: [10.1007/s10900-015-0023-3](#)
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#### Publications under review

- **Joshi A**, Kaur M, Bhatt, A, Bandana, Jerry Quality of COVID-19 vaccine related information on the internet: YouTube. *International Quarterly of Community Health Education*
- **Joshi A**, Mahima Kaur, Pooja Murjani, Neha Surela, Shally Vishnoi, Akansha Rani. Evaluation of quality and readability of diabetes-related online health information using DISCERN and Flesch-Kincaid Tools. *Submitted to Journal Health Promotion International*. (2020)
- **Joshi A**, Mahima Kaur, Kirti Sharma, Divleen Kaur, Aditi Singh, Khushi Gupta, Dolly Kohli. Quality and readability of online-based consumer health information about Metabolic Syndrome using DISCERN and Flesch-Kincaid Tools: An Evaluation Study. *Submitted to Journal Digital Health* (2020)

#### Conference Paper/Presentations/ Abstracts

1. Kajal F, Mehrotra A, Misra MR, and **Joshi A**. Implementation of SAMBHAV initiative to enhance improvement in government service delivery on social indicators among urban poor settlements. CUGH 2021. Addressing critical gaps in global health and development March 12-14 2021.
2. **Joshi A**, Anshuman A, Kaur M, Kumar K, Bhatt A, Sharma P, Arora S, Kaur H. SMAART informatics approach to enhance chronic disease self-management. APHA 2020 Oct 24-28.
3. **Joshi A**, Bhavya Malhotra, Menka Loomba, Archa Misra, Shruti Sharma, Chioma Amadi, Arushi Arora. Tracking Sustainable Development Goals in urban slums using SMAART framework. *Columbia University, New York, USA*, September 24-25, 2019.
4. **Joshi A** Chioma Amadi, Shruti Sharma, Bhavya Malhotra, Ashoo Grover, Archa Misra, Menaka Loomba, Arushi Arora. Mapping sustainable development goals in urban slum settings. *Xiamen China*, 4-8 November 2019.
5. **Joshi A**, Shardul Sohani, Shiren Rajaram and Ashoo Grover. Evaluation of sexually transmitted infection related health information on internet. 141<sup>st</sup> APHA Annual Meeting Nov2-6 2013 Boston.
6. **Joshi A**, Ashoo Grover, Anjali Nanda, Kandarp Talati, Bhavya Malhotra and Mausumee Dalai. Heuristic evaluation of an Interactive Computer-based Bi-Lingual

- Metabolic Syndrome Educational Program 2<sup>ND</sup> Annual Global Health care Conference, Singapore. 8<sup>th</sup>-9<sup>th</sup> July 2013
7. **Joshi A**, Douglas Puricelli Perin, Kate Trout and Stephen Obaro Heuristic evaluation of an Interactive Surveillance System. Second Annual Global Health care Conference, Singapore. 8<sup>th</sup>-9<sup>th</sup> July 2013
  8. **Joshi A\***, Navya R Rao and Pinak Panigrahi. Evaluation of Hello Doctor 24x7 Healthcare Services in Rural India: A Case Study. Paper presentation at eTELEMED 2012, The Fourth International Conference on eHealth, Telemedicine, and Social Medicine, January 30th, 2012 - February 04th, 2012, Valencia, Spain (**BEST PAPER AWARD 2012**)
  9. D. Thomson, **Joshi A**, R. Hernandez, and J. Ellen. Nutrition education using a touch screen computer: A randomized trial in low-income Spanish-speaking Latino parents". Pediatric Academy Society Conference 2011
  10. Jason Levine, H. Feseha, Kelly L. Miller, David Zimrin, J. Lawrence Stafford, Peter A. Reyes, Barry Reicher, Samuel Yoon, **Joshi A** and Robert Poston: *Safety and Efficacy of Platelet Inhibition during Hybrid Coronary Revascularization*. Cardiovascular Revascularization Therapies. March 7-9 Washington D.C. 2007 (**Best Abstract**)
  11. James J Purtill, David Tarity, **Joshi A**, DellaValle CJ, Parvizi J, Sharkey PF. *Risk factors for stiffness after Total Knee Arthroplasty*. American Association of Orthopedic Surgeons, San Diego, California Feb 14, 2007.
  12. Pulido L, Parvizi J, Ghanem E, **Joshi A**. et al. *Predictors of Periprosthetic Joint Infection*. Musculoskeletal Infection Society, San Diego, California, August 10-11, 2007
  13. Ketonis C, Ghanem E, Antoci V, **Joshi A**. Parvizi J. *Periprosthetic Infection: Where Do We Stand With Regard To Gram Stain?* European Bone and Joint Infection Society EBJIS. Corfu, Greece, September 20-22 2007.
  14. **Joshi A**, Robert Poston, et al. *Rebound thrombin generation following heparin withdrawal increases the risk of thrombotic events during Ventricular assist device support*. Nominated for the Vivien Thomas Young Investigator Award sponsored by Council on Cardiovascular Surgery and Anesthesia. American Heart Association 2006
  15. **Joshi A**, Mohit Arora, Seeta Kallam. et al. Association between prothrombin activation fragment (F1.2), cerebral ischemia (S-100b and International normalized ratio (INR) in patients with Ventricular Assisted devices. 5TH European Association of Cardio Thoracic Surgeons Meeting, Stockholm, Sweden 9-13 Sep, 2006.
  16. **Joshi A**, Amelung P, Finkelstein J. Quality of life in asthma patients is affected by Home Telemanagement. 10th Annual International Society of Pharmacoeconomics and Outcomes Research Meeting, Washington D.C. May 15-18, 2005.
  17. Shruti sharma, Bhavya Malhotra, **Joshi A**. Using SMS and Whatsapp as tools to promote awareness about healthy eating practices. Presented at Indian Public Health organization Feb 24-26, Jodhpur, Rajasthan, India 2017
  18. **Joshi A** and Kate Trout. Heath Kiosks as an Equal Opportunity Resource for Better Health: A Systematic Review. GLOBAL HEALTH 2012, the First International Conference on Global Health Challenges. October 21-26, 2012 Venice Italy (**BEST PAPER AWARD**).
  19. **Joshi A**, Pinaki Panigrahi, Douglas Puricellin, Radhanand Satpathy and Mohit Aora. Feasibility of Electronic Health Kiosks to Assess Chronic Disease Status in Remote

- Areas of Developing Countries. GLOBAL HEALTH 2012, the First International Conference on Global Health Challenges. October 21-26, 2012 Venice Italy.
20. **Joshi A** et al, A Spectral Clustering Technique for Studying Post-Transplant Kidney Functions Paper acceptance 2nd ACM SIGHIT International Health Informatics Symposium (IHI 2012) January 28-30, 2012, Miami, Florida, USA
  21. **Joshi A.** Evaluation of a Portable Health Information Kiosk (PHIK) to assess cardiovascular risk in diverse settings in India. AMIA PHI 2011, May 25-27, Orlando, Florida.
  22. **Joshi A and Jamal Mikdashi.** Assessing user needs to design personalized Osteoarthritis Self-Care Management Portal. *139<sup>th</sup> Annual Meeting American Public Health Association Oct 29 to Nov3 2011, Washington DC.*
  23. **Pinaki Panigrahi, Joshi A,** Hegang Chen, Dinesh Chandel, Radhanath Satpathy, Nimai Nanda, Lingaraj Pradhan, Shubhranshu Mohapatra, Sailajanandan Parida, Ira Gewolb, J. Glenn Morris Jr. Role of village level education and utilization of existing facilities in reducing neonatal mortality in rural India and evaluation of post-study sustainability and impact of new parallel programs
  24. Dinesh Chandel, **Joshi A,** Dipti Mohanty, Pravas Misra, **Pinaki Panigrahi,** Surveillance of ESBL-gene fecal carriage by neonates in an Indian community setting.
  25. **Joshi A.** Evaluation of a Portable Health Information Kiosk (PHIK) to assess cardiovascular risk in diverse settings in India. AMIA PHI 2011, May 25-27, Orlando, Florida.
  26. **Joshi A,** Jiajie Zhang, Javad Parvizi and Ed C Hsu. An exploratory analysis on the visualization of temporal utilization of total joint arthroplasty in 2000-2008. *Publication at XII Brazilian Congress of Health Informatics.* 18-22 October 2010 Porto de Galinhas, PE, Brazil.
  27. **Joshi A & Ed C Hsu.** Application of Spatial Methods in identifying Geographic variations in populations with Chronic Diseases: A Critical Review. 138th APHA Annual Meeting (November 6-10, 2010) in Denver, CO
  28. **Joshi A,** Mohit Arora & Darcy Thomson. A design of a computer-based nutrition program for Spanish speaking mothers. 2010 Pediatric Academic Societies Annual Meeting 1-4 May 2010, Vancouver, BC.
  29. **Joshi A & Ed C Hsu.** Lifestyle Change Recommendations for Population with Metabolic Syndrome: Findings from the Analysis of NHANESIII Data. Joint Conference - 50th Cardiovascular Disease Epidemiology and Prevention - and - Nutrition, Physical Activity and Metabolism Conference, scheduled March 2-5, 2010 at the Hilton San Francisco Union Square, San Francisco, California.
  30. **Joshi A & Elicia Preslan.** Challenges performing literature database searches using Pubmed. 2010 Annual Clinical Research Informatics AMIA 2010. March 12-13 San Francisco.
  31. **Joshi A,** Mohit Arora, Andrew Sears. *Design and Development of a Computer based Multiple Myeloma Educational Kiosk in VA settings.* 2009 International Cancer Education Conference & AACE-CPEN-EACE Joint Annual Meeting.
  32. **Joshi A,** Mohit Arora, Kathleen Price, Lisa Vizer, Liwei Dai and Andrew Sears. *Applying Heuristic Evaluation to improve the usability of Patient Education and Motivation tool.* 2009 APHA Scientific Conference.



33. Michael Aynardi, Luis Pulido, **Joshi A**, James J Purtill, Richard H Rothman, Javad Parvizi. *Early Mortality Following Elective Total Hip and Knee Arthroplasty*. 2009 Annual AAOS Meeting
34. Richard Lichenstein, Crystal Easter, Alex Vazzano, Mohit Arora, Bahiyyah Jackson and **Joshi A**. *Use of Medical Education Computer Kiosks in Different Clinical Settings*. Pediatric Academic Societies' Annual Meeting in Baltimore, Maryland, May 2-5, 2009
35. Peter Sharkey, Elie S. Ghanem, Khalid Azzam, Mark Seeley, **Joshi A**, Javad Parvizi. *Staged revision for knee arthroplasty infection: what is the role of serological tests prior to reimplantation?* The Journal of Arthroplasty February 2009 (Vol. 24, Issue 2, Page e27)
36. Kahl L, Huang R, RestrepoC, Parvizi J, Rothman R and **Joshi A**. *The Efficacy and Complications Associated with Fresh Frozen Plasma Is It Worth the Risk?* AAOS, Las Vegas, Feb 25-28 2009
37. Easter C, Lichenstein R, Vazzano A, Jackson B, Arora M, **Joshi A**. *Community interaction with asthma kiosk*. Presented at Young Scientists Days of Discovery Program. University of Maryland School of Medicine. July 2008
38. Parvizi J, Pulido L, **Joshi A**, Mraovic B, Joseph J.I, Grunwald Z. *Preoperative Hyperglycemia, Independent of Diabetes Mellitus, is a Risk Factor for Pulmonary Embolism*. American Academy of Orthopedic Surgeons AAOS, San Francisco, California, March 5 - 9 2008.
39. Pulido L, Kurd M, **Joshi A**, Purtill JJ, Parvizi J. *Clostridium difficile Infection Following Total Joint Arthroplasty. Who is at Risk?* American Academy of Orthopedic Surgeons AAOS, San Francisco, California, March 5-9, 2008
40. Parvizi J, Pulido L, **Joshi A**, Mraovic B, Joseph JI, Grunwald Z. *Preoperative Hyperglycemia is a Risk Factor for Pulmonary Embolism Independent of Diabetes Mellitus*. American Academy of Orthopedic Surgeons AAOS, San Francisco, California, March 5-9, 2008
41. Azzam K, Kaufman D, Parvizi J, **Joshi A**, Sharkey PF, Purtill JJ. *Revision of the unstable total knee replacement; outcome predictors*. Eastern Orthopedic Association EOA, Las Vegas, Nevada. October 22 – 25, 2008.
42. Pulido L, Parvizi J, Aynardi M, **Joshi A**, Purtill JJ, Rothman RH. *Early Mortality Following Elective Total Hip and Knee Arthroplasty*. Eastern Orthopedic Association EOA, Las Vegas, Nevada. October 22 – 25, 2008
43. Pulido L, Parvizi J, **Joshi A**, Patel DN, Sharkey PF, Rothman RH. *Risk factors for Postoperative Pulmonary Embolism. A Multivariate Analysis of 16,847 Consecutive Total Hip and Knee Arthroplasties*. Eastern Orthopedic Association EOA, Las Vegas, Nevada. October 22 – 25, 2008.
44. Ghanem E, Pawasarat I, Azzam K, Restrepo C, **Joshi A**, May L, Parvizi J. *Subjective Patient Based Outcome Measures versus Objective Clinical Scales after Revision Total Hip Arthroplasty*. Eastern Orthopedic Association EOA, Las Vegas, Nevada. October 22 – 25, 2008.
45. Ghanem E, Pawasarat I, Azzam K, Restrepo C, **Joshi A**, and Parvizi J. *Comparative Study of Revision Total Hip and Knee Arthroplasty Quality of Life and Patient Satisfaction*. American Association for Hip and Knee Surgeons AAHKS. Dallas, Tx. November 7-9, 2008.



46. Pulido L, Parvizi J, Aynardi M, **Joshi A**, Purtill JJ, Rothman RH. *Early Mortality Following Elective Total Hip and Knee Arthroplasty*. American Association for Hip and Knee Surgeons. Dallas AAHKS, Tx. November 7-9, 2008.
47. Azzam K, Kaufman D, Parvizi J, **Joshi A**, Sharkey PF, Purtill JJ. *Revision of the unstable total knee replacement; outcome predictors*. American Association for Hip and Knee Surgeons AAHKS, Dallas, Tx. November 7-9, 2008.
48. Ghanem E, Pawasarat I, Azzam K, Restrepo C, **Joshi A**, May L, Parvizi J. *Subjective Patient Based Outcome Measures versus Objective Clinical Scales after Revision Total Knee Arthroplasty*. American Association for Hip and Knee Surgeons AAHKS, Dallas, Tx. November 7-9, 2008.
49. Ghanem E, Azzam K, Seeley M, **Joshi A**, Parvizi J. *Staged Revision for Knee Arthroplasty Infection what is the role of Serological tests prior to Reimplantation*. American Association for Hip and Knee Surgeons AAHKS, Dallas, Tx. November 7-9, 2008. 22-25, 2008
50. Salwa Khan, Richard Lichenstein, Mohit Arora, **Joshi A**, James King. *An interactive computer-based kiosk for health communication regarding influenza vaccination in an urban setting*. Accepted 136th APHA Annual Meeting & Exposition October 25-29, 2008.
51. Lichenstein R, Khan S, **Joshi A**, King JC and Arora M. *Knowledge, attitudes and practices of urban parents towards influenza vaccination*. Poster presentation, Pediatric Academic Societies Annual Meeting. Honolulu HI, May 2008.
52. Ketonis C, Ghanem E, Austin M, Purtill JJ, and Parvizi J, **Joshi A**. *Periprosthetic Infection: Where Do We Stand With Regard to Gram Stain?* Musculoskeletal Infection Society MSIS, San Diego, California, August 10 - 11 2007.
53. Richard Lichenstein, **Joshi A**, et al. *Assessment of an Educational and Motivational Tool in Children with Acute Asthma*. Pediatric Academic Society, Toronto, Canada, May 5-8, 2007
54. Zachary N. Kon, Barry Reicher, Emile N. Brown, Seeta Kallam, Nicholas S. Burris, Peter Reyes, David Zimrin, **Joshi A**, Robert S. Poston. *Simultaneous Hybrid Coronary Revascularization Reduces Postoperative Morbidity Compared To Procedures Utilizing Only Coronary Artery Bypass Grafting*. 87th American Association for Thoracic Surgery. Washington D.C. May 5-9, 2007.
55. R. B. Munivenkatappa, C. I. Drachenberg, **Joshi A**, et al. *The role of morphometric studies of pre-implantation donor wedge biopsies (DBx) in predicting graft outcomes in renal transplant recipients (RTR)*. World Nephrology Congress, Rio de Janeiro, Brazil. April 21-25, 2007
56. Jason Levine, H. Feseha, Kelly L. Miller, David Zimrin, J. Lawrence Stafford, Peter A. Reyes, Barry Reicher, Samuel Yoon, **Joshi A** and Robert Poston. *Safety and Efficacy of Platelet Inhibition during hybrid Coronary Revascularization*. Cardiovascular Revascularization Therapies. Washington D.C. March 7-9 2007.
57. **Joshi A**, Mohit Arora, et al. *Rebound thrombin generation following heparin withdrawal increases the risk of thrombotic events during Ventricular Assist Device support*. American Heart Association Scientific Conference, Chicago, IL Nov 12- 15, 2006.
58. Niharika Khanna, David Stewart, Swati Sadaphal, **Joshi A**, Joseph Finkelstein. *Tobacco Use in Methadone Maintained Women*. 34th Annual North American Primary Care Research Group. Tucson, Arizona. October 15-18, 2006.

59. **Joshi A**, Mohit Arora, Seeta Kallam. et al. Association between prothrombin activation fragment (F1.2), cerebral ischemia (S-100b and International normalized ratio (INR) in patients with Ventricular assisted devices. 5TH European Association of Cardio Thoracic Surgeons Meeting, Stockholm, Sweden 9-13 Sep, 2006.
60. Finkelstein J, **Joshi A**, et al. *Home Automated Telemanagement in Post- Hip Fracture Rehabilitation*. 11th International Society of Pharmacoeconomics and Outcomes Research Meeting, Philadelphia. May 20-24, 2006.
61. Finkelstein J, **Joshi A**, Hise M. *Association of metabolic syndrome with household partner status in NHANES III*. American Heart Association Scientific Sessions, Dallas, Texas, Nov. 13-16, 2005.
62. **Joshi A**, Amelung P, et al. *Clinical impact of Home Automated Telemanagement in asthma*. American Medical Informatics Association Symposium, Washington D.C. October 22-26, 2005
63. Arora M. Falsafi N, Al-Ibrahim M, Sawyer R, Siegel E, **Joshi A**, Finkelstein J. *Evaluation of Co-ViSTA –an Automated Vital Sign Documentation System – in an inpatient hospital setting*. American Medical Informatics Association Symposium. Washington, D.C. October 22-26, 2005. AMIA Annu Symp Proc 2005; 885.
64. **Joshi A**, Hise M, Finkelstein J. Association of physical activity and renal parameters in subjects with and without metabolic syndrome in NHANES III. American College of Epidemiology New Orleans, Louisiana, September 17-20, 2005.
65. Lapshin O, **Joshi A**, Finkelstein J. *Perception of side effects, medication adherence and quality of life in Psychiatric patients*. 10th Annual International Society of Pharmacoeconomics and Outcomes Research Meeting, Washington D.C. May 15-18, 2005. Value in Health 2005; 8:398.
66. Finkelstein J, Lapshin O, **Joshi A**. et al. *Patient perception of side effects associated with asthma medications*. American Thoracic Society Scientific Conference, San Diego May 20-25, 2005.
67. **Joshi A**, Amelung P, Finkelstein J. *Quality of life in asthma patients is affected by Home Telemanagement*. 10th Annual International Society of Pharmacoeconomics and Outcomes Research Meeting, Washington D.C. May 15-18, 2005.
68. Finkelstein J, **Joshi A**, Amelung P. *Evaluation of Home Telemanagement in adult asthma*. Proc. of AAAAI 61st Annual Meeting San Antonio, TX, March 18-22, 2005. J Allergy Clin Immunol 2005; 115(2): S63.
69. Finkelstein J, Arora M, **Joshi A**. *Introducing Handheld Computing for Interactive Medical Education*. 8<sup>th</sup> World Multiconference on Systemics, Cybernetics and Informatics (SCI 2004), Orlando, FL, July 18-21, 2004.
70. Joseph Finkelstein, Fadiya T Shaya, Mohit Arora **Joshi A**, et al. *Automated Survey Collector (ASC): A Universal Platform for Interactive Collection of Clinical Data*. 8th World Multiconference on Systemics, Conference Program Committees (National and International)

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#### INVITED TALKS, 2014-2021

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- Invited panelist 5<sup>th</sup> WHO Infodemic Management Conference November 2 2021

- Invited speaker Department of Anthropology, University of Delhi, “Need and Importance of Nutrition Informatics in India” November 29 2021
- Invited panelist HIMSS 21 Global Pandemic to Infodemic: Building Public trust in crisis. August 10 2021
- Invited Judge for Public Health Innovation Accelerator Firefly Innovations. August 5 2021
- Inaugural speaker for launch of Dokpam, National Telehealth initiative for providing Access to All in Haiti. July 25 2021
- Moderated Inaugural speaker series “Evolution of Electronic Health Records”
- Invited to give a talk on SMAART Informatics framework at the CUNY Public Health Innovation Accelerator. CUNY Firefly Innovations at the CUNY Graduate School of Public Health and Health Policy
- Invited to give a talk on SMAART RAPID Tracker: A global Policy Informatics tool to track COVID-19 outbreak at SKOCH Group, New Delhi, India
- Invited to give a talk on SMAART RAPID Tracker: A global Policy Informatics tool to track COVID-19 outbreak at CUNY SPH Dean Grand Rounds
- Invited to give a plenary talk at 2019 Women Economic Imperative Initiative, Edinburgh, Scotland
- Invited to present on SMAART informatics platform at 2019 International Conference on Sustainable Development Conference, New York
- Invited to give talk at *Harvard TH Chan School of Public Health*. “Using community data to drive innovation and sustainability”
- Invited to give Talk at United Nations Women title “Leveraging big data using SMAART informatics platform to address Sustainable Development Goals
- Invited as a discussant at 10<sup>th</sup> International Conference on theory and practice of Electronic governance, New Delhi. Organized by UN University and UNESCO
- Invited to give talk title Population Health Informatics Opportunities and Challenges at 9<sup>th</sup> International Conference on Communication Systems & Networks (COMSNET) held at Bangalore, India
- Invited to give a workshop on Population Health Informatics: Opportunities and Challenges at the Indian Public Health Association, Jodhpur, India
- Invited to give talk at International conference on Advances in Human Nutrition Food Science and Technology held in Toronto, Canada
- Invited to give talk title Research, Innovation, Sustainability and Entrepreneurship Using Population Health Informatics (RISE-PHI) at School of Public Health and Social Justice, St Louis University
- Invited to give talk title “aligning career goals to meet the challenges of the 21<sup>st</sup> Century” at Miranda House, New Delhi, India
- Invited to give a talk at 6<sup>th</sup> International Conference on Health GIS title “Population Health Informatics: Opportunities and Challenges in global settings” Mysore, India
- Invited to give talk title “Public health interventions gaps and challenges organized by Indian Council of Medical Research, Government of India at Dr. Rajendra Prasad Medical College, Kangra, India
- Invited speaker at National Conference of Medical Informatics, AIIMS, New Delhi, India

- Invited speaker at Indian Public Health Association, Kochi, India
- Invited speaker at The 39th Annual National Conference of Indian Association of Preventive and Social Medicine (IAPSM). Kangra, Himachal Pradesh, India
- Invited speaker at the 39th Annual National Conference of Indian Association of Preventive and Social Medicine (IAPSM). Kangra, Himachal Pradesh, India
- Invited speaker at the 15<sup>th</sup> International Symposium for Health Information Management Research, Zurich, Switzerland
- Invited speaker at the 7th International Conference on E-governance (ICE-2010) Indian Institute of Management, Bangalore, India
- Invited speaker at the 1<sup>st</sup> International Conference on transforming healthcare with IT New Delhi, India

### Established SMAART Population Health Informatics Intervention Research Incubator

- Established first of its kind population health intervention research incubator in India.
  - Scale up SMAART model to address social-economic inequalities by bringing together public health intervention research, innovation, skills and entrepreneurship.
  - Design, develop and implement innovative technology enabled solutions through research capacity building, intervention studies and experiential learning opportunities for students interested in public health.
  - Leverage community-level data to inform data driven, evidence-based decision-making among individuals living across urban, rural and urban slum settings.
  - Foster Institutional collaborations to develop training programs in population health informatics
  - Be a knowledge partner to state governments and other community organizations, institutes and entities for better resource planning and prioritization for overall well-being of individuals, families and the communities they live in.
  - Several ongoing public health research projects supported by Indian Council of Medical Research, Government of India

### Student Mentorship (Mentored more than 450+ students globally)

2008	Michael Lichenstein, High School student, Baltimore
2008-2009	Monish Advani, MS, UMBC, Baltimore
2008-2009	Kanchan Kumar (MS), UMBC, Baltimore ( <i>Published Paper</i> )
2008-2009	Elicia Preslan (Masters in Epidemiology) UMB, Baltimore ( <i>Published Paper</i> )
2009	Ronik Bhangoo, (Bachelor Language studies), Yale University ( <i>Published Paper</i> )
2011	Elizabeth Kix (Masters in Public Health), College of Public Health, UNMC, Omaha
2010-2011	Soumitra, (PhD HSRA), College of Public Health, UNMC, Omaha
2010-2011	Madhusmita Sahoo, Certificate Public Health Informatics, CPHI, ( <i>Published Paper</i> )
2010-2011	Kandarp Talati, Certificate Public Health Informatics, CPHI, ( <i>Published Paper</i> )
2010-2011	Navya Ramesh, MPH, COPH, UNMC ( <i>Published Paper and Best Paper Award</i> )
2011-2012	Santosh Kumar, MPH, COPH, UNMC, Omaha
2010-2011	Kumkum Pipal, MPH, COPH, UNMC, Omaha
2011-2012	Morgan Taylor (AmeriCorps), COPH, UNMC ( <i>Published Paper</i> )

- 2011-2012 Douglas Puricellin, MPH, COPH, UNMC, *(Published 5 Papers)*
- 2012-2013 Shardul Sohani, MPH, College of Public Health, *(Published Paper)*
- 2017-2017 Aneesha Bhargava, Foundation of Healthcare Technologies Society, India
- 2013-2013 Sashiana Singh, MPH, University of Toronto, Canada
- 2012-2013 Dr. Mehak Segar, MPH, Foundation of Healthcare Technologies Society, India
- 2012-2013 Shruti Murthy, Foundation of Healthcare Technologies Society, India
- 2012-2013 Adewale Oyewale, PhD, HSRA, COPH, UNMC
- 2014 Vikas Mugdapalli, Premed student, St Louis University, *(Published Paper)*
- 2014 Atman Panigrahi, High School student, Baltimore, *(Published Paper)*
- 2012-2014 Kate Trout, MPH, COPH, UNMC *(Published 7 Papers)*
- 2012-2014 Chioma Amadi, MPH, COPH, UNMC and PhD, CUNY School of Public Health  
*(Published 13 Papers)*
- 2014-2015 Gabriela Hernandez, MPH, CUNY School of Public Health, *(Published Paper)*
- 2016-2016 Bikash Gayawali, MPH, Foundation of Healthcare Technologies Society, India
- 2016-2017 Princy Bhardwaj, MPH, CUNY School of Public Health, *(Published Paper)*
- 2016-2017 Rinzin Wang, MPH, CUNY School of Public Health, *(Published Paper)*
- 2017-Present Harleigh Schumer, MPH, CUNY School of Public Health, *(Published Paper)*
- 2017-2018 Guarionex Acosta, MPH, CUNY School of Public Health
- 2019-2020 Erinn Bachus, PhD, CUNY Graduate School of Public Health & Health Policy
- 2019-2020 Zoe Heisler, MPH, CUNY Graduate School of Public Health & Health Policy
- 2019-2020 Irene Bruce, MPH, CUNY Graduate School of Public Health & Health Policy
- 2020-2020 Vicky Levy, MPH, CUNY Graduate School of Public Health & Health Policy
- 2020-2020 Alexander Condis, MPH, CUNY Graduate School of Public Health & Health Policy
- 2020-2020 Summen Mushtaq, MPH, CUNY Graduate School of Public Health & Health Policy
- 2020-Present SMAART RAPID Tracker Team (400+ students globally engaged in COVID-19 project)

### Students supported on Research grants

- 2008-2009 Elicia Preslan (Masters in Epidemiology) UMBC, Baltimore
- 2008-2009 Monish Advani (Masters Information Systems) UMBC, Baltimore
- 2008-2009 Kanchan Kumar (Masters Information Systems), UMBC, Baltimore
- 2012-2014 Kate Trout, MPH, COPH, University of Nebraska Medical Center
- 2011-2012 Douglas Puricellin, MPH, COPH, University of Nebraska Medical Center
- 2012-2013 Shardul Sohani, MPH, COPH, University of Nebraska Medical Center
- 2012-2014 Chioma Amadi, MPH, COPH, UNMC & PhD, CUNY School of Public Health
- 2014-2015 Gabriela Hernandez, MPH, CUNY School of Public Health
- 2016-2017 Princy Bhardwaj, MPH, CUNY Graduate School of Public Health & Health Policy
- 2016-2017 Rinzin Wang, MPH, CUNY Graduate School of Public Health & Health Policy
- 2017-2019 Harleigh Schumer, MPH, CUNY Graduate School of Public Health & Health Policy
- 2017-2018 Guarionex Acosta, MPH, CUNY Graduate School of Public Health & Health Policy
- 2019-2020 Erinn Bachus, PhD, CUNY Graduate School of Public Health & Health Policy
- 2019-Present Bhavya Malhotra, PhD Population Health Informatics FHTS-DIT University
- 2019-Present Shruti Sharma, PhD Population Health Informatics FHTS-DIT University
- 2019-Present Rachit Negi, PhD Population Health Informatics FHTS-DIT University
- 2019-Present Vikas Arora, PhD Population Health Informatics FHTS-DIT University
- 2019-Present Md. Anas, PhD Population Health Informatics FHTS-DIT University

2019-Present Rahul Srivastava, PhD Population Health Informatics FHTS-DIT University  
 2019-Present Krishna M Surapaneni, PhD Population Health Informatics FHTS-DIT University  
 2019-2020 Zoe Heisler, MPH, CUNY Graduate School of Public Health & Health Policy  
 2019-2020 Irene Bruce, MPH, CUNY Graduate School of Public Health & Health Policy  
 2020-Present Rafaela Villacres, MS, CUNY Graduate School of Public Health & Health Policy

### **Faculty Mentorship Grants**

2013 Lipilekha Patnaik, Assistant Professor, Community Medicine, Fellowship in Public Health Informatics. Supported by Indian Council of Medical Research, Government of India  
 2015 May May Leung, Assistant Professor, Nutrition, Dean's Mentorship Award, and successfully received R21 NIH Grant, CUNY School of Public Health

# The University of Memphis Board of Trustees

## Recommendation

### For Approval

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Tenure Upon Appointment – Linda Haddad

**Presented by:** Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

#### **Background:**

Prior to coming to the University of Memphis as the dean of the Loewenberg College of Nursing, Dr. Linda Haddad, an Irwin Belk distinguished professor, served as the director of the School of Nursing at the University of North Carolina Wilmington (UNCW). She has also served as the associate dean for academic affairs at the University of Florida College of Nursing, the dean of the Faculty of Nursing at the Jordan University of Science and Technology (JUST), the director of the World Health Organization Collaborating Center for Health and Development, and the deputy director of the JUST-affiliated King Abdullah University Hospital.

A native of Jordan, she has extensive experience with international health initiatives through consulting and working on projects to train medical professionals and improve community health in the Middle East. Her research focuses on tobacco cessation among minority groups, and her background is in community and public health nursing. Dr. Haddad is a fellow of the American Academy of Nursing and a member of the Society on Research for Nicotine and Tobacco, Sigma Theta Tau International, and the Board of Commissioners for the National League for Nursing Commission for Nursing Education Accreditation.

Dr. Haddad earned a Doctor of Philosophy in nursing from the University of Maryland, a Master of Nursing Science from the University of Pennsylvania, and a Bachelor of Science in nursing from Jordan University.

#### **Recommendation:**

The Academic, Research, & Student Success Committee recommends that the Board approve and grant tenure upon appointment for Dr. Linda Haddad as professor in the Loewenberg College of Nursing.

## REQUEST FOR A REDUCTION OF TENURE TRACK PROBATION PERIOD

This is a request to recommend that Linda Haddad in the Department of Loewenberg College of Nursing  
*First Middle Last*

be granted a 6 year(s) reduction in his/her tenure probation period. A copy of his/her vita must be attached.

**Date:** 04/15/2022 **Justification** (If necessary, use additional pages and attach to this form.)

Dr. Linda Haddad has been named dean of the Loewenberg College of Nursing, effective August 1, 2022.

Dr. Haddad is an Irwin Belk distinguished professor and currently the director of the School of Nursing at the University of North Carolina Wilmington (UNCW). Prior to joining UNCW, Dr. Haddad served as the associate dean for academic affairs at the University of Florida College of Nursing, the dean of the Faculty of Nursing at the Jordan University of Science and Technology (JUST), the director of the World Health Organization Collaborating Center for Health and Development, and the deputy director of the JUST-affiliated King Abdullah University Hospital.

A native of Jordan, she has extensive experience with international health initiatives through consulting and working on projects to help train medical professionals and improve community health in the Middle East. She is a productive scholar with an extensive portfolio of publications and grant awards. Her research focuses on tobacco cessation among minority groups, and her background is in community and public health nursing. Dr. Haddad is a fellow of the American Academy of Nursing and a member of the Society on Research for Nicotine and Tobacco, Sigma Theta Tau International, and the Board of Commissioners for the National League for Nursing Commission for Nursing Education Accreditation.

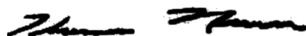
Dr. Haddad earned a doctor of philosophy in nursing from the University of Maryland, a master's of nursing science from the University of Pennsylvania, and a bachelor of science in nursing from Jordan University.


We recommend tenure upon appointment as professor for Dr. Linda Haddad.

### APPROVAL SIGNATURES:

\_\_\_\_\_  
Departmental Chairperson Date

\_\_\_\_\_  
Dean Date

  
Provost 04/25/2022  
Date

  
President 4.27.2022  
Date

### COMMENTS

recommend approval

Approved



**Linda G. Haddad, Ph.D., FAAN**  
 Director & Irwin Belk Distinguished Professor  
 School of Nursing, University of North Carolina Wilmington  
[haddadl@uncw.edu](mailto:haddadl@uncw.edu)

***LICENSURES***

North Carolina RN Permanente License #312247 Compact Status	License
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***EDUCATION***

<b>PhD</b>	University of Maryland, Doctor of Philosophy in Nursing Major: Community Health Nursing: Health Promotion in Nursing.	1993
<b>MSN</b>	University of Pennsylvania, Master of Nursing Science Major: Community Health Nursing: Public Health	1988
<b>BSN</b>	Jordan University, Bachelor of Science in Nursing	1985

***PROFESSIONAL EXPERIENCE***

<b>Director and Irwin Belk Distinguished Professor, CHHS</b>	University of North Carolina at Wilmington, Wilmington, NC	2019 - Current
<b>Professor and Associate Director for Graduate Programs, CHHS</b>	University of North Carolina at Wilmington, Wilmington, NC	2017 - 2019
<b>Associate Dean for Academic Affairs, College of Nursing</b>	University of Florida, Gainesville, FL	2014 - 2017
<b>Center Affiliate, Center for Addiction Research and Education, College of Medicine</b>	University of Florida, Gainesville, FL	2015 - 2018
<b>Associate Professor with Tenure, School of Nursing</b>	Virginia Commonwealth University (VCU), Richmond, VA	2015 - 2018
<b>Associate Professor, Institute for Drug and Alcohol Studies</b>	Virginia Commonwealth University (VCU), Richmond, VA	2007 - 2014
<b>Center Affiliate, Center of Bio-behavioral Clinical Research (P-30) School of Nursing</b>	Virginia Commonwealth University (VCU), Richmond, VA	2010 - 2014

<b>Center Affiliate</b> , Center of Bio-behavioral Clinical Research (P-30 NR008988, McCain, PI) School of Nursing <b>Virginia Commonwealth University (VCU)</b> , Richmond, VA	2008 - 2010
<b>Deputy Director</b> , King Abdullah University Hospital <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan	2005 - 2007
<b>General Secretary</b> , Scientific Association of Arab Countries Nursing Colleges Virginia <b>Association of Arab Universities Arab League</b> , Cairo, Egypt	2004 - 2005
<b>Dean</b> , College of Nursing <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan	2000 - 2005
<b>Director</b> , World Health Organization (WHO) Collaborating Center - Development of Human Resources in Health <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan	2000 - 2004
<b>Department Chair</b> , Community and Mental Health Department, Faculty of Nursing <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan	1996 - 2000
<b>Faculty of Nursing (Tenured)</b> <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan.	1999
<b>Department Chair</b> , Primary Health Care Department, Faculty of Nursing <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan.	1993 - 1996
<b>Instructor</b> , Faculty of Nursing <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan.	1989 - 1990
<b>Staff Nurse</b> , Students Health Clinic <b>Jordan University of Science &amp; Technology</b> , Irbid, Jordan	1986 - 1987
<b>Jordan University Hospital</b> , Amman, Jordan <b>Staff Nurse</b>	1985 - 1986

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### ***HONORS, AWARDS & HONORARY SOCIETIES***

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<b>American Association of Colleges of Nursing Leadership for Academic Nursing Program Fellowship</b>	2015-2016
<b>The Daisy Faculty Award for Exceptional Impact in Teaching</b> , Virginia Commonwealth University School of Nursing	2013
<b>Fellow</b> , American Academy of Nursing	2010
<b>Featured Invited Speaker</b> , University of Calgary, Canada	2010

<b>Excellence Service Award, Faculty of Nursing, Jordan University of Science and Technology, Irbid, Jordan</b>	2009
<b>Visiting Professor, Doctoral Program, Jordan University, Amman, Jordan</b>	2008
<b>Ministry of Higher Education, Best Medical Research Awards, Committee chair, Amman, Jordan.</b>	2005
<b>Honorable Fellow - American Academy of Continuing Medical Education.</b>	2001
<b>Sigma Theta Tau International Honor Society of Nursing</b>	1995
<b>PhD Degree Scholarship Award, Government of Jordan. Jordan</b>	1990
<b>Scholarship Award - Master's Degree at University of Pennsylvania</b>	1987

## ***PUBLICATIONS***

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### ***Peer Reviewed Articles Publications (Original data presented\*):***

- Choi J, Jung H-T, Ferrell A, Woo S, **Haddad L**. Machine Learning-Based Nicotine Addiction Prediction Models for Youth E-Cigarette and Waterpipe (Hookah) Users. *Journal of Clinical Medicine*. 2021; 10(5):972. \*  
<https://doi.org/10.3390/jcm10050972>
- Ferrell, A. V., **Haddad, L.**, Harrison-Elder, J., Garvan, C. S., Cook, C. L., & Salloum, R. G. (September 2020). Perceptions and Use of Electronic Nicotine Delivery Systems Among Floridian Middle and High School Students: Secondary Analysis of Cross-sectional Survey Results. *Tobacco Use Insights*\*  
<https://doi.org/10.1177/1179173X2095340>
- Ghadban R, **Haddad L**, Thacker R, Robert L, Ahn K. Balster, & Salyer J., (2019) *Smoking Behaviors in Arab Americans: Acculturation and Health Beliefs*, Transcultural Nursing Journal, 30(2), 115-123 \* <https://doi.org/10.1177/1043659618783235>
- AL-Bashaireh A, **Haddad L**, Weaver M, Kelly D, Xing C, & Yoon S., (2018) *The Effect of Tobacco Smoking on Bone Mass: An Overview of Pathophysiologic Mechanisms*, Journal of Osteoporosis <https://doi.org/10.1155/2018/1206235>
- AL-Bashaireh A, **Haddad L**, Weaver M, Kelly D, Xing C, & Yoon S., (2018) *The Effect of Tobacco Smoking on Musculoskeletal Health: A Systematic Review*, Journal of Environmental and Public Health. <https://doi.org/10.1155/2018/4184190>\*
- Wang Y, Eans SO, Stacy HM, Narayanapillai SC, **Haddad L**, et al., (2018) *A stable isotope dilution tandem mass spectrometry method of major kavalactones and its*

applications. Plos One 13(5): e0197940.  
<https://doi.org/10.1371/journal.pone.0197940>

**Haddad, L. G.**, Al-Bashaireh, A. M., Ferrell, A. V., & Ghadban, R., (2017). *Effectiveness of a Culturally Tailored Smoking Cessation Intervention for Arab-American Men*. International Journal of Environmental Research and Public Health, 14(4), 411.\*

**Haddad L**, Bakai J, Ghadban R, Ferrell A., (2017) *Smoking-Related Attitudes, Behaviors, and Cessation Efforts among Coronary Heart Disease Patients in Hungary*, Journal of Community Medicine & Health Education, 6:485. <https://doi.org/10.4172/2161-0711.1000485>\*

Martinask M, **Haddad L**, Haran, C, Barnett, T, (2017) *Beliefs and attitudes associated with waterpipe smoking among US college population*, Respiratory Care, 62(3-379-379)\*

Ghadban R, **Haddad L**, Ahn K, Thacker R, Salyer J., (2016) *Smoking Behavior in Arab Americans: A Systematic Review*, Journal of Community Medicine & Health Education, 6:462. doi:10.4172/2161-0711.1000462\*

**Haddad L**, Kelly DL, Weglicki L, Ferrell A, Barnett. T, Ghadban R, (2016) *A Systematic Review of Effects of Waterpipe Smoking on Cardiovascular and Respiratory Health Outcomes*, Tobacco Use Insight, 8-1-17\*

**Haddad L**, El-Shahawy O, Ghadban R, Barnet T, Johnson E, (2015) *Waterpipe Smoking and Regulation in the United States: A Comprehensive review of Literature*, Research. Int. J. Environ. Res. Public health, 12 (6) 6115-6135. \*

Guidry J, Jin Y, **Haddad L**, Smith, J, Zhang Y, (2015) *How Health Risks Are Pinpointed (or Not) on Social Media: The Portrayal of Waterpipe Smoking on Pinterest*, Health Communication: Oct 29:1-9. \*

El-Shahawy O, **Haddad L**, (2015) *Correlation between Nicotine Dependence and Barriers to Cessation among Exclusive Cigarette Smokers and Dual (Water-pipe) Smokers among Arab Americans*, Substance Abuse and Rehabilitation, 6:25-35 \*

**Haddad L**, El-Shahawy O, Ghadban, R., (2014) *Comparison of barriers to cessation among Arab American smokers of cigarettes and water pipe*, Int. J. Environ. Res. Public Health, 11(9), 9522-9531\*

Alzyoud S, **Haddad L**, Ell Shahawy O, Ghadban R, Kheirallah K, Alhawamdeh K, Jin Y., (2014), *Patterns of Waterpipe Use among Arab Immigrants in the USA: A Pilot Study*, British Journal of Medicine and Medical research, 4 (3): 816-827\*

Alzyoud<sup>S</sup>, Weglicki L, Kheirallah K, **Haddad L**, Alhawamdeh K., (2013) *Waterpipe Smoking among a Sample of Jordanian Youth: Patterns and Predictors*. Int. J. Environ. Res. Public Health, 3 (10) \*

- Haddad L.,** Abu Baker N., El-Shahawy O., Al Ali N., Shudayfat T., (2013) Secondhand smoke exposure of young adults in a developing country- a Jordanian case. *Substance Abuse and Rehabilitation*, 4: 45-53\*
- Haddad L. &** Corcoran, J., (2013) *Culturally Tailored Smoking Cessation for Arab American Male Smokers in Community Settings: A Pilot Study*, Tobacco use insight, 6- 17-23\*
- Haddad L.,** El Shahawy, O., Shishani K., Madnat H., Alzyoud S., (2012) *Cigarette use attitudes and effects of acculturation among Arab immigrants in the USA: a preliminary study*. Health. 4(10):785-793. \*
- Gharaibeh H., **Haddad L.,** Alzyoud S., El-Shahawy O., Abu Baker, N., Umlauf, M.G., (2011) Knowledge, attitudes, and behavior in avoiding secondhand smoke exposure among non-smoking employed women with higher education in Jordan. Int. J. Environ. Res. Public Health, 8: 4207-4219. \*
- Haddad L.,** Elswick, R.K, AlZayoud, S., (2011) Measuring tobacco specific lung carcinogen among nonsmoking hospitality workers in Richmond, Virginia: A preliminary evaluation of exposure before the smoking ban. *Tobacco Use Insight*, 4: 9-12. \*
- Haddad L.,** Shotar, A., Younger J., Alzayoud S., Bouhaidar C., (2011) Screening for domestic violence in Jordan: validation of an Arabic version of a domestic violence against women questionnaire. *International Journal of Women's Health*, 3: 79-86. \*
- Haddad L.,** Alzyoud S., Abu Baker N., Gharaibeh, H., El Shahawy O., Aleamadani, E., (2011) Secondhand smoking in Jordan: clearing the air for one of the highest tobacco prevalence countries in the Middle East. *Tobacco Use Insight*, 4:1-7
- Haddad L.,** Shoater, A., Umlauf, MG. & Al-Zyoud, S., (2010) Knowledge of substance abuse among high school students in Jordan. *Journal of Transcultural Nursing*, 21 (2)143-150. \*
- Abu-Baker, N., **Haddad L. &** Mayyas, O., (2010) Smoking behavior among coronary heart disease patients in Jordan: A model from a developing country, *Int. J. Environ. Res. Public Health*. 7. 751-764. \*
- Abu Baker, N., **Haddad L., &** Savage, C, (2010) the influence of secondhand smoke exposure on birth outcomes in Jordan, *Int. J. Environ. Res. Public Health*. 7. 616-634. \*
- Haddad L.,** Owes, A., & Mansour, A., (2009) Wellness appraisal of Jordanian adolescents: A model from a developing country; A Cross Sectional Questionnaire. *Health promotion International*, March 19, 1-8. \*
- Abbas W, Azar N, **Haddad L. &** Umlauf MG., (2008) Preconception health status of Iraqi women after trade embargo. *Public Health Nursing*. 25 (4):295-303 \*

- Haddad L.,** Pertro, W, (2006) Predictors of intention to quit smoking among Jordanian university students, *Canadian Journal of Public Health*, 97 (1) 9-14. \*
- Kofahi, M.M. & **Haddad L,** (2005) Perceptions of lung cancer among college students in Jordan, *Journal of Transcultural Nursing*, 16: 245—254. \*
- Al-Ali, N. & **Haddad L,** (2004) The effect of the health belief model in explaining exercise participation among Jordanian myocardial infarction patients, *Journal of Transcultural Nursing*, 15 (2), 114-121. \*
- Haddad L.,** Kane, D., Rajacich, D., Cameron, S., Al-Ma'aitah, R., (2004) A comparison of health practices of Canadian and Jordanian nursing students, *Public Health Nursing*, 21 (1), 85-90. \*
- Haddad L.,** & Malak, M., (2002) Smoking habits and attitudes towards smoking among university students in Jordan, *International Journal of Nursing Studies*, 39 (8), 793-796. \*
- Haddad L.,** Hoeman, S., (2001) Arabic language readiness to quit smoking questionnaire, *Journal of Nursing Scholarship*. Three (4), 355-359. \*
- Haddad L.,** Hoeman, S., (2000) Home health care and the Arab American client, *Home Health Care Nurse*, 13 (3), 189-197.
- Al-Ma'aitah, R., **Haddad L.,** & Umlauf M.G, (1999) Health promoting behaviors of Jordanian women, *Health Care for Women International*, 20 (6), 533-546. \*
- Haddad L.,** and Al-Ma'aitah, R., Cameron, S., Stassen, M., (1998) An Arabic language version of the health promotion lifestyle profile, *Public Health Nursing*, 1. 15(2), 74-81.\*
- Haddad L.,** and Umlauf, M., (1998) Views of health promotion among primary health care nurses and midwives in Jordan, *Health Care for Women International*. 19(6), 515-528. \*
- Haddad L.,** Al-Ma'aitah, R., & Umlauf, M., (1999) Health promotion behaviors among Jordanians. *International Quarterly of Community Health Education*. 18(2), 223-235. \*
- Haddad L.,** Al-Ma'aitah, R., Cameron, S., Stassen, M., (1998) Health- promoting lifestyle profile-'Arabic' (ONLINE). (CD-ROM). Abstract: Ovoid Technologies, HAPI Item 172140.

### ***Books and Book Chapters***

- Newman Giger, J & **Haddad L** (2020) *Transcultural Nursing: Assessment and Intervention*. 8<sup>th</sup> Edition, St Louis: Elsevier.

Umlauf, M. G., **Haddad L.** Azar, N, (2016) Jordanian Americans. In Newman Giger, J. (Ed), *Transcultural Nursing: Assessment and Intervention*. 7<sup>th</sup> Edition, pp. 633-645 St Louis: Elsevier.

**Haddad L.**, Amer M., Johnson E., and (2015) Tobacco Use: Cultural Influences on Consumption and Considerations for Intervention in Mona Amer & Germin Awad (Eds) *Handbook of Arab American Psychology* Florence, Routledge, Taylor and Francis group.

**Haddad L.** Smith, C. (2014) Relevance of Culture and Values for Community/Public Health Nursing in Maurer C. & Smith. (Eds), *Community/Public Health Nursing Practice*, 5<sup>th</sup> edition St. Louis: Saunders Elsevier.

Umlauf, M. G., **Haddad L.**, (2012) Jordanian Americans. In Newman Giger, J. & Davidhizar, R. (Eds), *Transcultural Nursing: Assessment and Intervention*. 6<sup>th</sup> Edition, pp. 742-751 St Louis: Mosby.

Umlauf, M. G., **Haddad L.**, (2008) Jordanian Americans. In Newman Giger, J. & Davidhizar, R. (Eds), *Transcultural Nursing: Assessment and Intervention*. Fifth Edition, pp. 742-751 St Louis: Mosby.

**Haddad L.** (Eds) *Community Health Nursing*, (2007) World Health Organization/EMRO. Cairo, Egypt.

**Haddad L.** (2007) Health Promotion in Nursing Care. In *Community Health Nursing*. World Health Organization EMRO: Cairo, Egypt.

**Haddad, L.** (2007). Primary Health Care. In *Community Health Nursing*. World Health Organization EMRO: Cairo, Egypt.

**Haddad, L.** (2007). Health Education. In *Community Health Nursing*, World Health Organization EMRO: Cairo, Egypt.

Umlauf, M. G., **Haddad L.**, (2004). Jordanian Americans. In Newman Giger, J. & Davidhizar, R. (Eds), *Transcultural Nursing: Assessment and Intervention*. Fourth Edition. (27 pp.-17), St Louis: Mosby.

## ***PRESENTATIONS AND INVITED LECTURES***

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- |  |      |
|--|------|
| Ferrell, A., <b>Haddad, L.</b> , Elder, J., Cook, C., Garvan, C., & Salloum, R.  | 2020 |
| <ul style="list-style-type: none"> <li>2020 SNRS 34th Annual Conference*<b>CANCELED</b> COVID-19, "How minimum legal sale age for e-cigarettes can affect youth's sources and locations for e-cigarette use?," Southern Nursing Research Society, New Orleans, LA.</li> </ul>                      |      |
| <ul style="list-style-type: none"> <li></li> </ul>   |      |
| Ferrell, A., <b>Haddad, L.</b> , Elder, J., Cook, C., Garvan, C., & Salloum, R.  | 2020 |
| <ul style="list-style-type: none"> <li>2020 SRNT 26th Annual Meeting*<b>CANCELED</b> COVID-19, "Perceptions about e-cigarettes and prevalence of e-cigarette use among Floridian middle and high school students," The Society for Research on Nicotine &amp; Tobacco, New Orleans, LA.</li> </ul> |      |

- Schaffer S, **Haddad L**, Hartjes T 2016
- Moving DNP Project and Residency Online: Strategies to Ensure Consistency, National League of Nursing 2016 Summit, Orlando, Fl.
- Hartjes T, SchafferS, **Haddad L** 2016
- Clarifying the Scope of the DNP Project with the Use of Templates National League of Nursing 2016 Summit, Orlando, Fl.
- Bakai, J & **Haddad L** 2016
- Smoking-Related Attitudes, Behaviors, and Cessation among patients with cardiovascular disease in Hungary, Euro Prevent 2016- The European Association for Cardiovascular prevention & Rehabilitation Congress, (May 2016) Istanbul Turkey
- Horgas A, Elder J Kruger, C, Cimiotti J Cook C, Sellinger J, & **Haddad L** 2016
- Beyond the traditional: Creating a New PhD Curriculum to Prepare Nurse Scientist for the Future; American Association of Colleges of Nursing 2016 Doctoral Education Conference. (January 2016) Naples, FL.
- Haddad L** & Guidry J A 2016
- How Health Risks Are Pinpointed (or Not) on Social Media: The Portrayal of Waterpipe Smoking on Instagram Poster presented at the Society for Research on Nicotine and Tobacco 20th Annual International Meeting, (March 2016) Chicago, IL.
- Farrell A, & **Haddad L** 2016
- E-Cigarette Smoking among U.S. Adolescents: Systematic Review Poster presented at the Society for Research on Nicotine and Tobacco 20th Annual International Meeting, (March 2016) Chicago. IL
- El Shahawy, O. & **Haddad L**. 2015
- Nicotine dependence and barriers to cessation differences between exclusive cigarette smokers and dual (waterpipe) smokers among Arab Americans. Poster session presentation at the 16<sup>th</sup> World Conference on Tobacco or Health, (March 2015) Abu Dhabi, UAE.
- Haddad, L** 2015
- How Health Risks Are Pinpointed (or Not) on Social Media: The Portrayal of Waterpipe Smoking on Pinterest poster presented at the Southern Nursing Research Society 29th annual conference, (February 2015) Tampa, FL.
- El Shahawy, O. & **Haddad L**, Ghadban R. 2014
- Contrasting the differences between exclusive cigarette smokers and dual (waterpipe) smokers among Arab immigrants. Poster presentation at the annual NIDA International Forum, (June 2014) San Juan, Puerto Rico.
- Ghadban, R., & **Haddad, L**. 2013



- Trends in waterpipe use among Arab Americans in Richmond metropolitan area. Poster presented at the Society for Research on Nicotine and Tobacco 19th Annual International Meeting, (March 2013) Boston. USA

**Haddad L., & El Shahawy, O.** 2013

- Trends in tobacco use and acculturation among Arab American Immigrants in Virginia. Poster presented at the Society for Research on Nicotine and Tobacco 19th Annual International Meeting, (March 2013) Boston, MA.

**Haddad, L., & Ghadban, R.** 2013

- Secondhand smoke exposure in young adults in a developing country: A Jordanian case. Poster presented at the Society for Research on Nicotine and Tobacco 19th Annual International Meeting, (March 2013) Boston, MA.

**Haddad, L., & Savage S.** 2012

- Developing successful grant proposals and grant writing, two-day workshop, Oman Research Council, Muscat, Oman, October (Invited)

**Haddad, L., AL Zayoud, S.** 2012

- Secondhand smoke exposure Among Jordanian women, Braking evidence poster presented at the Southern Nursing Research Society 26<sup>rd</sup> annual conference, (February 212) New Orleans Louisiana.

**Haddad, L** 2012

- The burden of chronic illness in Egypt. **Keynote speech** presented at Almansoura University 2<sup>nd</sup> international research conference, (July 2012) Cairo, Egypt

**Haddad, L. & Alzayoud, S** 2012

- Magnitude of woman's exposure to secondhand smoke in Jordan, Poster presentation at the National Institute of Health/National Institute on Drug Abuse International Forum, (June 2012) Miami, FL.

El Shahawy, O. & **Haddad, L.** 2012

- Knowledge, attitudes, and behavior in avoiding secondhand smoke exposure among non-smoking exposure among nonsmoking employed women with higher education in Jordan, 15th World Conference on Tobacco or Health 2012. Singapore.

El Shahawy O, **Haddad L** 2011

- Differences in smoking prevalence in the same population when using different surveillance tools in eight countries. Poster presentation at the annual NIDA International Forum (June 2011) Hollywood, FL.

**Haddad, L., Abu Baker, N.** 2010

- Secondhand smoke exposure and birth outcome in Jordan, Braking evidence poster presented at the Southern Nursing Research Society 24<sup>rd</sup> annual conference, Austin TX.

**Haddad, L., Shouter, A., & Alzayoud, S.** 2009

- Knowledge practice and attitude of substance abuse among Jordanian high school students.
- Poster presentation at the National Institute of Health/National Institute on Drug Abuse International Forum, Reno, NV.

**Haddad, L., Al Maitah, R., & Alhassan, M.** 2009

- The future directions in nursing education: national and global priorities. Round Table Panel meeting at Celebrating 25 years of Excellence Conference, Jordan University of Science and Technology, Faculty of Nursing, Irbid, Jordan.

**Parpart, F., & Haddad, L.** 2009

- Assessing the implementation of Community health nursing (CHN) course: From a clinical to a lab. Paper Presentation at the Association of Community Health Nurse Educators 2009 Annual Institute, Chicago, IL.

**Haddad, L., Shouter, A., & Alzayoud, S.** 2009

- Working knowledge of substance abuse among Middle East high school students. Paper presented at the Southern Nursing Research Society 23<sup>rd</sup> Annual Conference, Baltimore, MD.

**Haddad, L., Shouter A** 2008

- psychometric evaluation of Arabic version of NorVod women abuse questionnaire, International Family Violence and Child Victimization Research Conference, Family Research Laboratory & Crimes Against Children Research Center, University of New Hampshire, NH.
- Prevalence of women abuse in Jordan, 2<sup>nd</sup> International Jordanian Nursing Council Conference, Amman, Jordan.

**Keynote Speaker** 2006

- “Paving the Road for Excellence in Nursing: Jordan’s Experience” 1<sup>st</sup> International Conference of the Faculty of Nursing, Saint-Joseph University, Beirut, Lebanon.

**Keynote Speaker** 2006

- “Challenges facing nursing education in Jordan” Nursing and allied health education in Libya. November 27-29, Tripoli, Libya,

**Keynote Speaker** 2006

- “Bridging the Gap between Nursing Practice and Theory in regard to Family Issues” National Council for Family Affairs, Amman, Jordan.

**Keynote Speaker** 2004

- “New accreditation for nursing program in Jordan,” Ministry of Higher Education Medical Sciences Accreditation Workshop. Amman, Jordan

- Keynote Speaker** 2003
- ICN International Conference, “Protecting the Public through Regulation” Building Excellence Through Evidence, Geneva, Switzerland.
- Invited Speaker** 2002
- “Achievement of Faculty of Nursing, WHO Collaborating Center for the last 5 years” Head Quarter Office, WHO, Geneva, Switzerland.
- Invited Speaker** 2001
- “Research Roundtable: Building A Research Agenda or Primary Health Care” Ministry of Health - Primary Health Care Initiative, Amman, Jordan.
- Panel Discussion Speaker** 2001
- “Regulation of Nursing Practice in The Middle East,” Human Performance in Health and Disability. University of Cincinnati, Cincinnati, OH, USA

### ***FUNDED RESEARCH GRANTS***

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- Ferrell, A., (Principal Investigator), **Haddad, L.**, & El Haj, D. 2020-2021
- Smoking cessation among Arab Americans: replication study, Richard Corbett Trust Fund Grant, School of Nursing, University of North Carolina Wilmington, \$8,000.00.
- El Hajj, D., (Principal Investigator) Ferrell, A., **Haddad, L.**, & Ebrahimi, E. 2019-2020
- Virtual reality use in e-cigarette smoking cessation, Richard Corbett Trust Fund Grant, School of Nursing University of North Carolina Wilmington, \$6,500.00.
- Haddad L.** (Principal Investigator) Jesse Dallery, Pomeranz, Jamie 2015 - 2017
- Effectiveness of culturally tailored smoking cessation for Arab American men, University of Florida research opportunity funds, \$85,000.00
- McDaniel A. (Principal Investigator). 2014 - 2015
- Technology-Enhance quit line to prevent smoking relapse R01CA138936-06. **Haddad L** Supplement SUB-AWARD IN46794159UFL, \$43,641.00
- Fedele D, Barnet T, **Haddad L.** 2015 - 2016
- Comparison of Smoking and Vaping in Families, Clinical and Translational Science Institute, University of Florida, \$15,000.00
- Haddad, L.** (Principal Investigator). 2010 - 2011
- Smoking behavior among young Arab American in Virginia: Virginia Tobacco Settlement Foundation Funds, Virginia, \$20,000.00
- Gharaibeh, L, Abu Baker, N., Alzayoued S., **Haddad L.** 2010 - 2011

- Jordanian women's knowledge, attitudes, and avoidance behavior toward secondhand smoking, Deanship of Research Fund award # 2010/218, Jordan University of Science & Technology, Jordan, \$5,000.00

**Haddad, L.** (Principal Investigator). 2008 - 2009

- Bar and restaurant workers' exposure to secondhand smoke: funded by award # P 20 NR008988 (N. McCain, PI), National Institute of Nursing research, NIH; Pilot Study PI, 2008-2009. \$10,000.00

**Haddad, L. Al-Zayoud, S.** (Principal Investigator). 2002 - 2003

- Development of smoking cessation programs. Deanship of Research Funds, Jordan University of Science & Technology, Jordan, \$ 10,000.00

**Haddad, L., Petro, W.** (Principal Investigator). 2001 - 2002

- Prediction of quitting smoking among Jordanian college students. Abdel Hamead Shomman Trust for Research Award, Amman, Jordan, \$15,000.00

**Haddad, L.** (Principal Investigator). 1999 - 2001

- Prevalence of tobacco smoking among young adult Jordanian, Deanship of Research Funds, Jordan University of Science & Technology. Irbid, Jordan, \$15,000.00

#### **Training and Development International Program Grants**

**Haddad L, Al-Hassan, M., Owes, A, Abu-Sheikh, L.** (Principal Director) 2003 - 2006

- "Tempus Joint European Project Partnership to Enhance Nursing Education at Jordan University of Science & Technology." Tempus European Commission, Directorate Education and Culture, Europe, \$800,000.00

**Haddad, L, AbuShaikah, L.** (Principal Director) 2003 - 2004

- "Strengthening Midwifery Education at Jordan University of Science & Technology" Grant from United Kingdom Higher Education Scheme, \$30,000 00

Cameron. S., Almaaitah, R., **Haddad, L.**, Gharaibeh, M. 1995 - 2000

- "Development of Human Resources in Nursing Project; University of Windsor- Nursing and University of Science & Technology - Faculty of Nursing," Canadian International Development Agency Canada, \$1,000,000.00

#### **Scored Non-Funded Research Grants**

**Haddad L.,** (Principal Investigator). 2018

- Predictors of electronic cigarette smoking among a cohort of American Indians: A Mixed Method study, Submitted to Robert Wood Foundation, Interdisciplinary Research.

**Haddad. L.,** (Principal Investigator). 2017

- A randomized controlled trial testing the effects of Kava on detoxifying tobacco carcinogen and promoting smoking cessation: R21 submitted to NCI-NIH (Scored 30).

**Haddad, L** (Principal Investigator). 2012

- Secondhand smoke exposure among women: research and training capacity building: submitted to FIC-NIH (Scored 35).

### **Unfunded Research Grants**

- Tobacco Control: Addressing Secondhand Smoke Exposure in Jordanian & Egyptian Women & Infants: R01 Submitted to FIC-NIH 2016
- Waterpipe Tobacco Smoking: Relationship of Patterns, Transition & Dual Use by Youth & Young Adults R01 Submitted to NIDA-NIH 2015
- Waterpipe Smoking: Longitudinal cohort five years follow up: R01 Submitted to NIDA-NIH 2014
- Smoking cessation among Arab American men: exploratory study, R21 submitted to NCI-NIH 2013
- Secondhand Smoke among Jordanian Women and Children under Two: R01 submitted to NIDA-NIH. 2010

## **PROFESSIONAL SERVICE**

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### **Service to Professional Organizations - National**

**Reviewer** National Institute of Environmental Health Sciences 2021-current  
Special Emphasis Panel, NIHR41s/R43s Machine learning special study section, NIH

**Member, International Accreditation Task Force,** 2021-2022  
NLN Commission for Nursing Education Accreditation.

**Board of Commissioners Executive Committee** 2021 - 2022  
NLN Commission for Nursing Education Accreditation

**Member, Board of Commissioners** 2017 - 2022  
NLN Commission for Nursing Education Accreditation

**Program Evaluator-site Visit Team** 2010 - 2015  
National League for Nursing Accrediting Commission (NLNAC)

**Member, Board of Advisors** 2013 - 2016

Health and Media Center, College of Journalism, Virginia Commonwealth University

**Consultant** 2010 - 2015  
Project HOPE

**Member, International Nursing Education Services and Accreditation** 2009 - 2011  
Health and Media Center, College of Journalism, Virginia Commonwealth University

**American Academy of Nursing** 2010 - 2013  
Global Nursing and Health Expert Panel

**Member, Training Committee** 2009 - 2010  
Society for Research on Nicotine and Tobacco.

**Member, Smoking Cessation in Nursing Curriculum** 2008 - 2009  
**National Task Force**  
Virginia and North Carolina Joint Tobacco Settlement Foundation Efforts.

**Independent consultant** 2003  
USAID, Washington, DC, and Assignment: Evaluation of USAID/Jordan's strategic objectives for 1999-2003; and improved quality and access to reproductive and primary health care.

**Academic Service at University of North Carolina Wilmington**

**Member** 2021-current  
Novant Health system and UNCW transformation alignment for academic health Center taskforce.

**Member** 2019-2020  
Health Care workforce Joint taskforce  
New Hanover Regional Medical Hospital and Novant Health

**Member** 2020 - current  
HIPAA Research Office Compliance Committee

**Member** 2017 - 2019  
University Quality Assurance and Goal Achievement Committee

**Co-Chair** 2017 - 2018  
College of Health Science and Human Services Inter-professional strategic plan

**Member** 2018 - Current  
College of Health Sciences and Human Services Academic and Students Affairs Council

**Academic Service at University of Florida**

<b>Member</b> Advisory Committee for Northern Florida, South Georgia Veteran Affairs Hospital Post BSN Residency Program	2014 - 2017
<b>Member</b> University of Florida International Council	2014 - 2017
<b>Member</b> University of Florida University Curriculum Committee	2014 - 2017
<b>Member</b> University of Florida Academic Deans Council	2014 - 2017
<b>Member</b> University of Florida Health Colleges' Inter-Professional Education Committee.	2014 - 2017
<b>Officer and Coordinator</b> SACS College of Nursing	2014 - 2017
<b>Member</b> University of Florida Course review at University Curriculum Committee.	2015 - 2017
<b><u>Academic Service at Virginia Commonwealth University</u></b>	
<b>Member</b> Virginia Commonwealth University Quality Improvement Committee	2013 - 2014
<b>Member</b> Virginia Commonwealth University International Council	2012 - 2014
<b>Member</b> Virginia Commonwealth University Council	2010 - 2014
<b>Member</b> Doctoral Program Curriculum Committee.	2012 - 2015
<b>Chair</b> Appointment, Promotion and Tenure Committee, Virginia Commonwealth School of Nursing.	2011 - 2012
<b>Member</b> Virginia Commonwealth University, Undergraduate Program Committee.	2008 - 2012
<b>Chair</b> Undergraduate Curriculum Committee, Virginia Commonwealth School of Nursing.	2009 - 2010

<b>Member</b>	2008 - 2011
Appointment, Promotion and Tenure Committee, Virginia Commonwealth School of Nursing.	
<b>Member</b>	2009 - 2010
School of Nursing Leadership Transition Team, Virginia Commonwealth University School of Nursing.	
<b><u>Academic Service in Jordan</u></b>	
<b>Principle Coordinator, Steering Committee</b>	2003 - 2006
Tempus Joint European Project Partnership to Enhance Nursing Education in Jordan.	
<b>Member</b>	2002 - 2006
Board of Trustees, Al-Zaytouna University, Jordan.	
<b>Member</b>	2004 - 2005
Nursing Faculty Council, Philadelphia University, Jordan.	
<b>Member</b>	2002 - 2006
Board of Trustees of Jordan Nursing Council presided by HRH Princess Muna Al- Hussain	
<b>Member</b>	2000 - 2001
Nursing Faculty Council, Mou'ta University, Jordan.	
<b>Member</b>	2000 - 2003
Nursing Faculty Council, Al-Hashemiah University, Jordan.	
<b>Chair</b>	1993 - 2004
Curriculum Committee, Faculty of Nursing, Jordan University of Science & Technology, Jordan.	
<b>Chair</b>	1993 - 2004
Research Committee, Faculty of Nursing, Jordan University of Science & Technology, Jordan.	
<b>Chair</b>	1998 - 2001
Graduate Program Committee, Faculty of Nursing, Jordan University of Science & Technology, Jordan.	
<b>Chair, Student Advising Committee</b>	1995 - 2000
Faculty of Nursing, Jordan University of Science & Technology, Jordan.	
<b>Advisor</b>	1999 - 2000
Students Health Education Club, Faculty of Student Affairs, Jordan University of Science & Technology, Jordan.	



**Member** 1997 - 2000  
Board of Editors, *Mera't Technologya* (Journal), Jordan University of Science & Technology, Jordan.

## ***CURRICULUM DEVELOPMENT***

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**Planning & Development** 2017 - 2018

- a new BSN-DNP two online APRN programs, University of North Carolina Wilmington.

**University of Florida College of Nursing** 2014 - 2015

- Leading a restructure of the DNP curriculum task force

**University of Florida College of Nursing** 2015 - 2016

- Leading a PhD program curriculum change task force

**Virginia Commonwealth University School of Nursing** 2007 - 2008

- Planning & Development, a new Master's program in nursing education

**Philadelphia University, Jordan** 2004 - 2005

- Planning, Development, and Initiation - BSN Curriculum of the newly established School of Nursing

**Jordan University of Science & Technology** 2003 - 2005

- Planning, Development, and Initiation – a new Master's Program in Maternity and New Born Nursing.

**Jordan University of Science & Technology** 2002 - 2001

- Planning, Development, and Initiation - Baccalaureate of Midwifery Program.

**Jordan University of Science & Technology** 2002 - 2003

- Planning, Development, and Initiation - Bridging Program for Registered Midwife to Baccalaureate of Midwifery.

**Hashemite University, Jordan** 2000 - 2001

- Planning, Development, and Initiation - BSN Curriculum of the new School of Nursing.

**Jordan University of Science & Technology** 1998 - 1999

- Planning, Development, and Initiation - Curriculum of a new Master's Program in Community Health Nursing.

## ***PROFESSIONAL ACTIVITIES***

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### **Professional Memberships**

Association of Community Health Nursing Educators	2015 - 2016
American Academy of Nursing	2010 - Current
American Public Health Association	2011 - Current
Society for Research on Nicotine and Tobacco	2008 - Current
American Nurses Association	2008 - Current
Southern Nursing Research Society	2008 - Current
National Council of International Health	1987 - Current
International Council on Women's Health Issues	2000 - 2006

### **Board Memberships**

Jordanian Nursing Council	2003 - 2005
Jordanian Nursing & Midwives Association	2003 - 2004
International Council on Women's Health Issues	2000 - 2005

### **Editorial Boards**

Guest editor	2021-2022
Special Issue "Smoking Cessation Interventions in Clinical Practice, of Clinical Medicine, MDPI .	
Editorial Board Member, Journal of Addiction & Prevention	2014 – Current
Editorial Board Member, Madridge Journal of Women's Health and Emancipation	2016 - Current
Lead Guest Editor-Special Issue: Nursing Research and Practice Journal - Cardiovascular Diseases: Early Detection and Screening	2013 - 2014
Assistant Editor - The Scientific Association of Arab Nursing Faculties Journal	2004 - 2005
Chief Editor - Jordanian Nursing Journal: Scientific Edition. Jordanian Nursing Association Journal	2000 – 2004

## **PROFESSIONAL CONSULTANCIES**

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### **International Education Consultation:**

<b>United Arab Emirates</b>	2017 - 2018
▪ Grant reviewer for Sheikh Hamdan bin Rashid Al Maktoum Award for Medical Sciences	
<b>Turkey</b>	2016
▪ Consultation with Mersin University School of Health, Mersin, Assessing the Mental Health status of the Syrian Refugees project, Turkey	
<b>Israel</b>	2016

- PROJECT HOPE- Strategic health planning and stakeholder negotiation consortium for improving health indicators of the Arab Bedouin living in the Israeli desert.
- Oman** 2012
- Consultation with the Omani Research Council: Assignment, developing grant application-training system. Oman.
  - Liaison Officer, Oman Ministry of higher education and ministry of health, preparing and signing a memorandum of understanding with Virginia Commonwealth University and John Hopkins college of Nursing.
- Egypt** 2012
- Visiting Professor, University of Al Mansoura, School of Nursing, Egypt, Developing of the chronic illness-teaching module.
- Libya** 2005
- Short Term Consultant, for World Health Organization/EMRO at Ministry of Health in Libya - Assignment: Restructuring of nursing and allied health education sector. November 2005.
  - Short Term Consultant, for World Health Organization/EMRO for Ministry of Health in Libya - Assignment: Develop Ministry of Health nursing services and protocol in caring for diabetic patients and patients with hypertension. August 2005.
- Pakistan** 2005
- Short Term Consultant to Agha Khan School of Nursing, Agha Khan University, Pakistan - Assignment: External evaluator for accrediting the school of nursing.
- Iraq** 2005
- Director of Agreement for World Health Organization/EMRO in Iraq – Assignment: Strategic action plan to improve pre-service nursing and midwifery education.
- Syria** 1995 - 2003
- Short Term Consultant, for World Health Organization/EMRO at Ministry of Health in Syria - Assignment: Conduct training course in critical thinking. September 2003.
  - Executive Coordinator of Agreement for World Health Organization/EMRO in Damascus, Syria - Assignment: Provide training for nurse managers in the state of art nursing administration issues. November 2002.
  - Director for World Health Organization/EMRO agreement at Tichrine University in Syria– Assignment: Educate nursing faculty to teach across all courses. 2001-2002.
  - Short Term Consultant, for World Health Organization/EMRO in Syria at Tichrine University, School of Nursing - Assignment: Developing the B. Sc Nursing curricula and orient it towards primary health care, November 2001.
  - Temporary Advisor for World Health Organization/EMRO – Assignment: Teaching in the Syrian Midwives Reproductive Health Project at Hama & Sweda, Syria. April 1999.
  - Temporary Advisor for World Health Organization/EMRO in Damascus, Syria - Assignment: Teaching in the Nursing tutor’s development project. June 1998.
  - Executive Coordinator for World Health Organization/EMRO in Damascus, Syria - Assignment: Nursing Tutors Development Project. 1997-1998.

- Temporary Advisor for World Health Organization/EMRO in Damascus, Syria - Assignment: Teaching in the nursing tutor's development project. March 1998.
- Temporary Advisor for World Health Organization/EMRO in Damascus, Syria - Assignment: Teaching in Development of Nursing Instructors Project. August 1997.
- Temporary Advisor for World Health Organization/EMRO in Damascus, Syria - Assignment: Supervision of leader nurses in their efforts to design and implement in-service/continuing education program for nursing personnel working in various health settings, Homs, Syria. Oct. 1995.

#### **Qatar** 1999

- Short Term Consultant, for World Health Organization/EMRO in State of Qatar - Assignment: Identify nurses' roles and job description of primary health care services, and conduct further training for the health care professionals working in health centers and community health. November 1999.
- Short Term Consultant, for World Health Organization/EMRO in State of Qatar - Assignment: Assess roles and responsibilities of nurses on the primary health care level and develop a strategic plan to improve the performance of nurses and conduct training for nurses on current Primary health care trends in the country. May 1999.

#### **World Health Organization - Eastern Mediterranean Region (WHO EMRO)** 1998 - 2002

- Coordinator for World Health Organization/HQ in Jordan – Assignment: Institutional audit for integration of adolescent health and development in nursing curriculum, 2001-2002
- Temporary Advisor for World Health Organization/EMRO. Technical meeting on integrating and strengthening adolescent health and development in pre-service nursing and midwifery curriculum, March 2001. Cairo - Egypt.
- Temporary Advisor for World Health Organization/EMRO in Egypt. Assignment: Editing of an Arabic *Community Health Nursing* textbook published by WHO. October 1998.
- Temporary Advisor for World Health Organization/EMRO in Egypt - Assignment: Team member in developing *the Reproductive Health Course Manual* for Midwife training in Syria. Feb-March 1999.

#### **PROJECT HOPE (USA):** 2005 - 2007

- Basrah Children's Hospital, Iraqi project training, 2005-2007- Assignment, coordinating training of 200 Hospital nurses and staff at King Abdullah University health system in Jordan.

#### **Jordan- Consultation:** 1993 - 2008

- Education Consultant- Jordanian Nursing Council, Amman, 2007-2008.
- Chairperson and Coordinator - National Steering Committee of Nursing Licensure Examination, Jordanian Nursing Council, Amman, 2004-2006.
- Member - Accreditation Council committee for renewing the nursing program accreditation criteria, Ministry of Higher Education, June 2005.

- Member - Strategic Plan National Task Force of the Ministry of Health, Amman, Jordan, November 2002.
- President - 7th International Middle East Nursing Conference 'Discovering Reality: A Road for Nursing Success' May 2002.
- Short Term Consultant - World Health Organization/EMRO. Assignment: Case study report of the contribution of nursing and midwifery to health system performance and goals in Jordan, August 2000.
- Member - National Task Force for Integration of Primary Health Care into the Associate Degree Nursing Curriculum, Amman, Jordan, 2000-2001.
- National Consultant - Primary Health Care Initiative, Jordan Ministry of Health & USAID project. Assignment: preparing curriculum for the TOT, and assessing quality assurance in the health center. March-June 2000.
- Member - National Task Force for Drafting Nursing Education Standards in Jordan, Amman, Jordan, 1998-2000.
- Member - Establishment of the Accreditation Guidelines for the Associate Degree Nursing Program, Council of Higher Education in Jordan, December 2000.
- National Consultant - Integration of primary health care initiatives in faculty of nursing curricula at University of Jordan. UNICEF, Amman, September 1998.
- Consultant - Review of nurse job descriptions and protocols at the Jordan University Hospital, Amman, March 1998.
- Member and Coordinator - Planning Committee of the Fifth International Middle East Conference 'mobilizing for excellence in nursing toward the Year 200: A global perspective for Nursing,' Irbid, 1998.
- Member and Coordinator - Planning Committee of the Sixth International Middle East Conference 'Celebrating Success in the New Millennium: International Reflections on Nursing Heritage,' Irbid, Jordan, 2000.
- National Consultant – 'Cardiovascular diseases prevention and control: physicians and Nurses Training Protocols,' Ministry of Health, Amman, Jordan, November 1997.
- Member - National Committee of Determining Women's Development Indicators in the Arab Ward: Jordanian National Women Affair Committee, Amman, 1997.
- Member - 'National Continuum Supporting Committee' at the Jordan National Women Affair Committee, Amman, 1996-2002.
- Member - National Task Force for Drafting a Primary Health Care Nursing Standard in Jordan, University of Jordan, 1997-1998.
- Member - Royal Medical Services Committee for Establishing the Clinical ladder for the Jordan Army Nurses, Amman, 1998.
- Chairperson - 'National task force for drafting Nurses/Midwife Job Description in Jordan,' 1996-1997.
- Member - National Committee 'The need for national strategic planning for nursing & Midwifery in Jordan', Ministry of Health, Amman, 1995.
- Member - 'Task Force for Bridging the Gap between the Diploma Schools of Nursing and the Baccalaureate University Nursing Programs,' Ministry of Health, Amman, 1993-1994.
- Member, Working Committee for Drafting a Nursing Board Law and Regulation to Control Entry into Nursing in Jordan'. Ministry of Health. Amman, 1993-1994.
- Member, Jordan University Task Force on Drafting Jordanian Nurses Code of Ethics'

***LANGUAGES***

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**Arabic:** Fluent

# The University of Memphis Board of Trustees

## Recommendation

### For Approval

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Tenure Upon Appointment – Leanne Lefler

**Presented by:** Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

#### **Background:**

Dr. Leanne Lefler has served as a nursing academic researcher for over 15 years. She is coming from the University of Arkansas for Medical Sciences where she served as a tenured, endowed professor in women's cardiovascular health. As a researcher, Dr. Lefler has received close to \$5,000,000 in funding, from the Veteran's Administration, the John A. Hartford Foundation, HRSA, and the Patient Centered Outcomes Research Institute (PCORI). Her cardiovascular health research includes clinical trials for an mHealth management model for older adults with heart failure, the use of telemedicine during the COVID-19 pandemic for older adults with heart failure, and physical activity interventions for older, sedentary women to promote cardiovascular health. Dr. Lefler has also spent her career mentoring both faculty and students, with a proven track record of mentoring students to obtain pre-doctoral and post-doctoral awards and other scholarships. Dr. Lefler's research has led to an extensive scholarship portfolio. She has published 17 articles in peer-reviewed publications in the last five years alone, as well as more than 50 peer-reviewed presentations at regional, national, and international conferences.

Dr. Lefler has also demonstrated an outstanding track record of service. She has served on several boards of health care, nursing, and community organizations, as well as national organizations such as the Campaign Outreach Advocates for the Culture of Health through the Robert W. Johnson Foundation and AARP. She is a Fellow in the American Academy of Nursing, our profession's highest honor. She has also received numerous awards for her teaching and mentorship, including from the Southern Nursing Research Society and the American Heart Association. We are sure that her prestige, as well as her expertise in grant writing, funding, PhD education, and mentoring will serve to advance the college's research mission, as well as the university's in maintaining Carnegie R1 status.

These achievements and level of activities in research, instruction, and service are well above the minimum expectations for receiving tenure and are on par with other high achieving, high performing tenured full professors at the Loewenberg College of Nursing and chair of excellence professors at the University of Memphis.

#### **Recommendation:**

The Academic, Research, & Student Success Committee recommends that the Board approve and grant tenure upon appointment for Dr. Leanne Lefler as professor in the Loewenberg College of Nursing.

## REQUEST FOR A REDUCTION OF TENURE TRACK PROBATION PERIOD

This is a request to recommend that Leanne L. Lefler in the Department of Nursing  
First Middle Last

be granted a 6 (six) year(s) reduction in his/her tenure probation period. A copy of his/her vita must be attached.

**Date:** 03/17/2022 **Justification** (If necessary, use additional pages and attach to this form.)

Dr. Lefler has served as a nursing academic researcher for over 15 years. She is currently a tenured, endowed professor in women's cardiovascular health at the University of Arkansas for Medical Sciences in Little Rock, AR. As a researcher, Dr. Lefler has received close to \$5,000,000 in funding, from NIH and the National Institute for Nursing Research, the Veteran's Administration, the John A. Hartford Foundation, HRSA (Health Services Research Administration), and the Patient Centered Outcomes Research Institute (PCORI). The work she has done focuses on cardiovascular health, and includes clinical trials for an mHealth management model for older adults with heart failure, the use of telemedicine during the COVID-19 pandemic for older adults with heart failure, and physical activity interventions for older, sedentary women to promote cardiovascular health. Dr. Lefler has also received funding for educational and workforce initiatives, including grants to examine the use of poverty simulations in healthcare education, implementing physician's assistant programs, and building academic practice partnerships to increase geriatric expertise in primary care practitioners. Dr. Lefler has also spent her career mentoring both faculty and students, with a proven track record of mentoring students to obtain pre-doctoral and post-doctoral awards and other scholarships. Dr. Lefler's research has led to an extensive scholarship portfolio. She has published 17 articles in peer-reviewed publications in the last five years alone, as well as more than 50 peer-reviewed presentations at regional, national, and international conferences.

Dr. Lefler has also demonstrated an outstanding track record of service. She has served (and is continuing to serve) on several board of health care, nursing, and community organizations. Nationally, she continues to serve on the Nurses on Board Coalition Tri-State Initiative, the Campaign Outreach Advocates for the Culture of Health through the Robert W. Johnson Foundation and AARP, and on the John A. Hartford Foundation Alumni Council. For the university, she has served on the faculty senate, including numerous faculty organization committees such as the research committee and the faculty board of appeals. At the college, she has chaired the Appointment, Tenure, and Promotion Committee, chaired the nursing science department, and served on key search committees for faculty and administrative positions. Her breadth and depth of service to the college and university demonstrate her prowess as an academic leader.

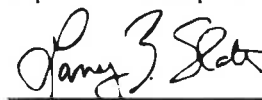
Dr. Lefler has been recognized internationally for the outstanding service to nursing, healthcare, and academia. She is a Fellow in the American Academy of Nursing, our profession's highest honor. She has also received numerous awards for her teaching and mentorship, from her institution as well as regional (Southern Nursing Research Society) and national (American Heart Association). We are sure that her prestige, as well as her expertise in grant writing, funding, PhD education, and mentoring will serve to advance the college's research mission, as well as the university's in maintaining Carnegie RI status.

We are requesting tenure upon appointment as full Professor.

### APPROVAL SIGNATURES:

Departmental Chairperson

Date



3/17/22

Dean

Date



3/21/22

Provost

Date



4.26.2022

President

Date

### COMMENTS

Comments provided above.



## Curriculum Vitae

**Leanne L. Lefler**

**Name:** Leanne L. Lefler, PhD, ACNS-BC, APRN, FAHA, FAAN  
(Adult Clinical Nurse Specialist-Board Certified & Advanced Practice Registered Nurse)

**Work Address:** 4301 W. Markham, #529, Little Rock, AR 72205

**Work Number:** 501-296-1939

**Home number:** 501-327-6404

**Fax Number:** 501-296-1765

**Email Address:** [L.Lefler@uams.edu](mailto:L.Lefler@uams.edu)

### Academic Background:

<u>Year</u>	<u>Institution</u>	<u>Degree</u>
1982	Arkansas Tech University	Bachelor of Science in Nursing
2001	University of Central Arkansas	Master of Science in Nursing
2006	University of Arkansas for Medical Sciences	PhD, Doctor of Philosophy in Nursing Science

**Current Title and Rank:** Professor with Tenure, *Endowed Professor in Women's Cardiovascular Health*; Graduate Appointment, Doctoral Faculty, Course Coordinator, Department Chair

**Certification and Licensure:** Registered Nurse #R25017-AR;  
Advanced Practice Registered Nurse APRN #S001097-AR;  
Clinical Nurse Specialist in Adult Health, Certified by the American Nurses Credentialing Center, ACNS-BC #0364686

### Professional Experience:

#### ACADEMIC:

<u>Year</u>	<u>Position</u>	<u>Place</u>
2020-present	Professor with Tenure; Endowed Professorship in Women's Cardiovascular Health	University of Arkansas for Medical Sciences, Little Rock, AR
2013-2020	Associate Professor with Tenure Research Scientist/Faculty, Graduate School	"
2010-2013	Assistant Professor (Tenure track); Graduate Faculty Position; Research Scientist.	University of Arkansas for Medical

		Sciences, Little Rock, AR
<b>2009-2020</b>	Central Arkansas Veterans Healthcare, Geriatric Research and Education Clinical Center (GRECC) WOC appointment, Research	North Little Rock VA
<b>2008-2010</b>	Claire M Fagan Fellow, Postdoctoral Scholarship (75%); Building Academic Geriatric Nursing Capacity Program & Clinical Assistant Professor College of Nursing (25%)	University of Arkansas for Medical Sciences, Little Rock, AR
<b>2006-2008</b>	Clinical Assistant Professor, College of Nursing	University of Arkansas for Medical Sciences, Little Rock, AR
<b>2004-2006</b>	John A. Hartford Building Academic Geriatric Nursing Capacity Scholar and Project Director for Dr. J. McSweeney, NINR funded research	University of Arkansas for Medical Sciences, Little Rock, AR
<b>2003-2004</b>	Clinical Assistant Professor, Fast-Track BSN Instructor	University of Arkansas for Medical Sciences, Little Rock, AR
<b>1999-2003</b>	Nursing Instructor, Clinical Nursing Instructor	University of Central Arkansas, Conway, AR
<b>PRACTICE:</b>		
<b><u>Year</u></b>	<b><u>Position</u></b>	<b><u>Institution</u></b>
<b>1999-2001</b>	Heart Failure Clinic & Long-term Acute Care Facility, APN Student Residency (500 clinical hours)	Baptist Medical Center, Little Rock, AR
<b>1996-1999</b>	Registered Nurse, Charge Nurse, House Supervisor; Unit Educator. Experience in CVICU, ICU, CCU	St. Vincent Infirmary Medical Center, Little Rock, AR
<b>1995-1996</b>	Nurse Manager for Critical Care and Cardiac Step-down units and House Supervisor. <i>Managed -60 nurses and staff.</i>	Conway Regional Medical Center, Conway, AR
<b>1983-1995</b>	Registered Nurse, Charge Nurse, House Supervisor; Unit Educator. All experience in CVICU, ICU, CCU units.	St. Vincent Infirmary Medical Center, Little Rock, AR
<b>1982-1983</b>	Registered Nurse, Staff Nurse, Charge Nurse Surgical Intensive Care Unit	Hillcrest Medical System, Tulsa, OK

**AWARDS/HONORS:**

<u>Year</u>	<u>Award</u>
2021-2026	Recertified as Adult Health Clinical Nurse Specialist, [ACNS-BC], American Association of Colleges of Nursing.
2020	Invested as the <i>Endowed Professorship in Women's Cardiovascular Health</i> ; University of Arkansas for Medical Sciences College of Nursing.
2020	<i>Fellowship in the American Academy of Nursing</i> , FAAN; Members are invited on the basis of national impact in leadership and accomplishments, a professional membership organization honor reserved exclusively for the most senior scholars.
2019	<i>CVSN Mathy Mezey Excellence in Aging Award</i> from the Council on Cardiovascular and Stroke Nursing of the American Heart Association. The Award recognizes members who have distinguished themselves in promoting excellence in caring for the elderly cardiovascular or stroke patient through teaching, research, and/or practice.
2018	<i>Outstanding PhD Faculty Award</i> , University of Arkansas for Medical Sciences, College of Nursing; an award voted on by students.
2018	<i>Award for Service</i> , Southern Nursing Research Society as Director of Development, 2016-2018
2018	<i>Mentor Award</i> , UAMS Graduate School. For serving as the major Graduate Advisor to Ayasha Thomason, PhD.
2017	" <i>Great 100 Nurses in Arkansas</i> ". Recognizing an outstanding nurse who has exemplified concern for humanity, contributions, shared skills and expertise by mentoring others. Sponsored by The Great 100 Nurses Foundation.
2017	<i>Campaign Outreach Advocate for the Culture of Health (COACH)</i> . National competitive award sponsored by the Robert W. Johnson Foundation selecting 16 nursing leaders in the nation to advocate for building a Culture of Health.
2016	<i>UAMS Phenomenal Woman</i> award. Selected for contributions to the Science, Technology, Engineering and Mathematics (STEM) fields.
2016-18	Elected Board of Directors for <i>Southern Nursing Research Society</i> , in role of Development Officer
2016	<i>Culture of Health Breakthrough Leaders in Nursing</i> award. National competitive award sponsored by the Robert W. Johnson Foundation and given to 10 nursing leaders in the nation in recognition for work to improve health care by focusing on physical, social, economic and cultural circumstances that influence health.
2016	<i>Mentor Award</i> . UAMS Graduate School. For serving as the major Graduate Advisor to Donna Elrod, PhD.

- 2014 Elected *Fellow* of the American Heart Association, FAHA.
- 2014-2016 Re-elected to *Southern Nursing Research Society Board of Directors*, Secretary for 2 year term.
- 2013-2017 Nominated/Accepted commission for *Council on Clinical Cardiology & Council on Cardiovascular Nursing Cardiovascular Disease in Older Populations Committee*, American Heart Association. Served 2 terms.
- 2012 Service Award presented for service on the *Nominations and Succession Planning* committee 2010-2012, Southern Nursing Research Society.
- 2011-2103 Elected by nurses in the southern region to Board of Directors for the *Southern Nursing Research Society* in the board position of Secretary for the research-focused nursing organization for two-year term.
- 2011 Received *2011 CVN Early Career Investigator Travel Award* from the American Heart Association, Council on Cardiovascular Nursing. National competitive scholarship for new investigators who are abstract presenters.
- 2011 Nominated & Elected as Co-Chair for the *Arkansas Action Coalition* for the Future of Nursing statewide committee, Doctoral Education Taskforce.
- 2011 John A. Hartford Communication Conference Program Scholarship, & Travel Award, Chicago, IL.
- 2010 Rising Investigator Award for 2011, Southern Nursing Research Society Gerontology Research Interest Group
- 2010 2010 Advanced Training Institute in Health Behavior Theory; National Competitive Scholarship from National Cancer Institute and the National Heart, Lung, and Blood Institute, National Institutes of Health.
- 2010 Nominated for MEDSURG Nursing Journal, Best Writers Award for manuscript submitted.
- 2010 Travel Grant Award, UAMS Center for Translational Science to attend the International Symposium on Exercise Science, Oct. 14-15, 2010 Rochester, Minn.
- 2009 College of Nursing Research Excellence Award. UAMS. (This award is given annually to a faculty member who has demonstrated commitment to the College's organizational work and leadership, and is recognized as having achieved excellence in clinical research).
- 2009 Elected for Southern Nursing Research Society Nominations Committee Representative.
- 2008 – 2010 John A Hartford & Atlantic Philanthropies Claire M Fagan PostDoctoral Fellow; Building Academic Geriatric Nursing Capacity Program, Hartford Geriatric Nursing Initiative. (National competitive scholarship award). \$120,000 funding from July 2008-2010.

- 2008 Gerontological Society of America/John A Hartford Foundation Policy Leadership Institute (National competitive scholarship award). Washington, DC. October 15-17, 2008.
- 2007 Summer Institute on Aging Research Scholar, The National Institute on Aging, National Institutes of Health, (National competitive scholarship award). July, 2007
- 2007 – 2008 Faculty Scholar for the Hartford Center of Geriatric Nursing Excellence, University of Arkansas for Medical Sciences, (Locally competitive award with a 50% salary compensation). July 1, 2007-June 30, 2008.
- 2007 Gerontological Nursing Research Summer Scholars Grant Writing Seminar, University of Iowa College of Nursing, Hartford Center of Geriatric Nursing Excellence. (Regional competitive scholarship award). June, 2007.
- 2007 Outstanding Future Nurse Leader Award, Graduate School; University of Arkansas for Medical Sciences.
- 2004 – 2006 John A Hartford Foundation Building Academic Geriatric Nursing Capacity Scholar, 2 year Pre-Doctoral Scholarship (National competitive scholarship award). \$64,266 Funding July 1, 2004-June 30, 2006.
- 2001 – 2006 Dean's List (4.0), University of Arkansas for Medical Sciences, Doctoral Program
- 2002 Faculty Development Program in Geriatric Nursing, (National competitive scholarship award). University of Texas-Houston
- 2002 Technology Faculty Associate, (University-Level competitive scholarship award). Training in Informatics and Technology. University of Central Arkansas.
- 2001 Outstanding Graduate Student Award, University of Central Arkansas
- 2001 – 2014 Advanced Practice Registered Nurse Certified, Licensed APN #S001097.
- 1999 – 2001 Dean's List (4.0), College of Nursing, University of Central Arkansas
- 1996 Sigma Theta Tau International Kappa Rho Chapter, Outstanding Community Leader.
- 1984 – 2008 Critical Care Registered Nurse Certification, CCRN #31323.

#### **GRANT ACTIVITIES:**

##### ***1. CURRENT FUNDING***

Robert Wood Johnson Foundation & AARP: Nursing Innovation Fund Award. Nurses Building a Culture of Health in the Arkansas-Tennessee Delta. \$40,000, October 2020-October 2021. Role: L. Lefler Trainer & Consultant @ 5% effort. (A. Davis & P. Scott Co-PIs);  
 This project aims to develop nurse leaders who can help build a culture of health in the AR TN Delta region through serving on health-promoting local boards and other entities

## 2. SUBMITTED WITH FUNDING PENDING:

None

Exploring new grant:

## 3. GRANT ACTIVITY COMPLETED:

- The Patient Centered Research Outcomes Institute, PCORI. COVID-19-Related Enhancement for Existing Research. **Role: Principal Investigator: Lefler, Leanne L.** Project Title: *Comparing Quality of Telemedicine & Standard Provider Visits with Healthcare Utilization Metrics of Older Patients with Heart Failure During Covid-19 Pandemic*. \$500,000.00. 2020-2021 [Research Grant]

This proposed study will inform patient-centered comparative effectiveness research by providing evidence of which type of medical visit results in highest quality care and performs best using key healthcare utilization metrics. Results will identify gaps between actual practice and the needs/preferences of older & often frail heart failure patients.

- Patient Centered Outcomes Research Institute, *Innovative Care Model For Older Adults With Chronic Heart Failure (i-COACH): A Comparative Effectiveness Clinical Trial For Improving Healthcare Systems*; \$3,811,271.00, **Role: L. Lefler, Principal Investigator**; Funding Period December 2019-2022. [Research Grant].

The central question examined by this clinical trial is whether an enhanced mHealth care management model with connected health technology used in partnership with the healthcare system team, an older person with heart failure (HF), and their caregiver is more effective than a provider directed management model using non-connected home equipment kits. Self-care of HF, quality of life and quality care are represented by multiple outcome measures that are important to patients, caregivers and healthcare (HC) systems.

- University of Arkansas for Medical Sciences, Office of Interprofessional Education Small Grant Award [Intramural], \$12,900. *IPE: Simulating Poverty to Accelerate Learning about Upstream Determinants of Health and Health Outcomes*. Funding Period July 2019-June 2021. **Role: L. Lefler, Principal Investigator**

Our interprofessional team received funding to improve population health outcomes of students and faculty at UAMS by employing an educational innovation called the Community Action Poverty Simulation (CAPS). CAPS is an interprofessional and interactive simulation immersion experience designed to sensitize participants to the realities of poverty. To improve and advance health for all, we must consider the societal, environmental, and economic factors that impact individual and population wellness.

- University of Arkansas for Medical Sciences, Chancellor's Research Award, [Intramural] \$50,000.00. *mHealth Equipment to Improve Self-Management of Heart Failure in Older Adults*. May 2019-July 2019. **Role: L. Lefler, Principal Investigator**.
- University of Arkansas for Medical Sciences- Educators Academy [Intramural], Using the Community Action Poverty Simulation to Teach Graduate Students about Building a Culture of Health August, 2018-August, 2019. (\$2500.00). **Role: L. Lefler, Principal Investigator**
- Letter of Intent for Broad PFA Cycle 3 HealthCare Systems: Innovative Care Model For Older Adults With Chronic Heart Failure (I-Coach): A Comparative Effectiveness Clinical Trial For

Improving Healthcare Systems. \$4 million, **Role: Principal Investigator**; Patient Centered Outcomes Research Institute. LOI notification due Dec 4, 2018 [Research Grant]. Outcome: Invitation to Submit Full Application:

- US. Department of Health and Human Services Health Resources and Services Administration, "Geriatric Advanced Practice (GAP): Innovative Academic-Practice Model to Increase Geriatric Expertise in Primary Care Practitioners" Extramural [Program Grant]  
\$1,930,000; July 1, 2015 to December 31, 2018  
**Role: L. Lefler, Co-Investigator, Co-Lead** (25% funding); Project Director, C. Beverly.  
Purposes to form academic-practice partnerships to strengthen the geriatric primary care workforce in medically underserved areas and promoting NP student's readiness to practice in underserved and rural areas (2015-2018).
- Robert Wood Johnson Foundation. October, 2016 to September, 2018 Accelerating Interprofessional Community-Based Education and Collaboration for Older Persons with Mental Health Disparities, \$200,000. Extramural [Program Grant]:**Role: L. Lefler, Significant Contributor**; M. Harris, Principal Investigator
- Extramural [Research Grant]: American Association of Colleges of Nursing/Centers for Disease Control and Prevention, Academic Public Health Impact Evaluation Projects: *Impact of Academic-Practice Partnership using mHealth Technology on Heart Failure Benchmarks with Older Adults in Rural and Medically Underserved Areas of Arkansas*. Pilot \$15,000 June 28, 2016 –July 17, 2017. **Role: L. Lefler, Principal Investigator**. The study is comparing outcomes and satisfaction of mHealth monitoring, home equipment, and standard care in older heart failure patients in rural Arkansas to determine feasibility of mhealth monitoring in older adults with limitations in access to healthcare.
- Intramural [Research Grant]: July 1, 2016 to June 30, 2017: College of Nursing, UAMS  
Intramural Program, *Geriatric Advanced Practice (GAP): Evaluating the Use of mHealth Technology in Patients with Heart Failure*, Pilot \$ 3600. **Role: L. Lefler, Co-Investigator** (B. Buron, Principal Investigator, S. Rhoads, Co-I, Melodee Harris, Co-I, F. Wei Co-I, Statistician).
- Medical Research Endowment Award, University of Arkansas for Medical Sciences, *Implementing a PA Program for Older Women: Exploring Perceptions, Barriers & Facilitators*  
\$15,000; 1/1/2015-6/31/2016 **Role: L. Lefler, Principal Investigator** [Research Grant].
- RNR012832A National Institutes of Health, National Institute for Nursing Research  
\$441,743.00 4/2012-3/2015; A Lifestyle Physical Activity Intervention for Older, Sedentary Women **Role: L. Lefler, Principal Investigator**; The objectives of this randomized controlled pilot study center on prevention of cardiovascular disease by the promotion of physical activity and the reduction of sedentary behavior in older women. We aim to: 1) determine the feasibility of using an individually tailored, motivational counseling intervention to promote lifestyle physical activity in older sedentary women; 2) examine intervention effects by comparing baseline to accelerometer outcome measures at 3 and 6 months, and 3) explore factors associated with physical activity behavior change: stage of change, self-efficacy, functional health and their relationship to accelerometer measures. [Research Grant].
- Program Grants Student Sponsor/Mentored (Funded): 2014 *John A Hartford Predoctoral Scholarship*-**Role: Lefler, L. Pre-doctoral Mentor/Sponsor**; Ayasha Stewart-Thomason, PhD Student, (Funded: July 2014- Dec 2017). \$100,000. [Student Grant]

- Hartford Center for Nursing Excellence Program Grant, 2009-2013. Member of Leadership (25% salary support), [Program Grant]. \$367,000. August, 2012- December 2015  
**Role: Lefler, L. Co-Investigator**, Education Leader, Project Co-Directors, Beverly & Beck. [Program Grant]
- University of Arkansas for Medical Sciences, Translational Research Institute  
\$29,928.50 4/1/2012-3/31/2014 A Lifestyle Physical Activity Intervention for Older, Sedentary Women. **Role: L.L. Lefler, Principal Investigator**, Strategic Investment Award  
This award provides equipment and salary support to supplement federal grant. [Research Grant].
- Department of Veterans Affairs (VISN-16). \$100,000.00 4/1/ 2009-9/2012  
*A typology of heart failure patients' preferences for end-of-life communication with healthcare providers* Garner, K (PI). **Lefler, L.L. Co-Investigator**. [Research Grant].
- John A. Hartford Claire M. Fagan *Building Academic Geriatric Nursing Capacity Post-Doctoral Fellowship Award*. **Role: Lefler, L.L. Principal Investigator**; \$120,000 July 1, 2008 to December 30, 2010. [Program/Scholarship for Research: PostDoc]
- Tailored Biobehavioral Intervention Research Center; National Institutes of Health, National Institute of Nursing Research funded P20 Center \$ 8,400.00 1/1/ 2008-12/31/ 2009. *Exploring Attitude and Belief Factors for Risk Factor Reduction in Older Women after Cardiac Rehabilitation*. **L.L. Lefler, Principal Investigator** [Research Grant]
- American Nurses Foundation. \$3,500. September 2008-2009. *Exploring Self-Perceived Cardiac Risk in Older Black and White Women*. **L.L. Lefler, Principal Investigator** [Research Grant]
- Tailored Biobehavioral Intervention Research Center (P 20 Center funded by the National Institute of Nursing Research) \$15,000 April 2007-August 1, 2008. *Adherence to Medications: Older Women with Coronary Heart Disease*. **L.L. Lefler, Co-Principal Investigator**, D. West, Co-PI. [Research Grant]
- Committee for Allocation of Graduate Research Funds, University of Arkansas for Medical Sciences, Intramural Grant \$2,500.00. 5/1/2005-12/31/2006. *Increasing Awareness of Risk and Knowledge of Myocardial Infarction Symptoms Among Older, High-Risk Women*. **L.L. Lefler, Principal Investigator**. [Research Grant]
- Sigma Theta Tau International Honor Society of Nursing, Research Grant Award, Gamma Xi Chapter. \$500.00. 4/2005-4/2006. *Increasing Awareness of Risk and Knowledge of Myocardial Infarction Symptoms Among Older, High-Risk Women*. **L.L. Lefler, Principal Investigator**. [Research Grant]
- John A. Hartford Foundation Building Academic Geriatric Nursing Capacity Pre-Doctoral Scholar Scholarship Award. **Role: Lefler, L.L. PI**; \$64,332.00. July 1, 2004 to December 30, 2006 [Program/Scholarship Award].
- Sigma Theta Tau International, Honor Society of Nursing Research Grant Award, Kappa Rho Chapter, \$500.00 2/2001-2/2002. *Women's Delay in Seeking Treatment for Myocardial Infarction*. Master's Thesis. **Role: Principal Investigator**



#### 4. PROPOSALS SUBMITTED-NOT FUNDED

May 2020: Health Resources & Services Administration, US Department of Health and Human Services, Rural Health Research Center; HRSA-20-035; \$2.8 million; Lowery, PI: **Role: L. Lefler, Core Research Staff [Principal Investigator of sub-award project, \$100,000.00 (1 Yr)].** *Project Title: Unmet Needs of Informal Caregivers Of Rural-Dwelling as Compared to Urban-Dwelling Patients with Heart Failure*

The overall goal of this research is to assist health care providers and others such as decision/policy makers at the federal, state, and local levels to better understand challenges and unmet needs faced by informal caregivers of older patients who suffer from heart failure and who reside in rural communities as compared to urban.

- June 2018 Letter of Intent not advanced. *Innovative Care of Older Adults with Chronic Heart Failure (I-COACH): A Comparative Effectiveness Clinical Trial* [Research Grant] Patient Centered Outcomes Institute, Symptom Management, \$ 600,000, 3-years. **Role: Principal Investigator,**
- March 2018 *Life Coaching in the Delta to Promote Health Equity and Improve Upstream Social-Economic Determinants of Health* [Research Grant] Robert Wood Johnson Foundation, \$350,000, 3-years. **Role: Principal Investigator.** Outcome: Not funded.
- October, 2017 *Unmet Needs from Informal Caregivers and Its Impact on Functional Improvement, Patient Safety, and Health Outcomes for Medicare Home Health Beneficiaries.* R01 AG060160-01. \$650,000. National Institutes of Health, National Institute of Nursing Research. **Role: Co-Investigator;** PI Hsueh-fen Chen, PhD, CPH. Outcome: Scored, not funded.
- March, 2017 *Project Enhance Arkansas: Empowering Older Adults to Self-Manage Chronic Disease.* Department of Health and Human Services, Administration on Aging, Administration on Community Living. Submitted May, 2017. \$900,000. 3-years **Role: Principal Investigator** Outcome: Not Funded, but scored. [Program Grant]
- Feb, 2017 *Healthy Bodies, Healthy Souls for Diabetes Self-Management in the Marshallese Community;* National Institute of Nursing Research, R21. Submitted February, 2017; Scored 28; Principal Investigator: McElfish, P., **Role: Co-Investigator,** Outcome: Not funded but scored.
- March 2017 *Empowering marginalized older adults through resource-driven resilience: Action-oriented research to improve health with housing.* Robert Wood Johnsons Foundation, Interdisciplinary Research Leaders \$350,000. **Lefler, L. Principal Investigator.** Outcome: Not Funded
- May, 2015 Letter of Intent, Translational Research Institute Pilot Awards for Process Pilot Study, Implementing a PA Program in a Medical Center; submitted April, 10, 2015. \$20,000; July 2015-June 2016 **Role: Lefler, L. Principal Investigator.** Outcome: Not Funded.
- May 2014: American Nurses Foundation, Implementing a PA Program for Older Women: Exploring Perceptions, Barriers & Facilitators; \$30,000; 9/1/2014-8/31/2015; **L.L. Lefler, Principal Investigator.** Outcome: Not funded
- May, 2014: Letter of Intent: Hillman Innovations in Care Program, Rita & Alex Hillman Foundation, Arkansas State Wide Nurse-Led Physical Activity Intervention Model For Elders With Comorbid Conditions; \$600,000; 1/1/2015-12/31/2017; Tsai, P.F.: **Principal Investigator; Lefler, L.L. Co-Investigator.** Outcome: Not funded
- August, 2012. CAVAH, Mental Illness Research, Education & Clinical Center, Department of Veterans Affairs, North Little Rock. Dubbert, P. (PI) **Lefler, L.L. Co-Investigator.** Pilot Exercise Intervention for the Seriously Mentally Ill. This grant is a mixed methods study to examine perspectives of mental health veteran patients about using exercise to manage symptoms and to describe current physical activity levels. (No salary support). Outcome: Not funded

- September, 2012. College of Health Related Professions Dean's Society Grant, UAMS. Atcherson, S. (PI). **Lefler, L.L. Co-Investigator.** Hearing impaired professionals in health care. Goal of this project is to obtain equipment for amplified stethoscopes for a pilot project. No salary support. \$5000. Outcome: Not funded
- December 2011, Health Services Research and Development Service, United States Department of Veterans Affairs. HX-12-004. (3 years) \$685,000; K. Garner, (PI); **Lefler, L.L., Co-Investigator;** Engaging Veterans in Planning for Future Medical Decisions,. The primary aim of this grant is to: Conduct a randomized trial to test the effectiveness of an intervention to facilitate achievement of advance care planning goals in aging Veterans. Outcome: Scored but not funded.
- January 2011 The Efficacy of Communication and Auscultation Technologies for Deaf/Hard of Hearing Health Care Professionals. Atcherson, S.R., Principal Investigator; **Role: L.L. Lefler, Co-Investigator.** College of Health Related Professions Deans Society, UAMS. \$5000. Examines barriers to deaf/hard of hearing by examining speech and understanding performance of subjects with and without hearing loss comparing two clear and a traditional paper facemask. Outcome: Not Funded
- American Heart Association Heartland Affiliate, Heart and Stroke Community Development fund 2007, McSweeney, **Principal Investigator; Lefler, LL, Co-Investigator** Cluster Analysis of Women's Prodromal and Acute Myocardial Infarction Symptoms. Outcome: Not Funded.

#### **5. STUDENT SPONSOR OR ADVISER FOR SCHOLARSHIPS: AWARDED**

- 2019-2021: Jennifer Vincenzo, Ph.D., M.P.H., PT; College of Health Professions, Department of Physical Therapy; "Development of a Falls Prevention Self-Management Plan to Improve Older Adults Adherence to Prevention Strategies after Community-Based Falls Risk Screenings" Translational Research Institute KL2 Scholars Program, \$50,000 plus 75% salary support. August 2019-July 2021. **Role: L. Lefler, Mentor Team; Qualitative Research Expert**
- 2019-2021: Leonie DeClerk, doctoral candidate American Association of Nurse Practitioners Grant, \$5000 May 2019-April 2020. **Role: L. Lefler, Faculty Mentor and Major Advisor**
- 2019-2021 Leonie DeClerk, doctoral candidate, Sigma Theta Tau Gamma Xi Chapter Grant Award of \$1000, April 2019- May 2020. **Role: L. Lefler, Faculty Mentor and Major Advisor**
- 2017: Mentor for Hartford Center Summer Externs
- 2016: Mentor for Hartford Center Summer Externs
- 2014-Dec 2016. *John A. Hartford Foundation Pre-doctoral Fellowship.* A. Stewart Thomason, PhD Student. Role: L.Lefler Primary Mentor. \$100,000. *Sexual Health & Gynecological Care of Older Women Residing in Assisted Living Facilities.* Selection is based on Student, Sponsor/Mentor, and merit of the research project.
- 2015: Co-Mentor for Hartford Center Summer Extern, Kevin Reese, BSN Student. June-Aug 2015
- 2015: Nominated PhD Student, Temekis Hampton for *Arkansas Nursing 40 under 40-State* campaign sponsored by the Arkansas Action Coalition. Outcome: Awarded.
- 2013-2015 Kimberly Hayman, BSN to PhD Student, Graduate Assistantship, Primary Mentor

2013 Rachel Erwin, BSN student 2013 Mentor for Summer Externship  
 2012 Amber White, BSN student 2012 Mentor for Summer Externship

2011 Melissa Aselage, Doctoral student at Medical University of South Carolina, for J. A. Hartford  
 Predoctoral grant application, **Role: Lefler, Consultant** (Funded).

2008-2013 Post-doctoral Sponsor/Co-sponsor: Mentor/Consultant for Melissa Aselage, Assistant  
 Professor at Duke University for J.A. Hartford Postdoctoral Fellowship Grant application,  
 multiple contacts for 6 months (2008-2013). Funded.

#### **6. SCHOLARSHIPS, STUDENT SPONSOR FOR SCHOLARSHIPS SUBMITTED BUT NOT AWARDED**

2014 *Johnson & Johnson Campaign for Nursing's Future; American Association of Colleges of Nursing*  
 Minority Nurse Faculty Scholars Program; \$18,300 (with option for repeating noncompetitive annual  
 award); Doctoral Student: Kimberly Hayman, Doctoral Student; **L.L. Lefler, Pre-doctoral Sponsor**  
 (No salary support for sponsor).

2013 *Johnson & Johnson Campaign for Nursing's Future; American Association of Colleges of Nursing*  
 Minority Nurse Faculty Scholars Program; \$18,300 (with option for repeating noncompetitive annual  
 award); Doctoral Student: Kimberly Hayman, Principal Investigator; **L.L. Lefler, Pre-doctoral**  
**Sponsor** (No salary support for sponsor).

2013 American Heart Association, *Undergraduate Student Traineeship Grant*; \$4000.  
 L. Downs, BSN Student Award; **Faculty Research Sponsor: L.L. Lefler**,  
 This grant is to provide research training to encourage promising students from all disciplines to  
 consider a career in cardiovascular research. (No salary support for sponsor).

2012 **Lefler, L. L., PI** *Summer Institute on Design and Conduct of Randomized Clinical Trials*  
*Involving Behavioral Interventions*, Office of Behavioral and Social Sciences Research; National  
 Institutes of Health (Travel & Training Award, Bethesda MD). Not funded.

2011 Lenora Smith, MSN, Doctoral student at Medical University of South Carolina, for J. A.  
 Hartford Predoctoral grant application, **Role: Lefler, Consultant**, Not funded.

2010 **Lefler, L.L., PI** *Summer Institute on Design and Conduct of Randomized Clinical Trials*  
*Involving Behavioral Interventions*, Office of Behavioral and Social Sciences Research; National  
 Institutes of Health (Travel & Training Award, July 11-23, Bethesda MD). Not funded.

## **PUBLICATIONS**

### **1. Manuscripts (Refereed/Peer Reviewed)**

Qualls, M., **Lefler, L.L.**, Landes, S.J., Cowan, P.A., Ounpraseuth, S., Harris, M.& Volgus, S. (In  
 Review). Recipient Factors Influencing the Use of Delirium Screening in Medical-Surgical Settings:  
 A Pre-implementation Study. *Med Surg Nursing*. [Data-based, Research]

Qualls, M., **Lefler, L.L.**, Landes, S.J., Cowan, P.A., Ounpraseuth, S., Harris, M.& Volgus, S. (In  
 Revision). Perceived Barriers and Facilitators to Implementing Delirium Screening in Medical-  
 Surgical Settings: A Qualitative Pre-implementation Study. *Research in Gerontological Nursing*.  
 [Data-based, Research]

- Vincenzo, J. L., Patton, S.K.P., **Lefler, L.L.**, McElfish, P.A., Wei, J., & Curran, G. (2022, IN PRESS). A Qualitative Study of Older Adults' Facilitators, Barriers, and Cues to Action to Engage in Falls Prevention using Health Belief Model Constructs. *Archives of Gerontology and Geriatrics*. [Data-based, Research]
- Harris, M. DeClerk, L. Hutchinson, L., deGravelles, P.V., Schafer, P., Mendiratta, P., White, L., **Lefler, L.L.**, Rooker, J., Kelly, M.A. (2022, IN PRESS). Nurse-Led Interprofessional Depression Screening and Older Adults: Three Simulations and Faculty Toolkit. *MedEdPORTAL*. [Educational Research].
- DeClerk, L., **Lefler, L.L.**, Nagel, C., Rojo, M., Mitchell, A., Sparbel, K.J. (2022 IN PRESS). Why Don't All Nurse Practitioners Precept? A Comparative Study. *Journal of the American Association of Nurse Practitioners*. [Data-based, Research]
- Bush, E., Lefler, L.L., Jones, S. Harris, M. Rhoads, S. (2022 IN PRESS). Simulated presence and quality of life in long-term care residents with dementia during the COVID-19 pandemic. *Clinical Interventions in Aging*. [Data-based, Research]
- Vincenzo, J.L., Patton, S.K., **Lefler, L.L.**, McElfish, P.A., Curran, G., Wei, J. (2021). Older Adults' Perspectives on the Role of Physical Therapy for Falls Prevention: A Qualitative Investigation. *Journal of Geriatric Physical Therapy*, <https://pubmed.ncbi.nlm.nih.gov/33782360/> [Data-based, Research]
- Patton S.K.P., Vincenzo J., **Lefler L. L.** (2021). Gender differences in older adults' perceptions of falls and fall prevention, *Health Promotion Practice*, <https://doi.org/10.1177/15248399211009783>. [Data-based, Research]
- Scott, P. N., **Lefler, L. L.**, Jeffs, D., Davis, A., Lear, T., & Haushalter, A. (2020). A Tristate Education Model to Prepare Nurses to Serve on Health-Promoting Boards. *Journal of continuing education in nursing*, 51(11), 528–532. <https://doi.org/10.3928/00220124-20201014-10> [Data-based, Research]
- Scott, P. N., Davis, A., Gray, L. E., Jeffs, D. A., & **Lefler, L. L.** (2020). Imperatives for Integrating Culture of Health Concepts Into Nursing Education. *The Journal of nursing education*, 59(11), 605–609. <https://doi.org/10.3928/01484834-20201020-02>. [Data-based, Research]
- Harris, M., Rhoads, S., Rooker, J., Kelly, M., **Lefler, L.**, Lubin, S., Martel, I. Beverly, C. (2020) Using virtual site visits in the clinical evaluation of nurse practitioner students: Student and Faculty Perspectives. *Nurse Educator*. 45(1): 17-20. doi: 10.1097/NNE.0000000000000693. [2019 Epub ahead of print] [Data-based, Research]
- Lefler, L.L.**, Rhoads, S.J., Harris, M., Funderburg, A.E., Lubin, S.A., Martel, I.D., Faulkner, J.L., Rooker, J.L., Bell, D., Marshall, H. and Beverly, C.J. (2018). Evaluating the Use of Mobile Health Technology in Older Adults with Heart Failure: Mixed-Methods Study *JMIR-Aging*, 1(2) doi: 10.2196/12178 Available: <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6715011/> [Data-based, Research]
- Evans, BA., Beverly, CJ., Tsai, PF., Rettiganti, M., **Lefler, L.L.**, and Parks, RF. (2018). Older adults' live demonstration of electronic personal health record use: Factors mediating initial proficiency. *Computers Informatics Nursing*. Dec; 36(12). 603-609 doi: 10.1097/CIN.0000000000000448 PMID 29927765. [Data-based, Research]

- Lefler, L. L.** (2018), Altruism and volunteering: It's good for your health! *Research in Nursing & Health*. 41(1) 6-8. doi:10.1002/nur.21848 [Editorial]
- Lefler, L.L., Jones, S., Harris, B.** (2018). Key strategies for physical activity interventions among older women: Process evaluation of a clinical trial, *American Journal of Health Promotion*. 32(3):561-570. doi: 10.1177/0890117117711340. Epub 2017 Jun 6. [Data-based, Research]
- Tate, L.M., Tsai, P., Landis, R.D., Rettiganti, M., **Lefler, L. L.** (2017). Examining exercise in older adults using the Theory of Planned Behavior and temporal discounting, *Research in Gerontological Nursing*, 10(6), 252-259. doi: 10.3928/19404921-20171013-02. [Data-based, Research]
- Lefler, L.L.** (2017). *Building a Culture of Health through Nursing Research*. *Research in Nursing & Health*. 40(1), 6-8. DOI: 10.1002/nur.21779 [Editorial]
- Lefler, L.L., Hadley, M., Tackett, J., Thomason, A.** (2016). New Cardiovascular Guidelines: Clinical Practice Evidence for the Nurse Practitioner. *Journal of American Academy of Nurse Practitioners*, 28(5), 241-8 doi: 10.1002/2327-6924.12262. Epub, 2015, May 26. [Data-based, Research]
- Lefler, L.L.** (2016) Giving back to your professional organization. [Editorial]. *Res Nurs Health*. Dec;39(6):396-398. doi: 10.1002/nur.21772. Epub 2016 Oct 14.
- Tate, L.M., Tsai, P., Landis, R.D., Rettiganti, M., **Lefler, L. L.** (2015). Temporal Discounting Rates and Their Relation to Exercise Behavior in Older Adults *Physiology and Behavior*, 152, 295-299. doi: 10.1016/j.physbeh.2015.10.003 [Data-based, Research]
- Thomason, A., Capps, N., **Lefler, L. L.**, Richard-Davis, G. (2015). Factors affecting Gynecologic and Sexual Assessment in Older Women: A Lesson for Primary Care Providers. *Healthcare: Special Issue, Nursing Care of the Older Adult*, 3(3): 683-694. doi: 10.3390/healthcare3030683, Epub: <http://www.mdpi.com/2227-9032/3/3/683> [Research, Review]
- Garner, K.K., **Lefler, L.L.**, McSweeney, J.C., Dubbert, P., Sullivan, D.H., Kirchner, J.E. (2015). Hospital executive perceptions of end-of-life care. *Sage Open*. April-June, 1-6. Doi: 10.1177/2158244015590610. [Data-based, Research]
- Lefler, L.L.** (2015). Reflections on the Value of Professional Memberships (Editorial). 2015. *Research in Nursing and Health*. 38(4): 255-56. doi: 10.1002/nur.21669
- Lefler, L.L.** (2014). Commentary on: Disparities in patients presenting to the emergency department with potential acute coronary syndrome: It matters if you are Black or White. *Heart & Lung*, 43, 265-266. [Invited Commentary; Review]
- Lefler, L. L., McSweeney, J. C., & Garner, K. K.** (2013). Missing pieces: Exploring cardiac risk perceptions in older women. *Research in Gerontological Nursing*, 6(2): 107-15. doi 10.3928.19404921-20121217-01 [Data-based, Research]
- Garner, K., Dennis, R., **Lefler, L.**, Padala, P., Padala, K., Dubbert, P.,...Kirchner, J. (2013). Journal of Pain and Symptom Management, 45(2): 431-432 [Brief Report].

- McSweeney, J.C., Pettey, C., **Lefler, L. L.**, Heo, S. (2012) Disparities in heart failure and other cardiovascular diseases among women. *Women's Health Journal*, 8(4): 473-85. [Research, Review]
- West, D., **Lefler, L. L.**, & Franks, A. (2010). Medication adherence in older women with coronary heart disease. *Journal of Women and Aging*, 23(3), 157-170. [Data-based, Research]
- McSweeney, J. C., Cleves, M. A., Zhao, W., **Lefler, L. L.**, & Yang, S. (2010). Cluster analysis of women's prodromal and acute myocardial infarction symptoms by race and other characteristics. *Journal of Cardiovascular Nursing*, 25(4), 311-322. [Data-based, Research]
- McSweeney J. C., O'Sullivan, P., Cleves, M., **Lefler L. L.**, Cody, M., Moser, D. K., Zhao, W. (2010). Racial differences in women's prodromal and acute myocardial infarction symptoms. *American Journal of Critical Care*, 19(1), 63-73. [Data-based, Research]
- Garner, K. K., **Lefler, L. L.**, Kirchner, J. E., & Sullivan, D. H. (2010). Surrogate decision making: Medical and legal implications for healthcare providers. *Clinical Geriatrics*, 18(7/8). [Research Review]
- Lefler, L. L.**, & Nuss, R. (2009). Double jeopardy! Heart disease risk factors for older African American and White women. *MEDSURG Nursing*, 18(6), 347-355. [Research, Review]
- Lefler, L. L.** (2009). Ten commandments of faith-based recruitment. *Research in Gerontological Nursing*, 2(4), 243-250. [Data-based, Research]
- Lefler, L. L.** (2009). Perceived cardiac risk among older, Black and White high-risk women. *Southern Online Journal of Nursing Research*, 9(3). [Data-based, Research]
- McSweeney, J. C., **Lefler, L. L.**, Fischer, E. P., Naylor, A. J., & Evans, L. K. (2007). Women's pre-hospital delay associated with myocardial infarction: Does race really matter? *Journal of Cardiovascular Nursing*, 22(4), 279-87. [Data-based, Research]
- McSweeney, J. C., **Lefler, L. L.**, & Crowder, B. F. (2005). What's wrong with me? Women's coronary heart disease diagnostic experiences. *Progress in Cardiovascular Nursing*, 20(2), 48-57. [Data-based, Research]
- Lefler, L. L.**, & Bondy, K. N. (2004). Women's delay in seeking treatment with myocardial infarction: A meta-synthesis. *The Journal of Cardiovascular Nursing*, 19(4), 251-268. [Research Review]
- Lefler, L. L.** (2004). Perceived risk of heart attack: A function of gender? *Nursing Forum*, 39(2), 18-26. [Research, Critical Analysis, Review]
- Lefler, L. L.** (2002). The advanced practice nurse's role regarding women's delay in seeking treatment with myocardial infarction. *Journal of American Academy of Nurse Practitioners*, 14(10), 496-503. [Research, Review]

## 2. Books/Chapters

McSweeney, J. C., & Lefler, L. L. (2008). Chapter 52: Women and cardiovascular disease. In D. Moser & B. Riegel (Eds.), *Braunwald's cardiac nursing: A companion to Braunwald's heart disease*. Philadelphia: Elsevier.

#### 4. Invited Publications (Not peer-reviewed)

Lefler, L. L. (2012). Annual Conference Update 2013: Expanding networks of knowledge for health care innovations. *Southern Connections Newsletter*, 26(2).

Beach A., Eigenbrodt M., ...Lefler, L., et al. on behalf of the Arkansas Heart Disease and Stroke Prevention Task Force. *Cardiovascular Health: More than just preventing heart disease and stroke! A comprehensive plan for cardiovascular health in Arkansas 2011-2015*. (2011). Little Rock: Arkansas Department of Health, Heart Disease and Stroke Prevention Section. Available: <http://www.healthy.arkansas.gov/programsServices/chronicDisease/HeartDiseaseandStrokePrevention/Pages/DataSources.aspx>

Lefler, L. L., & McSweeney, J. C. (2011). Cardiovascular disease and exercise in older women. *UAMS Medical Center Capsule*, 11(1), 11.

Lefler, L. L., & Shaver, N. (2010) Research Day: Celebrating the scholarship of education, evidence-based practice and research. *Pathways*, 2010, 20-21.

Lefler, L. L. (2010). Research Day, three decades of commitment to nursing in Central Arkansas. *Pathways*.

Shaver, N., & Lefler, L. L. (2009). Research Day 2009 evidence-based practice and research. *Pathways*, 2009.

Lefler, L. L. (2009). RIG update: Gerontology. *Southern Connections Newsletter*, 23(2).

Lefler, L. L. (2009). Website newsflash! *Southern Connections Newsletter*, 23(3).

Lefler, L. L. (2009). How to? SNRS research interest group listserv networking tool. *Southern Connections Newsletter*, 23(3).

#### 5. Published Abstracts: (see presentations as well)

Lefler, L.L., Lensing, S.Y. & Garner, K.K. (2019). Lifestyle Physical Activity in Older Women: Associations of Change, Self-Efficacy, and Well-being. *Innovation in Aging*, 3, Issue S-1, November 2019, Page NP, <https://doi.org/10.1093/geroni/igz038>, Published: 08 November 2019

Lefler, L. L., Rhoads, S. J., Harris, M., Lubin, S. A., Funderburg, A. E., Rooker, J. L. et al. (2018). Abstract 16050: Feasibility and Engagement With Mhealth Monitoring in Rural-Dwelling Older Adults With Heart Failure: A Pilot Study. *Circulation*, 138, A16050. [https://www.ahajournals.org/doi/abs/10.1161/circ.138.suppl\\_1.16050](https://www.ahajournals.org/doi/abs/10.1161/circ.138.suppl_1.16050)

L Lefler, M Harris, S Rhoads, C Beverly, S Lubin, A Funderburg, J Faulkner, I Martel; Evaluating The Use Of Mhealth Technology In Rural-Dwelling Older Adults With Heart Failure, *Innovation in Aging*, Volume 2, Issue suppl\_1, 1 (November 2018), Page 671. <https://doi.org/10.1093/geroni/igy023.2499>

L. Lefler, Jones, S. (2017). Creating a Culture of Health with a Clinical Trial to Promote Physical

Activity. *Virginia Henderson Global Nursing e-Repository*.  
<https://sigma.nursingrepository.org/handle/10755/622440>

**L.Lefler**, McSweeney, J.C., Lensing, S., Garner, K.K., Dubbert, P. (2017) Motivational Interviewing Counseling for Health Behavior Change to Promote Physical Activity in Older Women. American Heart Association Scientific Sessions. *Circulation*, 2017, 136:e448-e467  
[https://professional.heart.org/professional/EducationMeetings/MeetingsLiveCME/ScientificSessions/UC\\_M\\_316935\\_Archive-Scientific-Sessions.jsp](https://professional.heart.org/professional/EducationMeetings/MeetingsLiveCME/ScientificSessions/UC_M_316935_Archive-Scientific-Sessions.jsp)

**Lefler, LL**, McSweeney, JC, Lensing, SY, Garner, KK. (2016). Home-based Lifestyle Physical Activity for Sedentary Older Women: Outcomes from a Clinical Trial. *J of Adv Nursing*, 72(Suppl1). DOI: [10.1111/jan.13078](https://doi.org/10.1111/jan.13078) Presented at the 5th European Nursing Congress, 4-7 October.

**Lefler, LL**, Harris, B., Jones, SL. (2016). Creating a Culture of Health using a Physical Activity Intervention among Older Women. *Circulation*, 134(Suppl 1); [http://circ.ahajournals.org/content/134/Suppl\\_1/A19819](http://circ.ahajournals.org/content/134/Suppl_1/A19819) Presented at Scientific Sessions American Heart Association, November.

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K. K., Dubbert, P.M., Hayman, K.A., Packard, K.A. (2015). Promoting Lifelong Physical Activity: The Lifestyle Physical Activity for Older Women (LPAW) Clinical Trial. *Gerontologist*, 55(Suppl2). Oct 2015. The Gerontological Society of America 68<sup>th</sup> Annual Scientific Meeting; Abstract # 331 DOI: <https://doi.org/10.1093/geront/gnv158>

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K. K., Dubbert, P.M., Hayman, K.A., Packard, K.A. (2015). Promoting Lifelong Physical Activity: The Lifestyle Physical Activity for Older Women (LPAW) Clinical Trial. The Gerontological Society of America 68<sup>th</sup> Annual Scientific Meeting Abstract # 331 DOI: <https://doi.org/10.1093/geront/gnv158>

**Lefler, L.L.**, Garner, K.K., McSweeney, J.C., Lensing, S.Y., Packard, K.A. Dubbert, P., Hayman, K. B. (2014). *Baseline Physical Activity Levels from a Randomized Controlled Trial of a Lifestyle Intervention in Sedentary Older Women*. Southern Nursing Research Society Annual Conference, Abstract Proceedings. www. SNRS.org

Garner, K., Dennis, R., **Lefler, L.**, Padala, P., Padala, K., Dubbert, P. (2013). Opt-out as a recruitment method for enhancing participation in research with chronically and seriously ill patients. *Journal of Pain and Symptom Management*, 45(2), 431-2.

**Lefler, L. L.**, Garner, K. K., McSweeney, J. C., Lensing, S.Y. Hayman, K.B., Packard, K. A. (2013). A randomized controlled clinical trial of a lifestyle intervention in sedentary older women: Preliminary results describing baseline physical activity levels. *Virginia Henderson Global Nursing e-Repository*, www.nursinglibrary.org

Garner, K.K., **Lefler, L.L.** ...& Sullivan, D.H. (2013). Heart Failure Patients Preferences for Communication About End-of-life Care, *Journal of the American Geriatrics Society*, 61(Supplement s1), ii-vi.

**Lefler, L.L.** , Lensing, S.Y., Garner, K.K., McSweeney, J.C. (2013). Improving optimal aging with physical activity: Challenges in quantifying physical activity with tri-axial accelerometers in a randomized controlled clinical trial for older women. *The Gerontologist*, 53(S1): NP  
doi:10.1093/geront/gnt151



- Lensing, S.Y., **Lefler, L. L.**, McSweeney, J. C., Garner, K. K. (2013). Challenges in quantifying physical activity with tri-axial accelerometers in a randomized controlled clinical trial of a lifestyle intervention in sedentary older women. *Society of Clinical Trials Annual Conference, Conference Abstracts*, <http://www.sctweb.org/>
- Lefler, L.L.**, Garner, K. K. (2013). A Typology of Heart Failure Patients' Preferences for EOL Communication with Healthcare Providers. Southern Nursing Research Society Annual Conference, Abstract Proceedings. <http://www.resourcenter.net/images/SNRS/Files/2013/AnnMtg/AbstractProceedings/data/index.htm>
- Lefler, L.L.**, McSweeney, J.C. Garner, K.K. Meaux, J.B. (2012). Perceptions of lifestyle behavior modification among older women with and without coronary heart disease. *The Gerontologist*, 52(S1): NP doi:10.1093/geront/gns201
- Lefler, L.L.**, McSweeney J.C., Meaux, J.B.; Garner, K.K. (2012). Perceptions of lifestyle behavior modification among older women with and without coronary heart disease. Southern Nursing Research Society, Conference Proceedings, <http://www.resourcenter.net/images/SNRS/Files/2012/AnnMtg/AbstractProceedings/start.htm>
- Lefler, L. L.**, McSweeney, J. C., Meaux, J., & Garner, K. K. (2011). Comparing knowledge & attitudes about CHD prevention among older women prior to and after a cardiac event. *Circulation* 124A 17315.
- Lefler, L. L.**, McSweeney, J. C., & Brown, D. F. (2011). Beliefs regarding lifestyle health behaviors among older women in the "stroke belt". The 22nd Annual Nursing Research Congress, Sigma Theta Tau International. *Virginia Henderson International Nursing Library*, <http://hdl.handle.net/10755/150904>
- Lefler, L. L.**, McSweeney, J. C., & Brown, D. F. (2011). Exploring attitude and belief factors for risk factor reduction in older women after cardiac rehabilitation. Southern Nursing Research Society, *Southern Online Journal of Nursing Research*, 11(2), F5-5.
- Lefler, L. L.**, Cho, N., Buron, W., & Rose, K. (2010). JA Hartford Fellows and Scholars symposium: Challenges of caring for aging baby boomers: The challenge of improving risk perceptions among older women for the prevention of coronary heart disease. The Southern Nursing Research Society, *Southern Online Journal of Nursing Research* 10(2).
- Lefler, L. L.** (2009). *Older Black and White women's cardiac risk perceptions*. Gerontological Society of America's 62nd Annual Scientific Meeting, Conference Abstracts, *The Gerontologist*, 48 (suppl 2): 1-532 doi:10.1093/geront/gnp147
- Lefler, L.L.** (2009). X Commandments of faith-based recruitment for older Black and White women. Southern Nursing Research Society Annual Conference Abstracts, *Southern Online Journal of Nursing Research*, 9(2).
- Lefler, L. L.**, West, D., & Franks, A. (2009). Examining medication adherence in older women for secondary prevention of coronary heart disease. Preventive Cardiovascular Nurses Association Annual Conference. *Journal of Cardiovascular Nursing* 24 (4).
- Lefler, L. L.**, West, D., & Franks, A. (2009). Barriers to medication adherence in older women with CHD. *Southern Online Journal of Nursing Research*, 9(2).

**Lefler, L. L., & West, D.** (2008). Medication adherence in older women with coronary heart disease: Preliminary findings. Scholarship Day, *Central Arkansas Veterans Health Care System Program Abstracts*, Little Rock, AR.

**Lefler, L. L., & McSweeney, J. C.** (2008). An intervention to increase accuracy of risk perceptions and knowledge of myocardial infarction symptoms among older, Black and White high-risk women. *Southern Online Journal of Nursing Research* 8(2).

**Lefler, L. L., & McSweeney, J. C.** (2007). Increasing accuracy of risk perceptions and knowledge of myocardial infarction symptoms among older, Black & White high-risk women. *The Gerontologist*, 47(Special Issue 11): 1-839; doi: 10.1093/geront/47.Special\_Issue\_11.1. Also included in the *GSA Task Force on Minority Issues in Gerontology Publication*.

McSweeney, J. C., Cleves, M. A., **Lefler, L. L.**, & Yang, S. (2007). Cluster analysis of women's prodromal and acute myocardial infarction symptoms. *Circulation*, 116(16SII), 676.

**Lefler, L. L.** (2007). A tailored bio-behavioral intervention for elder women at high-risk for coronary heart disease. National Institute on Aging, 2007 Summer Institute on Aging Research Program Abstracts. Washington DC.

**Lefler, L. L.** (2007). A descriptive study highlighting the need for tailored bio-behavioral interventions among older, Southern women at high-risk for CHD. *Southern Online Journal of Nursing Research* 8(2).

McSweeney, J. C., O'Sullivan, P., Cody, M., Kovacs, M., Dunn, M., **Lefler, L. L.**, Green, A. (2007). Comparing Black, Hispanic and White women's prodromal and AMI symptoms. *Circulation* 114(18), 3306.

McSweeney, J. C., O'Sullivan, P., Cody, M., & **Lefler, L. L.** (2006). Black women's symptoms of coronary heart disease. *Southern Online Journal of Nursing Research, Conference Abstracts*.

McSweeney, J. C., O'Sullivan, P., Cody, M., & **Lefler, L. L.** (2005). Black women's symptoms of coronary heart disease. *Circulation*, 112(17), 1915.

McSweeney, J. C., & **Lefler, L. L.** (2005). Comparison of prodromal symptoms in men and women. *Southern Online Journal of Nursing Research Conference Abstracts*, Southern Nurses Research Society [www.snrs.org](http://www.snrs.org)

**Lefler, L. L.** (2004). *Women's delay in seeking treatment with myocardial infarction: A meta-synthesis*. Southern Nurses Research Society 18<sup>th</sup> Annual Conference, Conference Proceedings [www.snrs.org](http://www.snrs.org).

**PRESENTATIONS** (Categorized in sections for International, National, Regional, State, Local paper/podium or poster presentations-refereed and invited)

**International: Referred**

Jeffs, D.A., **Lefler, L.L.** Scott, P., Davis, A.S., Haushalter, A.R., Lear, C.M., Mantle, E.J. (2019). *Nurses as Global Leaders: Improving Population Health through Innovative Nurses on Boards Leadership Education*. Sigma Theta Tau International Research Congress, Calgary, Canada. July. [Podium]

**Lefler, L.L., Jones, S., & Harris, B.** Creating a culture of health with a clinical trial to promote physical activity. (2017). *Sigma Theta Tau International Nursing Research Congress*, Dublin, Ireland. July 29. [Poster]

**Lefler, L.L., McSweeney, J.C., Lensing, S.Y., & Garner, K. K.** (2016). *Home-based lifestyle physical activity for sedentary older women: Outcomes from a Clinical Trial*. Fifth European Nursing Congress: Caring for Older People, October 4-7, Rotterdam, Netherlands. [Podium]

**Lefler, L. L., Garner, K. K., McSweeney, J. C., Lensing, S.Y. Hayman, K.B., Packard, K. A.** (2013). *A randomized controlled clinical trial of a lifestyle intervention in sedentary older women: Preliminary results describing baseline physical activity levels*. Presented at the Sigma Theta Tau International Research Congress, Prague, Czech Republic. [Poster]

#### **National (Refereed):**

**Lefler, L.L., Rojo, M.** (2022, January, [Accepted]). *Advancing Doctoral Education by Teaching about Building a Culture of Health and Equity*. American Association of Colleges of Nursing: Doctoral Education Conference. Naples FL. [Podium Presentation]

Harris, M., Martel, I., Rooker, J., **Lefler, L.L.**, Rhoads, S.J., & Beverly, C.J.. (2020, November). *Advanced Practice Registered Nursing Student Perspectives: Clinical Experiences in the Nursing Home*. National Hartford Center for Gerontological Nursing Excellence Leadership Conference. [virtual].

Vincenzo, J.L., **Lefler, L.L.**, Patton, S.K., & Wei, J. (April, 2020). *Development of a Falls-Prevention Self-Management Plan for Community Dwelling Older Adults*. Annual Clinical and Translational Science Meeting, Washington, D.C. [Poster].

**Lefler, L.L.**, Lensing, S.Y. & Garner, K.K. (2019). *Lifestyle Physical Activity in Older Women: Associations of Change, Self-Efficacy, and Well-being*. Gerontological Society of America, Austin, TX. November. [Poster].

**Lefler, L.L.**, Rhoads, S.J., Harris, M. Funderburg, A.E., Lubin, S. A., Martel, I.D., Faulkner, J.L., Rooker, J.L., & Beverly, C.J. (2018). *Feasibility and Engagement With mHealth Monitoring in Rural-Dwelling Older Adults With Heart Failure: A Pilot Study*. American Heart Association Scientific Sessions, Chicago, IL, November. [Poster]

**Lefler, L.L.**, Rhoads, S.J., Harris, M. Funderburg, A.E., Lubin, S. A., Martel, I.D., Faulkner, J.L., Rooker, J.L., & Beverly, C.J. (2018). *Evaluating the Use of mHealth Technology in Rural-Dwelling Older Adults With Heart Failure*, Gerontological Society of America, Boston, MA. November. [Poster]

Harris, M., Declerk, L., Hutchison, L., **Lefler, L.L.**, White, L., Schafer, P. (2018, July). *Lessons Learned: The use of innovative technology in interprofessional curriculum for care of rural and underserved older adults with late-life depression*. 2018 Nexus Summit for Interprofessional Education, Minneapolis, MN. [skills-based workshop, Podium].

Davis, A.S., Jeffs, D., Scott, P., **Lefler, L.** (2018). *Examining Barriers and Facilitators to Integrating Culture of Health in Nursing Curricula: A Delphi Study*. Sigma Theta Tau International Nursing Education Research Conference. Washington, DC, 4/18. [Poster]

**Lefler, LL**, McSweeney, JC, Lensing, SY, Garner, KK. Dubbert, P. (2017). *Motivational Interviewing*

*Counseling for Health Behavior Change to Promote Physical Activity in Older Women*, Scientific Sessions, American Heart Association. November, 2017. [national/international presentation]. *Circulation*, Volume 136, Issue Suppl 1, November 14, 2017. [Podium]

**Lefler, L.L.**, Harris, B., Jones, S.L. (2016). Creating a Culture of Health using a Physical Activity Intervention among Older Women. *Circulation*, 134(Suppl 1); [http://circ.ahajournals.org/content/134/Suppl\\_1/A19819](http://circ.ahajournals.org/content/134/Suppl_1/A19819) Presented at Scientific Sessions American Heart Association, November. [Podium]

**Lefler, L.L.**, Harris, M., Beverly, C...Koss, C. Improvement of Geriatric Care in Medically Underserved and Rural Areas: An Interprofessional Program. Gerontological Society of America 69th Annual Conference. New Orleans, LA. 2016, November [Poster].

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K.K., Dubbert, P.K., Hayman, K., Packard, K.A. (2015) Promoting Lifelong Physical Activity: The Lifestyle Physical Activity for Older Women (LPAW) Clinical Trial. The Gerontological Society of American Annual Conference, Orlando, FL.[Podium]

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K.K., Dubbert, P.K., Packard, K.A. (2015) The Lifestyle Physical Activity for Sedentary Older Women (LPAW) Study: Primary Outcomes from a Randomized Controlled Clinical Trial. American Heart Association Scientific Sessions, Orlando, November. *Circulation*, November 10, 2015, Volume 132, Issue Suppl 3 [http://circ.ahajournals.org/content/132/Suppl\\_3/A15978](http://circ.ahajournals.org/content/132/Suppl_3/A15978) [Podium]

**Lefler, L.L.** , Lensing, S.Y., Garner, K.K., McSweeney, J.C., (2014) An intervention to increase lifestyle, physical activity in sedentary older women. Gerontological Society of America Annual Conference, Washington, D.C., November. [Poster]

Lensing, S.Y., **Lefler, L. L.**, McSweeney, J. C., Garner, K. K. (2013). Challenges in quantifying physical activity with tri-axial accelerometers in a randomized controlled clinical trial of a lifestyle intervention in sedentary older women. Society of Clinical Trials Annual Conference. Boston, MA, May. [Poster]

Garner, K.K., **Lefler, L.L.** Sullivan, D.H. Heart Failure Patients Preferences for Communication About End-of-life Care, (2013) Annual Scientific Meeting of the American Geriatrics Society, Grapevine, TX. May. [Podium]

Garner, K.K., **Lefler, L.L.**, Dennis, R.A., Padala, P.R., Padala, K.P., Bopp, M.M., Dubbert, P.M., Kirchner, J.E., Sullivan, D.H. (2013). Opt-Out as a Recruitment Method of Enhancing Participation in Research in Chronically Ill Populations. American Academy of Hospice and Palliative Medicine, New Orleans, LA. [Podium]

**Lefler, L.L.** , Lensing, S.Y., Garner, K.K., McSweeney, J.C. (2013). Improving optimal aging with physical activity: Challenges in quantifying physical activity with tri-axial accelerometers in a randomized controlled clinical trial for older women. Gerontological Society of America Annual Conference, New Orleans, LA, November. [Poster]

Garner, K.K., **Lefler, L.L.**, McSweeney, J.C., Dubbert, P. et al. (2013). Heart Failure Patients Preferences for Communication about End-of-life Care. 2013 Annual Scientific Meeting of the American Geriatrics Society. Dallas, Tx. May [Poster]

**Lefler, L.L.** McSweeney, J.C., Meaux, J.B., Garner, K.K. (2012). Perceptions of lifestyle behavior modification among older women with and without coronary heart disease. Poster Session at the Gerontological Society of American Annual conference, San Diego, CA, November. [Poster]

**Lefler, L.L.,** McSweeney, J.C. Garner, K.K. Meaux, J.B. Perceptions of lifestyle behavior modification among older women with and without coronary heart disease. (2012). Gerontological Society of America 65th Annual Scientific Meeting, San Diego, CA., Nov [Podium]

**Lefler, L.L.,** McSweeney, J.C., Meaux, J., Garner, K.K. (2011). Comparing knowledge and attitudes about CHD prevention among older women prior to and after a cardiac event. American Heart Association Scientific Sessions. [Podium]

**Lefler, L. L.** Older Black and White women's cardiac risk perceptions. (2009). Poster session presented at the Gerontological Society of America's 62nd Annual Scientific Meeting, Atlanta, GA, Nov [Podium]

**Lefler, L.L.,** West, D., Franks, A. 2009 Examining medication adherence in older women for secondary prevention of coronary heart disease. Preventive Cardiovascular Nurses Association Annual Conference. Dallas, TX. April 17. 2009. [Poster]

**Lefler, L.L.** (2009). Older Black and White Women's Cardiac Risk Perceptions. [Poster Presentation]. The Gerontological Society of America's 62nd Annual Scientific Meeting, Atlanta, GA, November 18-22, 2009. [Poster]

**Lefler, L.L.** X Commandments of faith-based recruitment for older Black and White women. 2008 Gerontological Society of America Annual Conference, Symposium Presentation Washington, D.C. November 24, 2008. [Podium]

**Lefler, L.L., West, D., Franks, A.** (2008). Medication adherence in older women with coronary heart disease: Final Results. Gerontological Society of America Annual Conference, Symposium Presentation, Washington, D.C. November 22, 2008. [Podium]

**Lefler, L.L. & McSweeney, J.C.** (2007). Increasing accuracy of risk perceptions and knowledge of myocardial infarction symptoms among older, black & white, high-risk women. (2007). Gerontological Society of America 60th Annual Scientific Meeting, San Francisco, November 16-21. [Podium]

McSweeney, J.C., Cleves, M.A., **Lefler, L.L.,** Yang, S. (2007) Cluster analysis of women's prodromal and acute myocardial infarction symptoms. American Heart Association Scientific Sessions, 2007, chosen for Scientific Sessions' satellite broadcast, "The Best of Sessions 2007". Orlando, November 4-7. [Podium]

#### **Regional: Presentations (Refereed)**

**Lefler, L.L.,** Rhoads, S., Harris, M. (2021). *Using Technology in Research To Address Diverse Care Needs: Tips from the Trenches*. Session B5-1. Southern Nursing Research Society Annual Conference. March 2021.

Stane, J., **Lefler, L.L.,** Smith-Olinde, L. (2020). *Poverty Simulation: An Interprofessional Education Experience to Foster a Culture of Health Among Faculty and Students*. Arkansas Public Health Association Conference 2020, April [Poster].

**Lefler, L.L. & Rhoads, S.** (2019). *Acceptance of Older Adults to use mHealth equipment for Heart Failure Management*. South-Central Telehealth Forum 2019: Nashville, TN, August. [Podium].

**Lefler, L.L.,** Rhoads, S., & Harris, M. (2019). Feasibility of mHealth Technology to Improve Self-

Management of Heart Failure in Older Adults. Session PS II-18. [Poster].

**Lefler, L.L.**, Hassmiller, S., Scott, P., Walton, A., & Marino, L. (2018). *The Future of Nursing & Nursing Science in Population Health*. [Special Session, Plenary Session]. Southern Nursing Research Society 32<sup>nd</sup> Annual Conference, Atlanta, GA. March. [Podium]

Harris, M., **Lefler, L.**, Beverly, C. et al. (2017, Feb.). *Advanced practice nursing student perspectives on rural clinical experiences and older adults with health disparities*. Southern Nursing Research Society 31st annual conference, Dallas, TX. February. [Podium]

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K.K., Dubbert, P.K., (2016) *A Motivational Interviewing Intervention to Improve Lifestyle Physical Activity (LPA) in Older Women: Results from a Randomized Controlled Clinical Trial*. Southern Nursing Research Society Annual Conference, Virginia, February. [Podium]

Rhoads, S.J., Funderburg, A., Lynch, C., Buron, W., Harris, M., Bush, E., **Lefler, L.**, Fontanilla, J. & Beverly, C. (2016) *A New Level of Understanding: mHealth use and Training for Nurse Practitioner Students*. 2016 UAMS Teaching with Technology Symposium. Little Rock, AR. [Podium]

**Lefler, L.**, Harris, M., Lubin, S., Koss, C., James, K., Rhoads, S.J. & Beverly, C. (2016). Development of on-line education for preceptors. 2016 UAMS Teaching with Technology Symposium. Little Rock, AR. [Podium]

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K.K., Dubbert, P.K., (2016) *A Motivational Interviewing Intervention to Improve Lifestyle Physical Activity (LPA) in Older Women: Results from a Randomized Controlled Clinical Trial*. Southern Nursing Research Society Annual Conference, Virginia, February. [Podium]

**Lefler, L.L.**, Garner, K.K., McSweeney, J.C., Lensing, S.Y., Packard, K.A. Dubbert, P., Hayman, K. B. (2014). *Baseline Physical Activity Levels from a Randomized Controlled Trial of a Lifestyle Intervention in Sedentary Older Women*. Southern Nursing Research Society Annual Conference, San Antonio, TX [Podium]

**Lefler, L.L.**, Garner, K. K. *A Typology of Heart Failure Patients' Preferences for EOL Communication with Healthcare Providers*. (2013). Southern Nursing Research Society Annual Conference, Little Rock, AR. [Podium]

**Lefler, L.L.**, McSweeney J.C., Meaux, J.B.; Garner, K.K. (2012). *Perceptions of lifestyle behavior modification among older women with and without coronary heart disease*. Southern Nursing Research Society, New Orleans, LA [Podium]

**Lefler, L.L.**, McSweeney, J.C., Brown, D. (2011). *Exploring attitude and belief factors for risk factor reduction in older women after cardiac rehabilitation*. Southern Nurses Research Society Annual Conference, Jacksonville FL. [Podium]

Souder, E., **Lefler, L.**, Lubin, S., Beck, C., & Beverly, C. (2011). Jumping into the digital age with POGOe and HIGN. Poster session presented at Southern Regional Education Board, Council on Collegiate Education for Nursing 2011 Annual Meeting, Atlanta, GA. [Poster]

**Lefler, L.L.** Buron, B., Chu, N.L., Rose, K.M. (2010). Symposium Coordinator & Presenter: JA Hartford Fellows and Scholars Symposium: Challenges of Caring for Aging Baby Boomers; *The*

*Challenge of Improving Risk Perceptions among Older Women for the Prevention of Coronary Heart Disease.* [Podium]

**Lefler, L.L.** (2009). Circumventing Recruitment Potholes: Recruitment of Older Adults for Research Studies, [Symposium presentation]. X Commandments of faith-based recruitment for older Black and White women. *Southern Nursing Research Society Annual Conference*, Baltimore, MD. Feb. [Podium]

**Lefler, L.L.**, West, D., Franks, A. (2009) Barriers to medication adherence in older women with CHD. (2009). *Southern Nursing Research Society Annual Conference*, Baltimore, MD, February 12, 2009. [Podium]

**Lefler, L.L.** & McSweeney, J.C. (2008). *An intervention to increase accuracy of risk perceptions and knowledge of myocardial infarction symptoms among older, Black and White high-risk women.* Southern Nursing Research Society 2008 Annual Conference, February 21-23, Birmingham, AL. [Podium]

McSweeney, J.C., Cleves, M.A., **Lefler, L.L.**, Yang, S. (2008). *Cluster analysis of women's prodromal and acute myocardial infarction symptoms.* Southern Nursing Research Society Annual Conference, Plenary Session, "Best of Sessions" Birmingham, AL. [Podium]

**Lefler, L.L.** (2007). *A descriptive study highlighting the need for tailored biobehavioral interventions among older, Southern women at high-risk for CHD.* Symposium presentation, Southern Nursing Research Society, February, 22-24. [Podium]

McSweeney, J.C., O'Sullivan P., Cody, M., Kovacs, M., Dunn, M., Wei, J., **Lefler, L.L.** (2007) *Black, Hispanic and White women's symptoms of coronary heart disease.* Southern Nursing Research Society, February, 22-24, 2007. [Podium]

McSweeney, J.C., O'Sullivan, P., Cody, M., **Lefler, L.L.** (2006) *Black women's symptoms of coronary heart disease.* [Co-Presented, paper presentation]. Southern Nursing Research Society 20<sup>th</sup> Anniversary Conference, Memphis, TN, Feb 2-4. [Podium]

McSweeney, J.C. & **Lefler, L.L.** (2005). *Comparison of prodromal symptoms in men and women.* Paper Presentation. Southern Nurses Research Society 19<sup>th</sup> Annual Conference, Atlanta, GA. [Podium]

**Lefler, L. L.** Women's delay in seeking treatment with myocardial infarction: A meta-synthesis. (2004). Poster session presented at the Southern Nurses Research Society 18th Annual Conference, Louisville KY. [Poster]

#### State/Local Presentations (Refereed)

**Lefler, L.L.** (2020, September) *mHealth for Heart Failure Management: Innovative Care Of Older Adults With Chronic Heart Failure (i-COACH).* Geriatric Research, Education & Clinical Center, Central Arkansas Veterans Healthcare Center.

**Lefler, L.L.** & Rhoads, S. (2020, February). *Overcoming Roadblocks to Patient Compliance: Special Needs of the Rural Population,* Arkansas Heart Failure Conference presented by the American Heart Association. [Podium]

**Lefler, L.L.**, Stane, J., Smith-Olinde, L. (2020, February). *Supporting a Culture of Health Using the Community Action Poverty Simulation.* Teach the Teacher Annual Conference, University of Arkansas for Medical Sciences. [Poster].

Stane, J., **Lefler, L.L.**, Smith-Olinde, L. (2020, February). *Poverty Simulation: An Interprofessional Education Experience to Foster a Culture of Health Among Faculty and Students*. Arkansas Public Health Association Conference 2020, April [Poster].

**Lefler, L.L.**, Rhoads, S.J., Harris, M., Beverly, C.J., Rooker, J.L., Martel, I.D. (2019, April). *Feasibility of mHealth Technology to Improve Self-Management of Heart Failure in Older Adults*. Arkansas Nursing Research Conference. [Poster].

Thomason, A. & **Lefler, L.L.** (2017, April). *Gynecologic and Sexual Wellbeing of Older Women in Senior Retirement Settings*, Arkansas Nursing Research Conference, UAMS, April, 21, 2017.

**Lefler, L.L.** & Scott, P. *From Vision to Action! Mobilizing Nurses to Transform Health in Arkansas*. (2016, April). Arkansas Chronic Disease Forum, Benton, AR.

**Lefler, L.L.** & Scott, P. (2016, May). *Building a Culture of Health in Arkansas*, Arkansas Public Health Association annual conference, Hot Springs, AR.

**Lefler, L.L.**, McSweeney, J.C., Lensing, S.Y., Garner, K.K. (2016, April). *A Motivational Interviewing Intervention to Improve Lifestyle Physical Activity in Older Women: Results from a Clinical Trial*. Presentation for Nursing Research Conference, University of Arkansas for Medical Sciences, April, Little Rock.

2011 **Lefler, L. L.**, Meaux, J. B., McSweeney, J. C., & Brown, D. *Exploring attitude and belief factors for risk factor reduction in older women after cardiac rehabilitation*. Presented at Research Day, College of Nursing, University of Arkansas for Medical Sciences, Little Rock, AR.

2008 **Lefler, L. L.**, West, D., & Franks, A. *Barriers to medication adherence in older women with coronary heart disease: Preliminary findings*. Presented at Scholarship Day, Central Arkansas Veterans Health Care System, Arkansas Children's Hospital, UAMS College of Nursing, Sigma Theta Tau Gamma Xi Chapter. Little Rock, AR.

2007 **Lefler, L. L.** *An intervention to increase accuracy of risk perceptions and knowledge of myocardial infarction symptoms among older, black & white, high-risk women*. Presented at the Evidence for Practice, University of Arkansas for Medical Sciences Annual Research conference, Little Rock, AR.

2004 **Lefler, L. L.** *Women's delay in seeking treatment with myocardial infarction*. Paper session presented at the Sigma Theta Tau, Kappa Rho, Tri-Chapter Regional Conference

2002 **Lefler, L. L.** *The registered nurse's role regarding women's delay in seeking treatment with myocardial infarction*. Paper session presented at the Sigma Theta Tau, Kappa Rho Chapter Spring Meeting, Little Rock, AR.

#### **Invited (Not Peer-reviewed)**

#### **Media:**

2021 University of Arkansas for Medical Sciences. Graduate School Video Series [for advertising]. <https://www.dropbox.com/s/p59ct3p9dg6cglv/Nursing%20Science.mp4?dl=0>; Tremaine B. Williams, Ed.D; Assistant Dean & Assistant Professor, UAMS Graduate School



- 2018-present Federal Reserve Bank of St. Louis Industry Councils Appointment  
<https://www.stlouisfed.org/news-releases/2018/09/06/leanne-l-lefler-joins-st-louis-fed-health-care-industry-council>.
- 2017, November: Profile of Nurse Leaders, Campaign for Action, Center to Champion Nursing in America. <https://campaignforaction.org/she-raised-her-hand-in-class-and-the-rest-was-nursing-history/>
- 2016, February: Interview for Nurse.com; for profile edition on Leaders in Nursing. Available: [https://news.nurse.com/2016/02/29/game-changers-nurses-are-forging-an-evolution-in-their-communities/?utm\\_source=twitter&utm\\_medium=social&utm\\_campaign](https://news.nurse.com/2016/02/29/game-changers-nurses-are-forging-an-evolution-in-their-communities/?utm_source=twitter&utm_medium=social&utm_campaign)
- 2016, January 5: LITTLE ROCK — Developing an innovative approach that helped older women incorporate physical activity into their daily lives has led to national award for Leanne Lefler, Ph.D., A.P.R.N., an associate professor in the University of Arkansas for Medical Sciences (UAMS) College of Nursing. <https://nursing.uams.edu/uncategorized/leanne-lefler-phd-named-breakthrough-leader-in-nursing-for-helping-older-women-become-more-physically-active/>
- 2015, February: Public Health Minute from the University of Florida College of Public Health and Health Professions, Bill Latimer. Interview about increasing physical activity. Radio spot for Florida that ran for a month. <http://wp.lehman.edu/public-health-minute-with-william-latimer/physical-activity-intervention-for-older-sedentary-women-leanne-lefler-phd-university-of-arkansas-for-medical-science/>
- 2013, June: Webinar coordinator and emcee (AACN archived). "Overcoming Barriers to the Integration of Gerontology Content in Undergraduate Nursing Programs: Lessons Learned Post-GNEC" Dr. Beth Barba, PhD, RN, FAGHE, FAAN, Professor, University of North Carolina Greensboro; Dr. Joan Stanley, PhD, CRNP, FAAN, FAANP, Senior Director of Education Policy for AACN, Dr. Mathy Mezey EdD, RN, FAAN Professor Emerita, Senior Research Scientist Associate Director, The Hartford Institute for Geriatric Nursing, New York University; Dr. Leanne Lefler PhD, ACNS-BC, APN Associate Professor & Education Leader, Hartford Center for Geriatric Nursing Excellence, UAMS; <https://www.johnahartford.org/dissemination-center/view/overcoming-barriers-to-the-integration-of-gerontology-content-in-undergrad>; <http://community.aacn.nche.edu/registration/register.cfm?reg=593&evt=GNEC0612&t=&t=1531872000000&t=&t=1596224997913>

#### **National Presentations: (Invited)**

- 2015 Thomason, A.P., & Lefler, L.L. *Sexual Activity and Gynecologic Health Care in Older Women in Senior Retirement Settings: Theoretical Framework and Methodology*. National Hartford Center of Gerontological Nursing Excellence Nursing Leadership Annual Conference, Orlando, FL, November. [Poster]
- 2014 Lefler, L. L. Cardio Vascular Seminar: Improving MI response from onset through discharge. *Factors Influencing Patient Decision Making During Symptoms of MI*. American Heart Association Scientific Sessions, Chicago, IL. Nov, 2014 [Podium]
- 2011 Souder, E. & Lefler, L.L. *Educational Initiative for the UAMS College of Nursing Hartford Center for Geriatric Nursing Excellence*, John A Hartford Foundation, program review and site visit. [Podium]

2011 **Lefler, L. L.** *Adherence to medications: Older women with coronary heart disease.* Poster session presented at the John A. Hartford Foundation Annual Communication Conference, Chicago, IL. [Poster]

2010 **Lefler, L.L.** Table Moderator, *Behavioral Interventions.* JAH Leadership Conference, New Orleans, LA. [Podium]

2009 **Lefler, L. L.** *Testimonial: Importance of the JAH Foundation.* Presented at the John A. Hartford Foundation, Hartford Geriatric Nursing Initiative, National Program Evaluation, funding re-evaluation.

2009 **Lefler, L. L.** *Exploring cardiac risk perceptions in older women.* Poster session presented at the John A. Hartford Annual Leadership Conference, Atlanta, GA. [Poster]

2009 **Lefler, L. L.** *Testimonial: The need to enhance the geriatric competence of nurses in the acute care setting.* Presented at the Robert Wood Johnson Foundation, Initiative on the Future of Nursing, Institute of Medicine. [Webinar]

2005 **Lefler, L. L.** *Women's delay in seeking treatment with myocardial infarction: A meta-synthesis.* Poster session presented at the John A. Hartford Annual Leadership Conference, Orlando, FL. [Poster]

#### **Regional Presentations: (Invited)**

2022 **Lefler, L.L.** **Writing the Perfect Abstract,** Doctoral Student Workshop Preconference, Southern Nursing Research Society, February 2022, New Orleans

2021 **Lefler, L.L.** **Advancing Your Science While Mentoring the Next Generation.** Southern Nursing Research Society, March. [Virtual Conference].

2020 **Lefler, L.L.** *Overcoming roadblocks to patient compliance and engagement.* Arkansas Heart Failure Conference. Clinton Presidential Center, Little Rock, February 6. [Podium]

2019 **Lefler, L.L.** *Nurses on Boards Training: A Tri-State Initiative. Culture of Health: More Than Just Health Care.* Presented podium **Keynote**, panel presentation, & board simulation as part of a training conference sponsored by the Centers of Nursing Excellence/Action Coalitions in Arkansas, Missouri, Tennessee. Memphis, TN. October. [Podium, Keynote, Panel Participant].

2018 **Lefler, L.L.** *Nurses on Boards Training: A Tri-State Initiative. Culture of Health: More Than Just Health Care.* Presented podium keynote and panelist as part of a training conference sponsored by the Centers of Nursing Excellence/Action Coalitions in Arkansas, Missouri, Tennessee. Branson, MO. October. [Podium, **Keynote**, Panel Participant].

2018 **Lefler, L.L. & Ashcraft, P.A.** *Writing a Great Abstract.* Invited presentation given at the Southern Nursing Research Society Conference, Student Workshop, Atlanta, GA.

2018 **Lefler, L.L.** (August) Distinguished Visiting Professor Lecture. University of Tennessee Health Science Center. (Invited). **KeyNote.** *Coloring Outside the Lines: Building a Culture of Health. 2 CH*

2017 **Lefler, L.L.** *Writing a Great Abstract.* Invited presentation given at the Southern Nursing Research Society Conference, Student Workshop; Dallas, TX.

2017 **Lefler, L.L.** Arkansas & Missouri, *Nurses on Boards Training*, Podium Presentation, & Panel Discussant, Board Member & Committee to develop/plan/carryout this conference. Branson, MO

2016 Harris, M. Beverly, C., **Lefler, L.**, Rhoads, S., Buron, B. *Geriatric Advanced Practice: Action-Oriented Research*. Southern Nursing Research Society Annual Conference, Richmond, VA.

2016 Harris, M., Buron, W., Funderburg, A., Lynch, C., **Lefler, L.** Fontanilla, J. & Beverly, C. *mHealth & Nursing Students*. South Central Telehealth Forum. Nashville, TN.

2015 **Lefler, L.L.**, Beck. C. National Hartford Center for Gerontological Nursing Excellence/Hartford Institute for Geriatric Nursing Workshop. *Grant Writing-Specific Aims*. Presented as a CE preconference prior to the Southern Nursing Research Society Annual Conference, Tampa, FL.

2014 **Lefler, L.L.** UAMS Hartford Center for Geriatric Nursing Excellence/Iowa Hartford Institute for Geriatric Nursing Grant Writing Summer Intensive Workshop. *Subject Recruitment Plan, IRB Issues, Recruiting Elders, Minority Subjects and other Considerations*. Little Rock, AR

2014 **Lefler, L.L.**, Beck. C. National Hartford Center for Gerontological Nursing Excellence/Hartford Institute for Geriatric Nursing Workshop. *Grant Writing-Specific Aims*. Presented as a CE preconference prior to the Southern Nursing Research Society Annual Conference, San Antonio, TX.

2013 **Lefler, L.L.**, Beck. C. National Hartford Center for Gerontological Nursing Excellence/Hartford Institute for Geriatric Nursing Workshop. *Grant Writing-Specific Aims*. Presented as a CE preconference prior to the Southern Nursing Research Society Annual Conference, Little Rock, AR.

2007 **Lefler, L.L.** John A. Hartford Foundation Pre-doctoral and post-doctoral training opportunities, general session: Funding panel. Presented at the Southern Nursing Research Society Annual Conference, Galveston, TX.

#### **State/Local Presentations (Invited)**

2020 **Lefler, L.L.** (March). *iCOACH Study: Engagement from Cardiology*. Department of Cardiology, Faculty meeting. UAMS.

2020 **Lefler, L.L.** (February). *Tips for Educational Grant Writing*, Teaching Scholars Presentation, Office of Educational Development, UAMS.

2019 **Lefler, L.L.** (December). CNO's State of Nursing, UAMS. *Using Clinical Research to Improve Patient Care*. UAMS Hospital. [Podium].

2019 **Lefler, L.L.** (August). UAMS Community Research Showcase, sponsored by the Translational Research Institute. *Feasibility of mHealth Technology to Improve Self-Management of Heart Failure in Older Adults*. [Poster].

2019 **Lefler, L.L.** (September). *Research and Digital Health*, College of Nursing, Alumnae Association Annual meeting, UAMS. [Podium].

2018 **Lefler, L.L.**, (April). *CVD Prevention Guidelines: Focus On Lifestyle First*, NUSC 5871 Adult/Gerontology Acute Care Nurse Practitioner and Primary Care Adult Gerontology NP students.

2018 **Lefler, L.L.** (April). *From Evidence to Action! Mobilizing Nurses to Transform Health*. [Keynote] Sigma Theta Tau Regional Conference, Arkansas State University. April, 10.

2017 **Lefler, L.L.** (February). *Taking Care of Your Heart!* Presentation made to the Departmental Club of Little Rock. Little Rock Country Club.

2017 **Lefler, L.L.** (September). *Culture of Health: Leading Change & Building a Healthier America*, Presentation at the UAMS College of Nursing Faculty Assembly

2017 **Lefler, L.L.** (2017, September). *Culture of Health: Leading Change & Building a Healthier America*. Arkansas. Collaboration for Older Persons and Mental Health Initiative Interprofessional Workshop Conference. University of Arkansas for Medical Sciences. September, 7.

2017 **Lefler, L.L.** (2017, August). *Building a Culture of Health: Interdisciplinary Leadership Required!* Collaborate recording for UAMS Doctorate of Nursing Practice students (DNP).

2017 **Lefler, L.L.** Gillihan, C. (2017, July). *Academic Progression, Culture of Health and Nurse Residency Programs* Update, Arkansas Organization of Nurse Executives, July, 14, 2017.

2017 **Lefler, L.L.** (2017, April). *Building Blocks: Cardiovascular Research for Translation to Practice*. [Keynote]. Sigma Theta Tau Regional Conference, University of Arkansas at Fayetteville.

2017 **Lefler, L.L.**, (2017, April). *CVD Prevention Guidelines: Focus On Lifestyle First*, NUSC 5871 Adult/Gerontology Acute Care Nurse Practitioner Theory II & Primary Care Adult/Gero Nurse Practitioner Students

2016 **Lefler, L.L.** *Envisioning Nursing Education Curriculum to Transform the Future of Nursing*: CE Workshop, on planning team and presenter. Arkansas Children's Hospital, May 23, 2016.

2016 **Lefler, L.L.**, *CVD Prevention Guidelines: Focus On Lifestyle First*, NUSC 5871 Adult/Gerontology Acute Care Nurse Practitioner Theory II.

2015 **Lefler, L.L.**, *CVD Prevention Guidelines: Focus On Lifestyle First*, NUSC 5871 Adult/Gerontology Acute Care Nurse Practitioner Theory II. April, 2016.

2015 **Lefler, L.L.** *How to Write an Excellent Abstract*. Presentation for the Growing Our Own in the Delta (GOOD) grant scholars. Bryant, Principal Investigator. July, 2015. UAMS.

2015 **Lefler, L. L.**, Garner, K. K., McSweeney, J. C., Lensing, S.Y. Hayman, K.B., Packard, K. A. *Insights from the Lifestyle Physical Activity (LPA) for Older Women trial*. Presentation at the Central Arkansas Veterans Hospital, Geriatric Research, Education, and Clinical Center. North Little Rock.

2015 Beverly, C.J. & **Lefler, L.L.** *Hartford Center of Geriatric Nursing Excellence*. PhD Student Orientation. May, 2015.

2015 **Lefler, L.L.**, *CVD Prevention Guidelines: Focus On Lifestyle First*, NUSC 5871 Adult/Gerontology Acute Care Nurse Practitioner Theory II. April, 2015.

2015 Garner, K.K., **Lefler, L.L.** *Characterizing Heart Failure Patients' Preferences for Communication and Decisions about End-of-Life Care*. Presentation made at Geriatric Grand Rounds, Institute on Aging, University of Arkansas for Medical Sciences, January.

2014 **Lefler, L. L.**, Garner, K. K., McSweeney, J. C., Lensing, S.Y., Packard, K.A., Dubbert, P., Hayman, K.B. *Physical activity in prevention guidelines for older adults and a behavioral lifestyle RCT in older women using primary care clinics at UAMS*. Presentation made at UAMS CardioVascular Center, University of Arkansas for Medical Sciences.

2014 **Lefler, L.L.**, *Meta-Synthesis Development*. Guest Lecture, NUSC 6323 Synthesizing the Literature Doctoral Class, University of Arkansas for Medical Sciences, College of Nursing.

2014 **Lefler, L.L.**, *CVD Prevention 2014: Focus On Lifestyle First*, NUSC 5871 Adult/Gerontology Acute Care Nurse Practitioner Theory II. April, 2014.

2014 **Lefler, L. L.**, Garner, K. K., McSweeney, J. C., Lensing, S.Y. Hayman, K.B., Packard, K. A. *A randomized controlled clinical trial of a lifestyle intervention in sedentary older women: Preliminary results describing baseline physical activity levels*. UAMS Poster Concourse [Poster]

2013 **Lefler, L.L.**, McSweeney J.C., Meaux, J.B.; Garner, K.K. *Perceptions of lifestyle behavior modification among older women with and without coronary heart disease*. UAMS Poster Concourse [Poster]

2013 **Lefler, L.L.** Doctoral Student Orientation, *Doctoral Education Top Tips*, May.

2013 **Lefler, L. L.**, Garner, K. K., McSweeney, J. C., Lensing, S.Y., Packard, K.A., Dubbert, P., Hayman, K.B. *Implementing a clinical trial to increase physical activity in sedentary older women: Feasibility and preliminary results*. Presentation made at Geriatric Grand Rounds, University of Arkansas for Medical Sciences.

2013 **Lefler, L. L.**, Lensing, S.Y., McSweeney, J. C., Garner, K. K. *Challenges in quantifying physical activity with tri-axial accelerometers in a randomized controlled clinical trial of a lifestyle intervention in sedentary older women*. Presentation made at the Geriatric Research, & Education Clinical Center, Central Arkansas Veterans Health System.

2012 **Lefler, L. L.**, West, D., & Franks, A. *Medication adherence in older women with coronary heart disease*: UAMS Poster Concourse. [Poster]

2012 **Lefler, L. L.**, Garner, K. K., & Duppert, P. *Mixed Methods Research for Older Adults with Heart Disease*, Symposium. Cardiology Grand Rounds, University of Arkansas for Medical Sciences.

2012 **Lefler, L.L.** *Take Charge Over Heart Disease: Coding for Health Promotion.*, American Academy of Professional Coders, Little Rock Central Chapter (CEs awarded).

2012 **Lefler, L. L.**, Pettey, T. *Doctoral Studies & the Top 20 Tips for Doctoral Students*. Presented for Doctoral Student Orientation, College of Nursing, University of Arkansas for Medical Sciences.

2012 Bennett, W. & **Lefler, L.L.** *Reducing central line infection with the use of ethanol lock therapy*. Research Day, College of Nursing, UAMS.

2012 Glover, K. & **Lefler, L.L.** *Door-to-balloon time using cardiac catheterization teams: Does it reduce time to treatment?* Research Day, College of Nursing, UAMS.

2012 Waters, C. & **Lefler, L.L.** *Is the "No-Show" rate of patients with sexually transmitted infections affected by an appointment system schedule versus a "walk-in" system?* Research Day, College of Nursing, UAMS.

2011 **Lefler, L. L.** *Pre-doctoral and post-doctoral fellowships and grant mechanisms for new investigators.* Presented at UAMS College of Nursing Grant Writing Class, Little Rock, AR.

2011 **Lefler, L.L.** *Doctoral Studies & the Top 20 Tips for Doctoral Students.* Presented for Doctoral Student Orientation, College of Nursing, University of Arkansas for Medical Sciences.

2011 **Lefler, L. L.** *Host and master of ceremonies.* UAMS College of Nursing Research Day, Little Rock, AR.

2011 **Lefler, L. L.** *Exploring attitude and belief factors for risk factor reduction in older women after cardiac rehabilitation.* Presentation for Geriatric Research, Education and Clinical Center Research Conference, Central Arkansas Veterans Healthcare System, Little Rock, AR.

2011 **Lefler, L. L.** *Research and Leadership Outcomes of Postdoctoral Fellowship,* John A. Hartford Annual Site Visit, University of Arkansas for Medical Sciences.

2011 **Lefler, L.L.** *A behavioral intervention to decrease metabolic syndrome among older women,* Research Forum, UAMS College of Nursing.

2010 **Lefler, L.L.** (2010). Table Moderator, *Behavioral Interventions.* JAH Leadership Conference, New Orleans, LA, Nov.

2010 **Lefler, L. L.** *Missing pieces: Exploring cardiac risk perceptions in older women.* Presented at Grand Rounds, UAMS Institute on Aging, Little Rock, AR.

2010 **Lefler, L. L.** *Cardiac risk perception in older women: Implications for practice.* Presented at UAMS Rural Hospital Compressed Video Program statewide, Little Rock, AR.

2010 **Lefler, L. L.** *6 Habits of highly successful BAGNC scholars and fellows.* Presented at the Hartford Center of Geriatric Nursing Excellence Research Award Mentoring Group, Little Rock, AR.

2010 **Lefler, L. L.** *Putting the pieces together: Exploring cardiac risk perceptions in older women.* Presented at the Geriatric Research and Clinical Education Center, Central Arkansas Veterans Medical Center, Little Rock, AR.

2009 **Lefler, L. L.** *Host and master of ceremonies.* UAMS College of Nursing Research Day, Little Rock, AR.

2009 **Lefler, L. L.** *Postdoctoral activities and funding.* Presented at the John A. Hartford Foundation Site Visit for the HCGNE, Little Rock, AR.

2009 **Lefler, L. L.** *Women & heart disease: Research update.* Presented at the Family Nurse Practitioner II class, University of Arkansas for Medical Sciences, College of Nursing, Little Rock, AR.

2009 **Lefler, L. L.** *6 Habits of highly successful BAGNC scholars and fellows.* Presented at the Hartford Center of Geriatric Nursing Excellence Research Award Mentoring Group, Little Rock, AR.

- 2009 **Lefler, L. L.** Practice Department: Specialty coordinators meeting: *Advanced health assessment changes and recommendations*. University of Arkansas for Medical Sciences, Little Rock, AR.
- 2009 **Lefler, L. L.** (2009). *Testimonial: Importance of the JAH Foundation*. Presented at the John A. Hartford Foundation, Hartford Geriatric Nursing Initiative, National Program Evaluation, funding re-evaluation.
- 2009 **Lefler, L. L.** *Medication adherence in older women with CHD*. Presented to Dr. C. Schmidt's Undergraduate Research Class, UAMS College of Nursing, Little Rock, AR.
- 2009 **Lefler, L. L.** *Issues: Research competency after PhD and the value of post-doctoral training*. Presented to Dr. P. F. Tsai's PhD Grant Writing Class, UAMS College of Nursing, Little Rock, AR.
- 2008 **Lefler, L. L.** *Host and master of ceremonies*. UAMS College of Nursing Research Day 2008, Little Rock, AR.
- 2008 **Lefler, L. L.** *Value of pre-doctoral and post-doctoral funding*. Presented for the PhD Grant Writing Class, UAMS Graduate School, Little Rock, AR.
- 2008 **Lefler, L. L.** *Consent forms, institutional review board process*. Presented at the PhD Qualitative Data Analysis Class, UAMS Graduate School, Little Rock, AR.
- 2008 **Lefler, L. L.** *Top 20 tips for surviving doctoral study*. Presented at the Doctoral Student Orientation, University of Arkansas for Medical Sciences, Little Rock, AR.
- 2008 **Lefler, L. L.** *Research synthesis: Lessons learned*. Presented at the Synthesis in Nursing Research Doctoral Seminar, University of Arkansas for Medical Sciences, College of Nursing, Little Rock, AR.
- 2008 **Lefler, L. L.** *Women & heart disease: Research update*. Presented at the Family Nurse Practitioner II class, University of Arkansas for Medical Sciences, College of Nursing, Little Rock, AR.
- 2007 **Lefler, L. L.** *Women & heart disease: Research update*. Presented at the American Academy of Professional Coders, Little Rock Chapter Annual Conference, University of Arkansas for Medical Sciences, Little Rock, AR.
- 2007 **Lefler, L. L.** *Post-doctoral fellowships: Issues for nursing*. Presented at the Issues in Nursing Research Doctoral Seminar.
- 2007 **Lefler, L. L.** *Advanced nursing education*. Presented at the Professionalism class for baccalaureate nursing students, University of Arkansas for Medical Sciences, Little Rock, AR.
- 2007 **Lefler, L. L.** *Increasing accuracy of risk perceptions and knowledge of MI symptoms among older, Black and White women*. Presented at the Hartford Center of Geriatric Nursing Excellence Grand Rounds, Institute on Aging, UAMS, Little Rock, AR.
- 2007 **Lefler, L. L.** *Take charge over heart disease: It's not too late!* Presented at the Woodland Heights Assisted Living Center, Little Rock, AR.
- 2007 **Lefler, L. L.** *Women and heart disease: Research update*. Central Arkansas Chapter of the Emergency Nurses Association, Little Rock, AR.

2007 **Lefler, L. L.** *Perceived risk for heart disease among older, Black and White women.* Presented for the Graduate Research Class, University of Central Arkansas, Conway, AR. Also presented at the Black Nurses Association & St Luke Outreach CEU Summer Seminar, St. Luke Church, North Little Rock, AR.

2007 **Lefler, L. L.** *Women's heart disease: Research update.* Presented at the American Association of Critical Care Nursing, Little Rock Chapter, Little Rock, AR.

2007 **Lefler, L. L.** *Take charge over heart disease: It's NEVER too late!* Presented at St. Joseph Church Women's Retreat, Conway, AR.

2006 **Lefler, L. L.** *Increasing awareness of risk and knowledge of MI symptoms among older, high-risk women (preliminary analysis).* Presented at the Geriatric Research Education and Clinical Center Interdisciplinary Clinical/Health Services Research Conference, VA Medical Center, North Little Rock, AR.

2006 **Lefler, L. L.** *Meta-synthesis of nursing research.* Presented at the Synthesis of the Literature Doctoral Seminar, University of Arkansas for Medical Sciences, College of Nursing, Little Rock, AR.

2006 **Lefler, L. L.** *BAGNC scholar experiences.* John A. Hartford Foundation Site Visit, University of Arkansas for Medical Sciences, Institute on Aging, Little Rock, AR.

2005 **Lefler, L. L.** *Take charge over heart disease: It's NOT too late.* Presented at the Arkansas Aging Initiative sponsored by the Hartford Center of Geriatric Excellence, Aging Successfully Program, Schmieding Center for Senior Health and Education of Northwest Arkansas, Bella Vista and Springdale, AR.

2005 **Lefler, L. L.** *Peripheral vascular disease for critical care nurses.* Presented at the Little Rock Critical Care Program, Cardiovascular Module, UAMS, Little Rock, AR.

2004 **Lefler, L. L.** *Pre-doctoral funding: You can apply too!* Presented at a Research Forum for Doctoral Students, UAMS, Little Rock, AR.

## PROFESSIONAL SERVICE ACTIVITIES:

### 1. Consulting

### Research

#### National Reviews for Promotion/Tenure

2020 East Carolina University, Dr. Elaine Scott, Department Chair & Program Director, External reviewer for Promotion and Tenure

2019 Brigham Young University, Patricia Ravert, PhD, Dean, College of Nursing. External reviewer for Promotion and Tenure.

2016; Georgia State University, Dean Nancy Kropf in the Byrdine F. Lewis School of Nursing and Health Professions. Consultant for Promotion & Tenure Committee.

2015: University of Minnesota, Consultant for Promotion and Tenure Committee. Dean Connie White Delaney

2014: University of Chicago, Consultant for Promotion and Tenure Committee. M. Piano, Dean.

#### Other Research Consultations



Post Doc Fellowship: Dr. Jennifer Vincenzo, PT, MPH, PhD. Lefler co-mentor for the KL2 Scholars Program, Translational Research Center, UAMS (CTSA). Evaluation a Community Based Fall Prevention Program for Older adults. June 2019-21; OUTCOME FUNDED

NIH Grant Review [Internal]: Dr. Sara Jones, PhD. Reviewed NIH grant application and Information Requests from program officer. 2018 OUTCOME: FUNDED

Consultant/Testimony: VA Geriatrics and Gerontology Federal Advisory Committee (GGAC) to evaluate the GRECCs Arkansas Performance. Wednesday, September 6<sup>th</sup>, 2017.

NIH Grant Review: July-October, Consultant/Co-Investigator to Dr. Hsueh-fen Chen, R01 grant to be submitted to NINR. Outcome: Not funded 2017

RWJF Fellowship Consultation: February/March 2017 Consultant to Dr. Rasheeta Chandler, PhD, ARNP, FNP-BC, FAANP, Assistant Professor, Nell Hodgson School of Nursing, Emory University for Robert Wood Johnson Foundation Culture of Health Fellowship.

Extramural Grant Review: March-April 2016: Consultant to Dr. S. Jones, Grant Review, OUTCOME: FUNDED

Extramural Grant Review and Contributor: May, 2016: Consultant to Dr. Melodee Harris grant writing and proposal review, OUTCOME: FUNDED

NIH Grant Review: April 2015: Consultant to Holli Felix, PhD & Grant Review for Translational Research Institute Mock Study Section: OUTCOME: FUNDED.

Research Education Consultant: December - February, 2015. Consultant for motivational interviewing and member of planning team for the *Healthy Food, Healthy Living: A Meeting on Obesity*, Sponsored by the Department of Family & Preventive Medicine, UAMS.

#### **Education Consultations**

2018: Consultant: Kimberly Stickley, MHNP, APRN for Scholarship & Motivational Interviewing

2016: Consultant: Dr. Overton-McCoy Curriculum for "Cooking Matters For Older Adults", an initiative of the Arkansas Aging Initiative for expertise in geriatric content.

2009: Consultant for Bitsy Llewellyn, MSW, LSW; University of Arkansas at Little Rock to develop GERO 5315. Interdisciplinary Health Care of the Elderly graduate level course offered at UALR; 2011.

#### **2. Practice Contracts or Independent Practice Activities**

None

#### **3. Advisory Boards**

**2021-23 Reappointed; 2018 to 2020:** Federal Reserve Bank of St. Louis Industry Councils, Healthcare Board Member <https://www.stlouisfed.org/about-us/advisory-councils/industry-councils#healthcare>.

**2016-Present** Arkansas Center for Nursing Advisory Board of Directors, Culture of Health Liaison

**2013-2015; 2015-2017 Appointed: Cardiovascular Disease in Older Populations Committee Board Member** (Sponsored by the Council on Clinical Cardiology and the Council on Cardiovascular

Nursing); committee charged with recommending topics for scientific statements concerning older adults and sessions for Scientific Sessions of the American Heart Association.

**2014-Present Conway Area Tennis Association, Board Member.** Helped write a proposal in 2017 for the city to build a tennis center, we gained community support from parks and recreation, college and high school coaches and petitioned the city at City Council meetings. Funding was secured and Tennis Center Built in 2018 (\$ 2.5 million). <https://conwaytenniscenter.com/>

**Board of Directors for Southern Nursing Research Society:**

2016-2018 Development Officer, Board of Directors (elected position)

2012-2014 & 2015-2017 Secretary, Board of Directors (elected position)

**2011-2020: Arkansas Center for Nursing, Board Liaison for building a Culture of Health**  
**Serve on Education Taskforce (2011 to present) & Culture of Health Taskforce (2015-present)**

**2010-2016 Arkansas Health Department, Arkansas Heart Disease and Stroke Prevention Task Force;**  
 2010-2016

**4. Service Activities (Indicate member/offices held/term of office)**

**National:**

<b>Year</b>	<b>Activity</b>
2015-Present	<i>Nurses on Boards National Coalition, Tri-State Initiative.</i> Goals of this initiative are to advocated for nursing on boards (NOB) and to provide training to professional nurses to serve on boards. Initiative of Arkansas Center for Nursing in Association with the National Coalition.
	<ul style="list-style-type: none"> <li>Developed &amp; Provided NOB Workshops in 2016, 2017 &amp; 2018, 2019.</li> <li>New Workshop developed Tennessee and Arkansas CEU February 2021 [virtual]</li> </ul>
2017-2019	<i>Campaign Outreach Advocate for the Culture of Health (COACH),</i> Robert W. Johnson Foundation & AARP in association with the Center to Champion Nursing in America.
2015-2017	<i>Culture of Health Nurse Leader,</i> Robert W. Johnson Foundation & AARP.
2011-2012	<i>FLAG (Faculty Learning about Geriatrics) Development Committee</i> of HCGNE. Working with HCGNE at the University of Minnesota to develop a national continuing education programs.
2010 – 2016	<i>John A. Hartford Foundation Alumni Council, Mentoring Committee</i>

**State:**

<b>Year</b>	<b>Activity</b>
2015-2020	<i>Healthy Active Arkansas: A 10-year Plan for Arkansas,</i> coalition committee member for Physical and Built Environment.
2018	Call to Action, Legislative Updates, Legislative Roundtable Member
2017	Call to Action, Legislative Updates, Legislative Roundtable Member: Worked on legislative action to have barriers to practice for NPs removed. Provided flyers to be given to legislators.
2015-2016	<i>Arkansas Action Coalition for the Future of Nursing,</i> Co-Leader, Culture of Health Initiative, member Education Pillar Task Force
2011 – 2014	<i>Arkansas Action Coalition for the Future of Nursing,</i> Co-Chair, <i>Committee on the Advancement of Doctoral Education in the State</i>

2009 – 2013	Arkansas State Plan of Adult Cardiovascular Risk Factor Workgroup, member, Arkansas Department of Health. Purpose of the committee is to establish and author the cardiovascular prevention goals for the State of Arkansas report.
2010	<i>Arkansas Aging Initiative</i> , Task force member for interdisciplinary strategic planning for the future of the initiative for the state of Arkansas. held at the Institute of Aging, UAMS.
2008 – 2014	American Heart Association, Central Arkansas Heart Walk Committee

**Service for University of Arkansas for Medical Sciences (Campus-wide):**

<b>Year</b>	<b>Activity</b>
2021	Research Committee Academic Senate, UAMS
2020	2020 National Telehealth Research Symposium- Abstract Reviewer Graduate School Student Research Day Poster Judge, UAMS
2019	Graduate School Student Research Day Poster Judge, UAMS
2018-2019-2020	Task Force Co-Leader for Developing a UAMS IPE Poverty Simulation, Co-Lead with Kat Neil, IPE office.
2019	Interprofessional Education Office, Co-Mentor for Kennedy Miller, Summer 2019 Intern.
2019-2021	Academic Senate Council, Nursing Representative Academic Senate Research Council member
2018	Search Committee: Associate Vice Chancellor for Finance & Treasury, UAMS; Invited member (faculty representative).
2018-present	Associate Level member, UAMS Educators Academy
2019-present	UAMS Faculty Board of Appeals Committee member
2018 & 2019	August. Table Exhibit for <i>Faculty Resource Fair</i> , Representing Academic Senate and Educators Academy
2018-2019	<i>UAMS Academic Senate Leadership Committee</i> , Past President
2017-2018	<i>UAMS Academic Senate President</i> (Represents >1300 Faculty) First time nurse president in history of UAMS.
2018 & 2019	Vice Grand Marshall for UAMS Commencement
2018	UAMS Strategic Planning, Vision 2029 Faculty Committee
2016-2017	<i>UAMS Academic Senate Leadership Committee</i> , President-Elect.
2018	Office of Sponsored Programs & Research committee member.
2012-2018 (6 yr appt)	Appointment to <i>Winthrop Rockefeller Distinguished Lecture Committee</i> , Division of Academic Affairs: Developed 3 Distinguished Lectures: Dr. Atul Butte, Dr. Donald Berwick, & Rebecca Sloat to UAMS campus for Interprofessional education.
2016	Graduate School Student Research Day Poster Judge, UAMS
2016-2018	Get Healthy UAMS Committee
2014	Graduate School Student Research Day Poster Judge, UAMS
2015-2018	UAMS Faculty Board of Appeals Committee member
2015	UAMS Committee for Centralization of Research Services, a subcommittee of the Academic Senate
2014	UAMS Cardiovascular Disease CE Program Planning Committee; member, College Representative
2013-2015	UAMS Continuous Faculty Development Committee, Ad Hoc Committee from the Office of Academic Affairs.
2012-2013	UAMS House of Delegates, Advisory Committee Member

2011 – 2014	Committee Engagement/Health Disparities in Research Interdisciplinary Interest Group Member, UAMS
2010 – 2011	UAMS Graduate Council Subcommittee on Assessment of Graduate Programs; Evaluated the Toxicology PhD Degree program at UAMS and authored the report submitted to Dr. McGehee and the UAMS Graduate Council.
2008 – 2015	Aging Research Interest Group member and reviewer, Dr. Cornelia Beck, Chair
2007 – 2012	Chair of College of Nursing, American Heart Association Heart Walk Committee & Co-Convener for UAMS Walk Group
2009 – 2010	Cardiovascular Health Promotion Consortium Workgroup for Cardiovascular Day
2008 – 2010	Institute on Aging Education Committee
2008 – 2009	UAMS Diversity Committee Member

**College of Nursing:**

<b>Year</b>	<b>Activity</b>
2021-present	Chair, Appointment, Promotion, and Tenure Committee
2013-present	Appointment, Promotion, and Tenure Committee (developing new APT Criteria).
Aug 2019-Nov 2021	Chair, Nursing Science Department
2019-2021	Admissions & Progression Committee Member
2019-2020	Evaluation & Assessment Committee Member, Science
2019-2020	Search Committee Associate Dean For Academic Programs, College of Nursing
2019-2022	Leadership Council member
2014-2018	Leadership Council, Nursing Science Department Representative
2014-2018	Social Affairs Committee
2018	Formed CON Taskforce: Reducing Workload for Faculty Annual Evaluation
2011-2013	CON, Southern Nursing Research Society Conference 2013 Planning Committee & Subcommittee for advertising the Little Rock conference “call” for next year’s conference.
2011 – 2014	Graduate Curriculum Committee Member
2012	Chair, Graduate Council, UAMS College of Nursing
2011 – 2012	Ad Hoc Task Force for Integrating Geriatrics in the Graduate Curriculum for the College of Nursing Graduate Practicum Courses.
2009 – 2011	Chair, College of Nursing Research Committee
2008-2009	Research Chairperson, Gamma Xi Chapter, Sigma Theta Tau International
2008-2009	Awards and Scholarship Committee Member
2008 – Present	Department of Nursing Science
2007 – Present	Graduate Council Member
2009 – Present	Doctoral/PhD Council Member
2009 – 2010	P20 Investigators Working Group
2008--2009	Research Committee, Co-Chair Research Day
2006 – 2007	Recruitment & Retention committee member

**5. Professional Organizations: Membership and Service:**

(Indicate member/offices held/term of office)

2006-Present American Heart Association, Fellow & Silver Heart Professional Member  
Member of: Council of Cardiovascular & Stroke Nursing  
2013-2015; 2015-2017 Appointed: *Cardiovascular Disease in Older Populations Committee Commission* (Sponsored by the Council on Clinical Cardiology and the Council on Cardiovascular Nursing)

2004-Present Southern Nursing Research Society, member and years of service as board member  
2020 Conference Abstract Reviewer & Late Breaking Abstract Reviewer  
2019 Conference Abstract Reviewer & Late Breaking Abstract Reviewer  
2018 Conference Abstract Reviewer & Late Breaking Abstract Reviewer  
2016-2018 Development Officer, Board of Directors  
2012-2014 & 2015-2017 Secretary, Board of Directors (elected position)  
2010-2012 Nominations Committee (elected position)  
2008-2010 Communications Committee Member (appointed)  
2008-2011 Chair of Research Interest Group on Aging (elected)  
2007-2010 Communications Committee Member (appointed)  
2007-2008 Chair-elect of Research Interest Group on Aging

1999 – Present Sigma Theta Tau International & Gamma Xi Chapter active member  
2021-22 Research Chair, Gamma Xi Chapter  
Secretary, 2019-2021 Gamma Xi Local Chapter  
Research Chair, 2013-2015 Gamma Xi Chapter  
Research Chair Gamma Xi Chapter, 2008 – 2009  
Research Grant Reviewer of 2009, 2011, 2015, 2017 Research Grants for Gamma Xi Chapter  
Secretary, Kappa Rho Chapter, University of Central Arkansas

2008 – Present American Nurses Association Member and Arkansas Nurses Association Member

2004 – Present Gerontological Society of America Member  
2019-2020 Conference Abstract Reviewer  
2018-2019 Conference Abstract Reviewer  
2012-2016 Conference Abstract Reviewer

2001-2008 Emerging Scholar Professional Organization Member (ESPO) of GSA Volunteer, GSA  
Annual Conference 2008 Mentoring Consultancies

1984 – 2010 American Association of Critical Care Nurses Member  
Little Rock Chapter, Member

2008 – 2011 Preventive Cardiovascular Nurses Association, Member

#### 6. Editorial Board/Manuscript Reviewer: (Research Journals)

Editorial Board Member: JMIR: Aging (2018 to present). <https://aging.jmir.org/about/editorialTeam>  
Editorial Board Member: International Journal of Clinical Cardiology (2016-present)  
[https://clinmedjournals.org/editorial\\_board.php?jid=ijcc](https://clinmedjournals.org/editorial_board.php?jid=ijcc)

#### Reviewer

BMC Public Health Journal  
Journal of Holistic Nursing  
Journal of Cardiovascular Nursing

Heart and Lung (Ad Hoc Reviewer)  
 Research in Gerontological Nursing (Ad Hoc Reviewer)  
 International Journal of Nursing Studies; (Ad Hoc Reviewer)  
 Journal of Women's Health, (Ad Hoc Reviewer)  
 Southern Online Journal of Nursing Research, (Reviewer through 2010)

#### 7. Conference Abstract Reviews:

2020 Gerontological Society of America, Annual Conference Reviews  
 2019 Gerontological Society of America, Annual Conference Reviews  
 2018, 2019, 2020, 2021, Southern Nursing Research Society, Annual Conference Reviews  
 2018 Arkansas Nursing Research Conference, Annual Conference Reviews  
 2017 Southern Nursing Research Society, Annual Conference Reviews  
 2017 Arkansas Nursing Research Conference  
 2012-2016 Gerontological Society of America Annual Conference  
 2012-2016 Southern Nursing Research Society, Annual Conference  
 2007 – present UAMS/CON Research Day Conference Abstracts  
 2008 – 2015 Reviewer for STT Gamma Xi Research Scholarships  
 2008 – 2010 Southern Nursing Research Society, Aging Research Interest Group Awards Reviewer

#### 8. Grant Review:

##### NIH Grant Review

2019, Aug	Invitation to Review for NIH, NIA-C Committee Meeting of applications submitted to the National Institute on Aging (NIA). <i>Could not accept due to workload.</i>
2016, August & Nov	National Institutes of Health: <i>Special Emphasis Panel/Scientific Review Group</i> 2017/01 ZAG1 ZIJ-3 (J1), National Institute on Aging, NIH
2015, November	National Institutes of Health, <i>Sedentary Behavior and Aging</i> , Study Section, National Institute on Aging Special Emphasis Panel.
2015	National Institutes of Health, <i>Aging and Geriatric Systems</i> Study Section, National Institute on Aging. Ad Hoc Reviewer

##### Local/Regional Grant Reviews

2018 Reviewer Sigma Theta Tau Gamma Xi Chapter, Grant Reviews  
 2017 Reviewer S. Jones, R21 National Institute of Mental Health grant proposal  
 2017 Reviewer D. Gullette, Health Resources and Services Administration grant proposal  
 2016 UAMS College of Nursing, Dr. S. Jones, Culture of Health Grant Award review  
 2015 Translational Research Center, Dr. Felix, Mock Grant Review Section  
 2014 Medical Research Endowment Awards, UAMS  
 2014 Primary Reviewer, Dr. S. Heo, American Heart Association Grant in Aid award  
 2014-2015 Sigma Theta Tau, Gamma Xi Chapter Research Scholarships  
 2012-2015 American Nurses Foundation Grant Reviewer  
 2013-2014 Secondary Reviewer for Dr. Pao Feng Tsai, R01 NIH grant submission  
 2013-2014 Medical Research Endowment Grant reviews University of Arkansas for Medical  
 2013 Translational Research Institute Pilot Grant Awards UAMS  
 2012 Dr. A. Mitchell, R15 Grant submission.  
 2012 Secondary Reviewer for for Dr. Pao Feng Tsai, R01 NIH grant submission

2011 Secondary Reviewer for Dr. S. Heo, R01 NIH grant submission  
 2011 Secondary Reviewer for Dr. Pao Feng Tsai, R01 NIH grant submission  
 2011 Secondary Reviewer for Dr. Anita Mitchell, R15 NIH grant submission  
 2008 – 2011 Reviewer for Sigma Theta Tau, Gamma Xi Chapter, Research Scholarships  
 2009 Reviewer for Dr. Sunghee Tak, SBIRC grant for NIH grant submission  
 2009 Reviewer for Susi Sifford, John A. Hartford Postdoctoral Fellowship Award  
 2009 – 2010 Reviewer for Southern Nursing Research Society, Aging/Gerontology Research Interest Group Awards

**9. Continuing Education/In-service/Workshops/Seminars Presented:**

(Include title, organization, dates, and length)

**Arkansas Heart Failure Collaborative 1<sup>st</sup> Annual Conference.** (2020, February). Event Speaker and Planning Committee. All day conference. Clinton Library, Little Rock. 7 CE

<https://learn.heart.org/lms/activity?@curriculum.id=-1&@activity.id=6926516&@activity.bundleActivityId=-1>

**Lefler, L.L.** with Arkansas Nurses on Boards Coalition. (2019, October) Tri-State “Nurses on Boards” Intensive Training Workshop, University of Memphis; Co-Developer of Conference and Presenter. 2-Day Conference. 8.0 CE <https://mocenterfornursing.org/events/2019-nurses-on-boards-intensive/>

**Lefler, L.L.** & Arkansas Nurses on Boards Coalition. (2018, October 1 & 2) Tri-State “Nurses on Boards” Intensive Training Workshop, Branson, Mo. Co-Developer of Conference and Presenter. 2-Day Conference. 8.0 CE <https://campaignforaction.org/tri-state-nurses-on-boards-intensive-to-be-held-in-branson-mo/>

**Lefler, L.L.** (2018, August). University of Tennessee Health Science Center, Distinguished Visiting Professor Lecture. Invited Keynote: *Building a Culture of Health: Coloring Outside the Lines*.

**Lefler, L.L.** (2017, September). Arkansas Collaboration for Older Persons and Mental Health Initiative Interprofessional Workshop, UAMS Institute on Aging, Invited Speaker & Conference Planning, *Building a Culture of Health with Older Persons in Arkansas*

**Lefler, L.L.** & Gilihan, C. (2017, July). ArONE, Arkansas Organization of Nurse Executives, Invited Speaker, *Building a Culture of Health in Arkansas*.

**Lefler, L.L.** (2017, June). *Nurses on Boards Training Workshop* (Arkansas & Missouri). Branson, Sponsored by Culture of Health Nurse Leaders, Assisted with developing and organizing conference and served as a panelist for a session.

**Lefler, L.L.** (2017, May). University of Arkansas, Fayetteville, Research Conference, Invited Keynote Speaker, *Building Blocks: Cardiovascular Research for Translation to Practice*

**Jeffs, D. & Lefler, L.L., Future of Nursing Campaign for Action.** (2016, May). Envisioning Nursing Education Curriculum to Transform the Future of Nursing. All Day Conference. Panel Speaker and Planning Committee. 6.5 CE

**Lefler, L.L., Beck, C.** (2014, February). National Hartford Center for Gerontological Nursing Excellence/Hartford Institute for Geriatric Nursing Workshop. *Grant Writing-Specific Aims*.

Presented as a CE preconference prior to the Southern Nursing Research Society Annual Conference, Feb. 2015, Tampa, FL.

**Lefler, L.L.** (2014, June). UAMS Hartford Center for Gerontological Nursing Excellence & University of Iowa's Hartford Center Grant Writing Workshop. *Subject Recruitment Plan, IRB Issues, Recruiting Elders, Minority Subjects and other Considerations*. Grant Writing Summer Institute, Little Rock, AR

**Lefler, L.L., Beck. C.** (2014, February). National Hartford Center for Gerontological Nursing Excellence/Hartford Institute for Geriatric Nursing Workshop. *Grant Writing-Specific Aims*. Presented as a CE preconference prior to the Southern Nursing Research Society Annual Conference, Feb. 27, 2014, San Antonio, TX.

**Lefler, L.L., Beck. C.** (2013, February). National Hartford Center for Gerontological Nursing Excellence/Hartford Institute for Geriatric Nursing Workshop. *Grant Writing-Specific Aims*. Presented as a CE preconference prior to the Southern Nursing Research Society Annual Conference, Feb. 27, 2013, Little Rock, AR.

**Lefler, L.L.,(Role: Director and Presenter)** Barba, B., Stanley, J., Mezey, M. (2013, June to present, archived) National Webinar: The Hartford Center for Geriatric Nursing Excellence at the University of Arkansas for Medical Sciences (UAMS) in collaboration with the American Association of Colleges of Nursing (AACN), National Webinar: *"Overcoming Barriers to the Integration of Gerontology Content in Undergraduate Nursing Programs: Lessons Learned Post-GNEC"* Accessible: <http://www.aacn.nche.edu/webinars/2013/06/12/gnec>

**Lefler, L. L.** (2010, November). Special Considerations for Research with Aging Adults; *GERO 5315. Interdisciplinary Health Care of the Elderly*, University of Arkansas at Little Rock, Graduate Course Lecturer (College Credit)

**Lefler, L. L.** (2009, September). *Cardiovascular update*. Little Rock Critical Care Course; St. Vincent Infirmary Medical Center, Little Rock, AR. (2.0 CE)

**Lefler, L. L.** (2008, February). *Cardiovascular disease in women: Evidence based review*. Central Arkansas Critical Care Review, Conway Regional Medical Center, Conway, AR.

**Lefler, L. L.** (2007, October). *Health care update: Heart disease in women*. 8<sup>th</sup> Annual Perinatal and Women's Health Conference, University of Central Arkansas, Conway, AR.

#### 10. Professionally-related Community Service Activities:

2017 National Association of Women in Construction Workshop: Health and Wellness assessments. Lead a group of NP students and performed cardiovascular risk assessments as a service activity.

2008 – 2016 Go Red! Day for the American Heart Society, Team Leader, College of Nursing

2009-2011 Community Advisory Committee, Hartford Center of Nursing Excellence

2009 Cardiovascular Awareness Day, Chair & Risk Assessment Volunteer for College of Nursing, UAMS



2009 American Heart Association's Heart Walk, Team Leader for College of Nursing, UAMS; Heart Walk participant

#### 11. Formal Course Work beyond Highest Degree:

(Include hours and courses completed, degree for which applicable, institution, date)

- 2014 Certificate of Training, Motivational Interviewing for Health Behavior Change, San Francisco, CA
- 2010 Hierarchical Linear Modeling & Statistical Design Review, Texas A & M University, Summer Intensive, June 14-19.
- 2009 Certificate of Training, Motivational Interviewing for Health Behavior Change, University of Wisconsin at Stevens Point, July 12-17.
- 2007 Fall Semester NUSC 6283: Qualitative Data Analysis, Theory, & Practicum. UAMS. 3.0 Graduate Hours for postdoctoral work.

#### 12. Dissertations, Dissertation Candidacy Exams, Masters Theses, Portfolios:

(List students' names and your role, i.e., chair or committee member)

##### Current Dissertation Chairperson for Students

2018-present Kim Hayman, Status (data collection).

##### Dissertation Committee Member

2021-present Matt Harmon, proposal writing

##### Dissertation Chairperson/Major Advisor (completed)

- 2018-2021 Leonie DeClerk (completed; Dr. Nagel assisted)
- 2017-2021 Erin Bush/ changed to Dr. S Jones in 2021 (completed)
- 2017-2020 Dissertation Chair: Margie (Gina) Qualls; Graduated August 2020; *Barriers and Facilitators to the Use of Delirium Screening in Medical-Surgical Settings: A Mixed Methods Pre-Implementation Study*
- 2014-2017 Dissertation Chair (Major Advisor): Ayasha Thomason, PhD, *Gynecological Care and Surveillance for Older Women Residing in Assisted Living Settings.*
- 2013-2016 Dissertation Chair (Major Advisor): Donna Elrod, PhD, *Advance Care Planning for the End of Life: Exploring the Needs and Values of African Americans Living in the Delta*
- 2012-2017 Member: Carol Compass, PhD Candidate, Committee Member, *Testing Models for Organizational Readiness in Nursing Homes for Quality Improvement and Best Practice.*  
**Graduated**
- 2012- 2017 Member: Beth Evans, PhD Candidate, Committee Member, *Exploring the Feasibility of Personal Health Record Use for Older Adult.* Status: **Graduated**
- 2012- 2015 Member: Amy Hester, PhD Candidate, Committee Member, *Predicting and Preventing Falls with Injury in an Acute Hospital Setting.* Status: **Graduated.**

- 2011 – 2014 Member: Wanda Christie, PhD, RN. *The Lived Experience: How Emergency Department Nurses Cope after Workplace Violence Perpetrated by Patients*. Status: Defended 2014; **Graduated**.
- 2011 – 2015 Member: Linda Tate, PhD Candidate, *Delayed Discounting in Older Adults*. Status: **Graduated**.
- 2010 – 2012 Member: Cherri Shireman, PhD Candidate, Committee Member, *Post Traumatic Stress in Veterans*. Status: **Withdrawn from program**.
- 2007 – 2008 Member: Susan Gatto, PhD Candidate. *Using Technology to Reduce Social Isolation for Older Adults*. Status: **Graduated**.

#### Dissertation Candidacy Exams

- 2021 Dissertation Candidacy Exam Chair, Dannis Armikarina
- 2020 Dissertation Candidacy Exam Chair, Matt Harmon
- 2019: Dissertation Candidacy Exam Chair Committee Member, Leonie DeClerk
- 2018 Dissertation Candidacy Exam Chair: LaShon Watson
- 2018 Dissertation Candidacy Exam Committee: Erin Bush
- 2017 Dissertation Candidacy Exam Committee: Gina Qualls
- 2017 Dissertation Candidacy Exam Chair: Natalie Capps
- 2017 Dissertation Candidacy Exam Committee Member: P. Ropp
- 2016 Dissertation Candidacy Exam Chairperson: K. Hayman
- 2015 Dissertation Candidacy Exam Chairperson: J. Jones
- 2014 Dissertation Candidacy Exam Committee Member: A. Thomason
- 2013 Dissertation Candidacy Exam Chairperson: P. Smith.

### **13. Graduate MNSc Portfolios**

- 2013 Ashlee Johnson, Graduate Portfolio Committee
- 2013 Vanessa Allen, MNSc, Graduate Portfolio Committee, FNP Student
- 2012 Rebecca Kempkes, MNSc, Graduate Portfolio Committee, A/G ACNP Student
- 2012 Ebonye Green, MNSc, Graduate Portfolio Committee, A/G ACNP Student
- 2011 Belinda Robertson, MNSc, Graduate Portfolio Committee, ACNP Student
- 2011 Christy Daniels, MNSc, Graduate Portfolio Committee ACNP Student
- 2010 Amanda Stevens, MNSc, Graduate Portfolio Committee ACNP Student

#### Professional Development: CE ACTIVITY 2019

# 6. Proposed Changes to Faculty Handbook: Tenure and Promotion and Academic Freedom

For Approval

Presented by Tom Nenon

# The University of Memphis Board of Trustees

Recommendation

For Approval

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Tenure and Promotion and Academic Freedom

**Presented by:** Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost  
Dr. Jeff Marchetta, Professor, Mechanical Engineering and Director, UofM Industrial Assessment Center

## **Background:**

This is a proposal for ratification of the provisions of the tenure and promotion process and academic freedom as prescribed by law that is contained in the Faculty Handbook. The Board of Trustees is required to promulgate a tenure policy or policies for faculty, which policy or policies shall ensure academic freedom and provide sufficient professional security to attract the best qualified faculty available for the institution. The highlighted portions in the Faculty Handbook are the relevant portions that come under the purview of the Board. In September, the Provost will bring a separate Board policy for approval.

## **Recommendation:**

The Academic, Research, & Student Success Committee recommends that the Board approve the faculty tenure and promotion and academic freedom provisions in the Faculty Handbook as outlined in the meeting materials.

# *Main Points – Handbook Revision and the Board of Trustees (BOT) Role in Tenure and Promotion and Academic Freedom*

## *Academic, Research and Student Success Committee*

Dr. Tom Nenon, Executive Vice President for Academic  
Affairs and Provost

Dr. Jeff Marchetta, Professor, Mechanical Engineering  
and Director, UofM Industrial Assessment Center



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6. Proposed Changes to Faculty Handbook: Tenure and Promoti...

Maxine A. Smith University Center

- The Faculty Handbook at the University of Memphis has not undergone systematic review or revision in several decades.
- A subset of the policies and guidelines contained in the Handbook include Tenure and Promotion guidelines that have been in place with little review or revision during that time; the previous policies governing post-tenure review were adopted in the mid- 90s and have remained unchanged since then.
- The Board of Trustees is authorized by Tennessee Code Annotated § 49-8-301 to promulgate a tenure policy or policies which shall ensure academic freedom and provide sufficient professional security to attract the best quality faculty available for the institution. Pursuant to this authority, the board shall define the nature of tenure and the rights and responsibilities of faculty. All policies adopted by the board and all subsequent amendments, govern faculty rights and responsibilities. In the event of any conflict or inconsistency between board policy and the handbook, the board policy will apply.

- The Provost's Office has engaged with the Faculty Policies committee of the Faculty Senate, in particular with the Chair, Dr. Jeff Marchetta, past President of the Faculty Senate to update and propose revisions to the Faculty Handbook, including the sections on Academic Freedom, Tenure and Promotion, and Post-tenure Review.
- The Provost has endorsed these proposals, conferred with the past and new president, and the Office of Legal Counsel on them.
- The Faculty Senate overwhelming recommended these proposals be adopted at their meeting on March 29.
- The sections in the Handbook related to Academic Freedom and Tenure and Promotion are highlighted in yellow and require BOT approval for them to be official university policy.
- The other sections are for informational purposes and do not require BOT approval.

- Current proposal reiterates past university policy and has been updated to be consistent with TN state law.
- Articulates a key element of the academic enterprise.



- The Handbook articulates expectations regarding teaching, research, service, and professionalism for faculty.
- It lays out the timetable, the general processes, and the general standards for tenure and/or promotion to a higher rank for all full-time faculty.
- Full-time teaching and full-time research faculty are eligible for promotion, but not tenure.
- These processes include significant faculty involvement at all stages of the process in the development of a recommendation by the president to the Trustees.
- If the provost makes a negative recommendation, the candidate is notified and provided the opportunity for an appeal as spelled out in the Handbook before the president makes a final recommendation to the Trustees.

- The Handbook clearly articulates the possible grounds for removal of tenure and possible termination consistent with TCA § 49-8-032, but also defines much more clearly the processes and criteria for the application of the statute at our university.
- It strives to balance the university's legitimate interest in accountability and continued high standards of performance for tenured faculty with the importance of due process and fairness for tenure faculty and for the protection of academic freedom. It articulates for the first time a Faculty Code of Conduct and outlines clear processes for adjudicating disciplinary actions up to termination for adequate cause.

- Most of the other policies and guidelines included in the Handbook, including hiring guidelines, faculty duties, faculty workload policies, selection of academic administrators (chairs, associate deans, deans), professional development assignments, and similar issues are explicit articulations of what have evolved as best practices across the colleges to attain more consistency and transparency about faculty roles and expectations.
- Statute does not require Trustees' approval for those sections of Handbook.

## Chapter 1: Introduction, Organization, and Principles

### 1.1 Introduction

This handbook contains material that applies to all faculty members employed by the University of Memphis (hereafter “the university”, “the institution”). The faculty members are represented by one faculty senate (hereafter “the Faculty Senate”). The faculty members at the University of Memphis report, administratively, to the president (hereafter “president”). The Faculty Handbook is intended to be a general summary of university policies, guidelines, services, and resources. When official university policies and procedures are changed by the Board of Trustees or other duly constituted authority, such changes become effective on the date designated at the time of their adoption and supersede any conflicting or inconsistent provision in the Faculty Handbook. The most recent versions of the University of Memphis Policies (hereafter “university policies”) are available on the University of Memphis website (hereafter “the university website”). Questions about a particular policy or issue should be addressed to the division administrator. This revision of the Faculty Handbook was done in accordance with Chapter 6 of the Faculty Handbook (“Revision of the Faculty Handbook”).

### 1.2 History of The University of Memphis

In 1909, the General Assembly of Tennessee enacted law providing for the establishment and maintenance of three normal teacher education schools, one in each of the three grand divisions of the state. Memphis and Shelby County contributed \$350,000 and a site of approximately eighty acres near what was then the eastern edge of the city. On September 15, 1912, West Tennessee State Normal School opened. In 1925, the institution became a senior college, and the name was changed to West Tennessee State Teachers' College. The liberal arts curriculum was enlarged in 1941 and the school became Memphis State College. The undergraduate program was reorganized into three schools in 1951, and a graduate school was added. On July 1, 1957, by action of the Tennessee legislature, the institution was designated Memphis State University. Reflecting the institution's growing emphasis on research and graduate education and its increasing role in the community, the institution was renamed The University of Memphis on July 1, 1994.

### 1.3 Higher Education in Tennessee

The Tennessee Higher Education Commission (THEC), created in 1967 by act of the Tennessee General Assembly, is responsible for coordinating and planning all higher education in this state. THEC must approve all new academic programs, centers, or campuses; it reviews budgets, performs long-range planning, and generally ensures that a comprehensive system of higher education is developed to meet the needs of the citizens.

## 1.4 Accreditation

The University of Memphis is accredited by the Commission of Colleges of the Southern Association of Colleges and Schools (SACSCOC) to award bachelor's, first professional, master's, educational specialist, and doctoral degrees. Individual programs that are accredited can be found on the university website.

## 1.5 Shared Governance

Founded in 1915, the American Association of University Professors (AAUP) is dedicated to facilitating a more effective cooperation among teachers and research scholars in universities, colleges, and professional schools; to promoting the interests of higher education and research; and in general, to increasing the usefulness and advancing the standards, ideals, and welfare of the profession.

The principles of shared governance which, accordingly to the AAUP's *Statement of Government of Colleges and Universities*, "refers to the responsibility shared among the different components of the institution—governing boards, administrations, and faculties—for its governance, and the specifies areas of primary responsibility for each component.

The role of the governing board is to ensure that the institution stays true to its mission, to play a major role in ensuring that the institution has the financial resources it needs to operate successfully, to possess decision-making authority, and to entrust the conduct of administration to the administrative officers.

The role of the president is to be the chief executive officer of the institution, to ensure that the operation of the institution conforms to the policies set forth by the governing board and to sound academic practice, to provide institutional leadership, to make sure there is effective communication between components of the institution, and to represent the institution to its many publics.

The role of the faculty is to have primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. The responsibility for faculty status includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal."

The university practices shared governance in accordance with the aforementioned principles and is committed to timely information sharing among faculty, staff, students, administration, and trustees; faculty responsibility in determining curriculum, educational policy, standards for evaluating teaching and scholarship, selection of new faculty, and promotion and tenure; faculty representation in university decision-making that directly or indirectly affects faculty; consultation with appropriate faculty on the general fiscal implications of decisions about curriculum, enrollment, class-size, and admission policies; on peer nomination of faculty to serve on committees and similar deliberative bodies. Shared governance requires timely

communication, transparency, inclusion, collaboration, and consistency. All faculty members are expected to accept the responsibility of shared governance and act as good university citizens through service on committees (or similar deliberative bodies) and the faculty senate.

## 1.6 Board of Trustees

The governing body of The University of Memphis is the Board of Trustees. The board has delegated administrative authority to the president. For a more complete description of the organization, duties, and powers of the board, please consult The University of Memphis Board of Trustees Bylaws which are available on the university website.

## 1.7 University Administration

1.7.1 The mission, vision strategic plan, and values of the institution can be found on the university website.

### 1.7.2 President

The president is the chief administrative officer of the university with broadly delegated responsibilities for all facets of campus management and operations. The president serves at the pleasure of the University of Memphis Board of Trustees and reports directly to the Board. The president is assisted and advised by the President's Council of key administrators, the Faculty Senate, and the Staff Senate.

### 1.7.3 Provost

The provost is the chief academic officer of the university. Reporting to the president, he or she has comprehensive responsibility for developing and implementing academic policies and priorities, and has responsibility for ensuring that the university's teaching, research, and service missions are successfully implemented. He or she works closely with the deans and directors of the academic units to ensure that the university recruits and retains high quality faculty who, in turn, offer optimal student experiences. Specific information regarding the academic programs offered are contained in the Undergraduate and Graduate Catalogs which can be found on the university website.

### 1.7.4 Faculty Governance

The responsibilities of the faculty in the governance of the university are generally discharged in two basic ways: (1) through the work of the Faculty Senate (regarding the general policies of the campus as a whole), and (2) through the work of faculty and faculty committees within departments, colleges, and the university. Faculty members should be active participants in deliberations and decisions on all policy and procedure committees. Faculty members have the right to contribute to campus and university discourse that is at the heart of the shared governance of the campus and the university. When contributing to campus and university discourse, at any level within the university or the community at large, faculty members have the freedom to raise and to address, without fear of institutional discipline or restraint or other

adverse employment action, any issue related to professional duties; the functioning of academic units, the campus, or the university; and department, college, campus, or university actions, positions, or policies.

#### 1.7.4.1 The Faculty Senate

The Faculty Senate is composed of elected faculty members from academic units or departments. The Faculty Senate is governed by The Constitution of the University of Memphis Faculty Senate established in the Articles of Authority which can be found on the university website. The Senate's Constitution defines its purpose as follows:

- serve as the primary vehicle of faculty participation in the establishment of university policies.
- evaluate and make recommendations on policy in academic and closely related areas that touch on academic matters.
- evaluate and make recommendations on graduation and general education curriculum requirements.
- evaluate and make recommendations on university-wide minimum criteria for faculty appointment, promotion, and tenure.
- evaluate and make recommendations on policies associated with conditions of employment.
- evaluate and make recommendations on policies for the academic use and operation of various academic support functions including the University Library and Computer Services, the University calendar and other functions that directly affect academic matters.
- make recommendations on issues related to academic matters that are not specifically academic in nature.
- have responsibility for the maintenance of academic freedom and responsibility at the University.
- be the forum for the formulation of faculty opinion.
- review and approve the Faculty Handbook of The University of Memphis.

The Faculty Senate has no management or administrative functions either in itself or through its committees, since such functions are expressly reserved to the president, as delegated by the Board of Trustees. The administrative officers of university have a responsibility to consult with the Faculty Senate on any policies, practices, and decisions which directly or indirectly affect faculty.

#### 1.7.4.2 Standing Committees of the University

Shared governance at the university level is also accomplished through the work of faculty on the University Standing Committees. Membership of all university standing committees should reflect the diversity of the University community. The Faculty Senate retains the responsibility

for appointing faculty members to the University Standing Committees listed in Appendix A. Unless otherwise noted, the committee composition and procedures for each committee can be obtained from the offices of the designated officials. When new University Standing Committees are formed that relate to university policy, procedures, or other matters of legitimate interest to faculty, the university official shall consult with the Faculty Senate to ensure that an appropriate portion of the total number of faculty member appointments are made by the Faculty Senate. The number of Faculty Senate appointed faculty members, terms, and term limits for those appointments must be approved by both the university official and the Faculty Senate when the committee is formed.

### 1.8 Academic Unit Administration

Because of their experience in academics, faculty administrators have critical management positions in academic units within the university. Their administrative responsibilities, however, do not preclude them from participating in the teaching, scholarship/research, and outreach/service activities of their departments in accordance with their initial faculty appointment. Rather, they are strongly encouraged to participate in departmental responsibilities to the extent that these responsibilities are compatible with their administrative duties. Academic units of the university are varied and diverse both in their role and scope and in their mode of organization. The full list of academic programs, centers, and institutes can be found on the university website. A dean serves as the head of the academic unit. Other unit administrators may include assistant deans, associate deans, directors and/or unit coordinators. Larger academic units contain academic departments which are typically discipline specific. Department chairs report to the dean and administer the work of academic departments within the unit. Other departmental administrators may include assistant chairs and/or department coordinators. Departmental administrators report to the department chair. In units that do not have academic departments, the dean also has responsibilities assigned to department chairs. All administrators are expected to act on principles of shared governance and hence seek the advice and recommendations of faculty. Guidelines for salary adjustments and retreat salaries for faculty holding administrative appointments are detailed in university policy.

#### 1.8.1 Dean

Generally, the dean has these administrative concerns:

- the academic programs in the unit with regard to the relationships among its departments, and its relation to the larger university and the public.
- the faculty of the unit and the leadership of the unit, their well-being, development, review, assessment, and renewal.
- the encouragement and support of teaching, research, creative activity, and public service.



- the support services for the conduct of unit business including staff, facilities, and equipment.
- the strategic planning.
- the budget preparation, review, and analysis for the unit.
- the fund-raising and development of relationships with outside constituents.

The university administration looks to the dean for recommendations about the curriculum; staffing; faculty promotion, tenure, and review; development needs; and all financial aspects of unit operation.

These recommendations are made after consultation with appropriate faculty and/or unit or department level committees, as well as department chairs.

Deans are appointed after an internal or external search conducted according to policies which can be found on the university website. The provost selects the chair of the search committee from outside the unit and appoints members of the committee. A majority of the search committee is composed of tenured and tenure-track faculty members of the unit, chosen to represent a balance among the academic areas of the unit. The committee may include representation from non-tenure-track faculty members, departmental staff members, students, and where appropriate faculty members from outside of the unit. Membership of the search committee must be diverse, particularly in terms of gender and race.

The dean serves at the will of the provost. The provost shall conduct annual reviews of the dean, which will include surveys from tenured, tenure-track, and non-tenure-track faculty.

An internal or external search is required in the appointment of assistant deans, associate deans, directors and/or unit coordinators who serve at the will of the dean. The dean selects the chair of the search committee and appoints members of the committee. The search committee membership should be chosen to represent a balance among the academic areas of the unit. The dean shall conduct annual reviews of the unit administrators, which will include input of tenured, tenure-track, and non-tenure-track faculty.

### 1.8.2 Department Chair

The chair is a member of the department faculty who is assigned the duty of administering the department. Faculty holding appointments as chairs are considered academic leaders, and as such, often will be consulted by the provost and the dean regarding development and implementation of academic policy. In units not organized into departments, the dean serves as both dean and department chair. Department chairs report to the dean of the unit. The department chair occupies one of the most complex and demanding service positions in the university, with widespread responsibilities to faculty members, students, and administrative officers. Although the department chair may delegate his/her duties to assistant/associate department chairs, coordinators, and/or department committees, the department chair is ultimately responsible for the management and administration of the department.

The chair's specific responsibilities may include:

*Department Governance*

- keeps faculty informed of department, unit, and university plans, activities and expectations.
- coordinates development and implementation of department governance structure, policy, and procedures.
- coordinates faculty involvement in department responsibilities as appropriate. Presides over department meetings.
- establishes department committees in consultation with the faculty.
- represents the department to the dean and campus community.
- informs department faculty of decisions made by the dean and the university's administration.
- mediates conflicts and attempts to resolve problems between faculty, students and staff.
- models and maintains confidentiality regarding performance reviews, personnel decisions, grievances, etc., and encourages others to do so.

*Curriculum and Instruction*

- develops course schedules, in consultation with the faculty and dean, that reflect the department's range of course offerings and fosters student learning.
- works with faculty to create and manage curriculum including changes and revisions.
- works with faculty to develop annual faculty workload agreements.
- leads the department in carrying out required external reviews of curricula and assessment of student learning outcomes.
- leads or participates in departmental accreditation activities, as appropriate.
- considers departmental retention and graduation rates, recommending adjustments that enhance student success.

*Faculty Affairs and Professional Development*

- fosters high-quality teaching and learning in the department.
- approves and facilitates pre- and post-award grant activities.
- assists tenure track faculty in understanding the annual performance evaluation process and criteria for retention, promotion and tenure.
- exercises leadership in recruiting faculty. Ensures that requests for positions are appropriately submitted, search committees appointed, candidates interviewed, and appointments recommended in accordance with university policies and procedures.
- provides letters of evaluation for department faculty during the tenure and promotion process.
- mentors, evaluates and provides feedback to department faculty.

### *Students*

- recruits and retains students by working with faculty and ensuring faculty participation in initiating and implementing student related activities, e.g., orientations, student recruitment, competitions, awards, professional organizations and clubs.
- facilitates resolution of administrative difficulties that students may encounter.
- considers and responds to students' comments and suggestions about courses, instructors and programs.
- responds to student requests for waiver of departmental regulations, independent study proposals, internships and related special student concerns.
- provides leadership of processes that provide effective academic advising to students.
- fosters student success through mentorship and career advising.

### *Staff Personnel*

- exercises leadership in the selection and appointment of staff personnel, including student assistants.
- provides daily oversight and work direction to staff assigned to the department.
- conducts staff performance evaluations in a timely manner.
- encourages and supports staff training and development.
- fosters collegial and productive relationships among faculty, staff and students.

### *Budget and Resources*

- administers the departmental budget in consultation with department faculty and dean. Oversees ordering of department equipment and supplies.
- develops and implements appropriate procedures for the purchase, use, maintenance and repair of equipment in consultation with appropriate department personnel.

### *External Relations*

- works with the dean, university marketing and communications, and university advancement to promote the department outside the university community.
- promotes discipline-based contact with appropriate off-campus groups, including community college faculty, high school teachers, community organizations, professional organizations, private companies, alumni, etc.
- maintains and enhances the department's image and reputation outside the university.

A faculty member serving as a department chair position will also hold a tenured or tenure-track appointment in one of the academic departments at the university. Tenure-track appointments are subject to the same rules and conditions applicable to all tenure-track appointments. Following the award of tenure, faculty members holding an appointment as a chair remains subject to the same rules and conditions applicable to all tenured appointments. Eligible faculty will serve as department chair for a five (5)-year term. During the fourth year of

the chair's first term, a determination needs to be made relative to the department chair transitioning back to the full-time faculty position or remaining for an additional three (3)-year term. Reappointment for a three-year term beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the department and the university. Faculty serving as department chairs are expected to continue to teach, maintain active research programs and provide service to the university and to the community.

Department chairs are appointed after an internal or external search is conducted according to policies which can be found on the university website. The dean selects the chair of the search committee from outside the department and appoints members of the committee. A majority of the search committee is composed of tenured and tenure-track faculty members of the department. Membership of the search committee must be diverse, particularly in terms of gender and race.

Given the unique responsibilities of the department chair, internal searches should be used in most instances in the appointment of department chairs. A new faculty member may be hired externally in accordance with university policy to serve as department chair if the dean, after consultation with the tenured and tenure track faculty of the department, determines that the department would be strengthened by doing so or when a new department is created and there are no senior faculty to assume leadership. If the position of chair becomes vacant and is to be filled using an external search, an interim chair shall be appointed for a period of less than one year by the dean in consultation with tenure track and tenured faculty of the department to provide an opportunity for a search to be completed. The interim chair can be reappointed for an additional year in the unusual case that the position cannot be filled before the term of the interim has ended.

Department chairs serve at the will of the dean. Chairs will be evaluated annually by the dean, which will include surveys of tenured, tenure-track, and non-tenure-track faculty in the department. Chairs may resign or be removed from the appointment. If a chair resigns or is removed before completion of the term of service, an interim appointment should be made, and a new search should be initiated. The rationale for removal shall be recorded through a performance evaluation conducted by the dean. Once the dean has determined that removal is warranted, the dean shall provide a rationale for removal to the provost and to the department faculty, to the extent allowed under the law and university personnel policies. The chair shall have an opportunity to meet separately with the dean, the provost, and the department faculty to discuss the proposed removal. The tenure and tenure track faculty of the department shall have an opportunity to meet with the dean and the provost in support or dissent of the dean's determination. The dean shall make the decision in consultation with the provost.

Assistant/Associate chairs and/or department coordinators serve at the will of the chair. An internal or external search is required in the appointment of assistant chairs and associate chairs. The department chair selects the chair of the search committee and appoints members of the committee. The search committee membership should be chosen to represent a balance

among the academic areas of the department. The chair shall conduct annual reviews of the department administrators, which will include input from tenured, tenure-track, and non-tenure-track faculty.

### 1.8.3 Center/Institute Director

The university houses a wide variety of centers and institutes which participate in focused research, activities, and service. THEC has also designated centers of excellence in several areas which can be found on the university and State of Tennessee websites. Centers of Excellence receive special funding by the state in recognition of their status. The provost and the president may recommend to the Board of Trustees that a research center or institute with at least three full time tenure track or tenured faculty lines be designated as a locus for awarding tenure. Upon the approval of the Board of Trustees, tenure awarding centers and institutes are organizationally equivalent to a department in an academic unit. Although often multidisciplinary in the work being performed, all centers and institutes are organized within an academic unit and report to the dean of the unit.

A director may be appointed as the head of a center or institute and reports to the dean of the academic unit in which the center resides. Generally, the center or institute director has the same administrative concerns as a department chair. Other center or institute administrators may include assistant directors and/or coordinators and serve at the will of the director.

For tenure granting centers and institutes, an internal or external search is required in the appointment of the director. The dean selects the chair of the search committee and appoints members of the committee. The search committee membership should be chosen to represent a balance among the academic areas of the center. The dean shall conduct annual reviews of the director, which will include input of tenured, tenure-track, and non-tenure-track faculty in the center or institute. The director shall conduct annual reviews of the center or institute administrators, which will include input of tenured, tenure-track, and non-tenure-track faculty as well as staff.

### 1.9 Faculty Role in Selection and Evaluation of University Administrators

All administrators at the department chair/director level or higher who have responsibilities touching or affecting the academic programs of the university must understand and respect the values of the academic profession and its ethos of commitment to freedom in open and objective inquiry. The university shall seek to always to ensure appropriate faculty participation in the appointment of its administrators. Non-administrative faculty shall be given the opportunity nominate their peers who serve on search advisory committees, interview prospective candidates, and submit evaluations of those candidates for academic administrative offices.

The faculty will be involved in the annual evaluation of department chairs/directors, deans, provost, and the president and their staffs, as appropriate, through a process approved by the Faculty Senate.

#### 1.10 Faculty Role in Budget Making

Faculty judgments about their academic program have significant bearing on the shape of the budget, and budgetary decisions affect the shape of the academic programs. Both administrative and non-administrative faculty shall be asked to participate in establishing major institutional priorities in several ways. Curriculum councils give approval for establishing new programs and for terminating existing ones. Administrative judgments about the costs of these programs inform this deliberation and in turn are affected by the judgments of the faculty as to the pedagogical and intellectual soundness of such proposals. Deans, department chairs, the provost, and the president have a responsibility to consult with appropriate faculty groups at their respective levels concerning the general fiscal implications of decisions about the curriculum, enrollment, class-size, and admission policies.

## Chapter 2: Faculty Rights and Responsibilities

### 2.1 Board of Trustees' Authority

The Board of Trustees is authorized by Tennessee Code Annotated § 49-8-301 to promulgate a tenure policy or policies which shall ensure academic freedom and provide sufficient professional security to attract the best quality faculty available for the institution. Pursuant to this authority, the board shall define the nature of tenure and institutions and the rights and responsibilities of faculty. All policies adopted by the board and all subsequent amendments, govern faculty rights and responsibilities. In the event of any conflict or inconsistency between board policy and this handbook, the board policy will apply.

### 2.2 Rights

#### 2.2.1 Academic Freedom, Tenure, and Free Speech

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 participation in shared governance as well as 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. Freedom in shared governance is fundamental to the development and maintenance of effective academic policies, national and regional accreditation, and shared responsibility for the redelivery of educational products and services to students.

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 professional conduct as well as other grounds as set forth in applicable law or policy may constitute adequate cause for dismissal or other disciplinary sanctions against faculty members.

The right to academic freedom imposes upon the faculty an equal obligation to take appropriate professional action against faculty members who are unable or unwilling to discharge 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.

University policy recognizes the principle of academic freedom and accordingly states:

- Faculty members are entitled to freedom in the classroom in discussing materials relevant to the course.

- Faculty members are entitled to freedom in research and in the publication of the results, subject to adequate performance of their other academic duties; but all research, including research for pecuniary gain, must be performed in an ethical manner and in compliance with all applicable policies and standards in the field and must be based upon an understanding with the authorities of the university
- Faculty members are citizens, members of a learned profession, and officers of an educational institution. Academic freedom includes the freedom to speak or write without institutional discipline or restraint on matters of public concern, as well as on matters related to professional duties, and on matters involving the academic and administrative functioning of the educational institution. When faculty members speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and as educational officers, they should remember that the public may judge the profession and the university by their utterances. Hence, faculty members should at all times strive to be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they do not speak for the university.

### 2.2.2 Appeal

Faculty members have certain rights of appeal and are entitled to fair, impartial, honest, and timely resolutions of problems that may arise in relation to employment. In all cases, faculty members are entitled to notice regarding grounds on which administrative action has been taken. Depending on the subject matter(s), appeals are classified as a general appeal, tenure and promotion appeal, or a special appeal.

#### 2.2.2.1 General Appeals

Faculty have the right to appeal an administrative recommendation, decision, or employment action related to the following matters (except for actions related to discrimination, harassment, termination, and/or suspension without pay) under the general appeal procedures found in Appendix B.1:

- Academic Freedom (except for Tenure and Promotion Review)
- Professional Responsibility
- Code of Conduct Sanction
- Salary Adjustment
- Annual Performance Evaluation
- Workload
- Termination of Tenured Faculty Due to Forfeiture of Tenure
- Termination of Tenured Faculty Due to Program Discontinuance



### 2.2.2.2 Tenure and Promotion Appeals

Faculty who are not recommended for tenure and/or promotion by the provost have the right to appeal the provost's recommendation under tenure and promotion appeals procedures found in Appendix B.2

### 2.2.2.3 Special Appeals

Special procedures described in Appendix B.3 are followed for cases or actions involving:

- Allegations of Discrimination or Harassment Due to Race, Sex, Religion, National Origin, Age, Handicap, or Veteran Status
- Termination or Suspension without Pay of Tenured Faculty for Adequate Cause
- Termination or Suspension without Pay of Tenure Track Faculty for Adequate Cause Prior to the Expiration of Appointment and/or without Minimum Notice

## 2.3 Responsibilities

### 2.3.1 Duties

Faculty members are expected to demonstrate a commitment to and competence in teaching, scholarship, and service activities. In a university community, teaching, scholarship, and service are communal responsibilities. However, variation naturally occurs among departments and among faculty members within departments as to the balance among these activities. It is important to emphasize that teaching, scholarship, and service are interrelated, and that some activities may span more than one area.

#### 2.3.1.1 Teaching/Instruction

Faculty members are responsible for teaching effectively by employing useful methods and approaches that facilitate student learning. It encompasses classroom instruction, course development, mentoring students in academic projects including dissertations, testing, grading, and the professional development of the faculty member as a teacher. Mentoring students at all levels is an important aspect of teaching; creative and effective use of innovative teaching methods and curricular innovations is encouraged.

#### 2.3.1.2 Scholarship

As a research university, faculty members are responsible for engaging in scholarship subject to their appointment. Scholarship is a discipline-based, multidisciplinary activity that advances knowledge and learning by producing new ideas and understanding. Scholarly contributions include peer-evaluated, discipline-appropriate works such as books, articles, chapters, films, paintings, performances, and choreographic or theatrical design. As a research university, many units expect faculty in certain disciplines to secure funding where appropriate for their scholarly endeavors through organizations and disciplinary opportunities.

Scholarship can be divided into five sub-categories: application, creative activity, inquiry, integration, and the scholarship of teaching. Each department, considering its relevant discipline or disciplines, may emphasize contributions in some subcategories more than others, as described in its mission statement and other relevant departmental documents. Individual faculty are not expected to contribute to all five subcategories of scholarship. Some overlap in the meaning of the five subcategories is inevitable, and a particular scholarly contribution may fall under more than one subcategory. These subcategories are:

- Engaged scholarship is the scholarship of application. It adds to existing knowledge in the process of applying intellectual expertise to collaborative problem-solving with urban, regional, state, national and/or global communities and results in a written work shared with others in the discipline or field of study. Engaged scholarship conceptualizes "community groups" as all those outside of academe and requires shared authority at all stages of the research process from defining the research problem, choosing theoretical and methodological approaches, conducting the research, developing the final product(s), to participating in peer evaluation.
- Creative activity should be fully accepted as scholarship in departments where such work is appropriate to both professional specialization and teaching. It includes, but is not limited to, choreography and dance performance; creative writing; direction and design of plays; exhibitions of visual arts such as paintings, sculpture, and photography; direction of film and video; and musical composition and performance.
- Inquiry involves rigorous investigation aimed at the discovery of new knowledge within one's own discipline or area of study; it often serves as the basis for other forms of scholarship and may result in scholarly publications, funded research, and presentations at professional meetings.
- Integration makes meaningful connections between previously unrelated topics, facts, or observations, such as cross-disciplinary synthesis or an integrative framework within a discipline that results in a publication or presentation in a suitable forum.
- The scholarship of teaching focuses on transforming and extending knowledge about pedagogy, including appropriate textbooks or educational articles in one's own discipline. Innovative contributions to teaching, if published or presented in a peer-reviewed forum, also constitute scholarship of teaching.

### 2.3.1.3 Service

Service includes service to the university, service to the profession, and outreach to the community. These functions may overlap in some instances.

All faculty members will perform basic citizenship service within the university. This includes, but is not limited to, serving on departmental committees, advising students, and participating in college and university committees. Academic advising of students is an important aspect of the university citizenship and will be considered in faculty evaluations.

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, advisor to a university-wide student organization, and membership on a university search committee.

Service to the profession includes association leadership, journal editorships, article and grant proposal review, guest lecturing on other campuses, and other appropriate activities.

Outreach, or service to the community, primarily involves sharing professional expertise with the wider community and should directly support the goals and mission of the university. Under very rare circumstances, outreach may include non-professionally related activities outside the university. Some departments and disciplines, given the nature of their professional work, will be more involved in outreach than will other departments and disciplines. Community outreach is particularly valuable for an urban institution.

### 2.3.2 Professional and Ethical Conduct

Within the university, faculty members are expected to treat colleagues, staff, and students with respect and fairness. Faculty should conduct themselves professionally by listening to the views of others, working constructively as members of the diverse academic community, and safeguarding the recognition of achievements of others, including those in subordinate positions. Faculty are expected have integrity in the discharge of their duties as educators, scholars, colleagues, members of the university community and members of the greater community as described in Appendix C, the Faculty Code of Conduct.

## Chapter 3: General Faculty Policies

University policies apply to faculty, staff, students, and visitors. The policies are intended to provide guidance in assisting with compliance of state and federal laws and regulations and provide expectations for conducting university business. All faculty appointments are subject to university policies. It is the responsibility of faculty members as university employees to acquaint themselves with existing policies and policy revisions as they may occur. Although not exhaustive, the policies presented hereafter are a select subset of university policies that impact faculty or are applicable only to faculty. The full set of policies are maintained on the university website. When official university policies and procedures are changed by the Board of Trustees or other duly constituted authority, such changes become effective on the date designated at the time of their adoption and supersede any conflicting or inconsistent provision in the Faculty Handbook. The most recent versions of the University of Memphis Policies (hereafter “university policies”) are available on the University of Memphis website (hereafter “the university website”). Questions about a particular policy or issue should be addressed to the division administrator. In accordance with Section 1.5 of this Handbook, the responsible administrative divisions will consult with the Faculty Senate regarding proposed policy changes that may impact faculty.

### 3.1 Faculty Personnel Policies

#### 3.1.1 Equal Opportunity and Affirmative Action

Faculty appointments are subject to the laws of the State of Tennessee, and the requirements and policies of the university, including conflicts of interest and personal benefits, discrimination, sexual harassment, outside employment, research, patents and copyrights, promotion, and tenure. It is the responsibility of faculty members as university employees to acquaint themselves with existing policies and policy revisions as they may occur. Policy manuals are maintained on the university website.

#### 3.1.2 Faculty Applications

The university advertises faculty positions in appropriate professional journals and other sources to encourage applications from faculty from diverse backgrounds. Those interested in an open faculty position at the university should electronically submit appropriate materials prior to the stated deadline. Application materials are reviewed by the appropriate departmental faculty. Applicants for faculty positions who are invited to the campus usually will meet with faculty members, chairs, deans, vice presidents, or others so that all parties may gain as much information and understanding as possible. Although information is shared and questions answered, the university cannot be committed in any way during these interviews. Note: Tenn. Code Annotated 49-5-406 requires applicants for faculty positions to disclose any prior criminal record and/or prior dismissals from employment for cause. Failure to comply with this law may result in fine, dismissal, or both.

### 3.1.3 Faculty Recruitment, Application, and Selection

The university policy on Recruitment, Application, and Selection of Faculty, which is posted on the university website, should be followed for all external and internal applicants for full-time faculty positions. This policy ensures that all applicants for full-time faculty positions are treated fairly and consistently during the recruitment and hiring processes.

An external or internal search is required to fill all full-time faculty positions except for the circumstances described in the university's Waiver of Search Policy which is available on the university website.

Faculty appointments, and all conditions related to them, are made only by the university president, in writing, subject to appropriate approvals and policies of the university. All nontenured faculty members are required to sign an employment agreement at the beginning of each contract period. Notice of any salary adjustments are sent to members of the faculty after the budget for the ensuing year is approved by the Board of Trustees.

### 3.1.4 Nepotism

Tennessee state law prohibits employment of close relatives (i.e., spouses, siblings, children, etc.) within a direct line of supervision. Related individuals may be employed by the university, but a relative may not supervise the activities of another, including a relative with management responsibility over the function in which his or her family member is employed. Further, the university prohibits enrollment of a faculty member's spouse, children, or siblings in a class for which the faculty member is the instructor of record.

### 3.1.5 Conflicts of Interest/Personal Benefits

In accordance with university policy, all employees of the university serve the interests of the state of Tennessee and its citizens and have a duty to avoid activities and situations that, either actually or potentially, put personal interests ahead of the professional obligations that they owe to the university. All employees serve a public interest role and thus have a clear obligation to conduct all affairs of the university in a manner consistent with this concept. Employees shall not use their positions to secure anything of value, or any financial gain or personal benefit, that would not ordinarily accrue to them in the performance of their official duties or through personal, non-university connected activities. University employees shall avoid external commitments that significantly interfere with the employee's duties to the university and diverge from the best interests of the university.

### 3.1.6 Discrimination and Harassment

University policy prohibits discrimination against employees regarding equal employment opportunity and students regarding equal access to educational programs. Further, the university is responsible for maintaining a campus as a place of work and study for faculty, staff,

and students, free of harassment on the basis of inclusion in any protected class. All university policies related to discrimination and harassment can be found on the university website.

### 3.1.7 Faculty Credentials

The university requires all applicants for faculty positions to show proof of credentials before they are hired. The minimum credentials for all faculty at the university are defined by Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) as follows:

- a. Faculty teaching general education courses at the undergraduate level: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- b. Faculty teaching associate degree courses designed for transfer to a baccalaureate degree: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- c. Faculty teaching associate degree courses not designed for transfer to the baccalaureate degree: bachelor's degree in the teaching discipline, or associate's degree and demonstrated competencies in the teaching discipline.
- d. Faculty teaching baccalaureate courses: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline).
- e. Faculty teaching graduate and post-baccalaureate course work: earned doctorate/terminal degree in the teaching discipline or a related discipline.
- f. Graduate teaching assistants: master's in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations.

Exceptions to the minimum faculty credentials requirements may be approved by the provost. Because of accreditation requirements, academic units and departments may have more specific minimum faculty credential requirements.

### 3.1.8 Language Proficiency

The university assesses the English proficiency of all candidates for faculty positions (including part time and adjunct faculty and graduate teaching assistants) prior to employment to insure adequate proficiency for direct instruction of students. The minimum criteria for evaluation of English proficiency are: (1) an ability to speak and write English clearly, (2) an ability to understand written and spoken English, and (3) an ability to communicate effectively in an academic environment (for example, previous successful employment in an academic institution). The department chair is responsible for ensuring that a candidate being appointed to a faculty position meets the minimum criteria for English proficiency. . The university

reserves the right to further assess English language proficiency after a faculty member has been appointed to help ensure the quality of direct instruction of its students.

### 3.1.9 Personnel Files and Disclosure of Records

An official university personnel file is maintained for all employees except undergraduate student employees. Faculty personnel files may include the following documents: professional data (transcripts, vitae, etc.), employment agreements, personnel actions (appointment, tenure, promotion, salary), evaluation documents, letters of recommendation and benefits selection forms. Faculty members or their authorized representatives may review their own files upon request. The university generally limits disclosure of personnel records to those officials in the faculty member's direct line of supervision.

Personnel records and information, with certain exceptions, must be disclosed pursuant to a valid request by a citizen of Tennessee in conformance with the Tennessee Public Records Act, Tenn. Code Ann. 10-7- 503, 504. The Act permits the university to withhold only the following information regarding employees and/or members of their family or household: unpublished telephone numbers, bank account information, social security numbers, and driver's license information (unless the employee's position involves operation of a motor vehicle), and certain types of protected information as identified in the Tennessee Public Records Act. The university attempts to notify any affected employee whenever it receives a Public Records Act request for an employee's personnel information and provides the name of the party submitting the request. The university's policy and procedure regarding Public Records Act Requests can be found on the university website.

### 3.1.10 Faculty Professional Development

Faculty development resources should be available to all faculty to help them meet their maximum potential and to acquire new skills, technologies, and bodies of knowledge in a society that is rapidly changing. In the area of teaching, sources of faculty development should provide information on course development, instructional techniques and technologies, pedagogical strategies that promote learning and effective methods of collaboration with student teaching assistants. In the area of scholarship, sources of faculty development should assist the faculty in enhancing the quantity and quality of written publications, conference presentations, proposals for external funding, performances, and creative products. In the area of outreach and service, sources of faculty development should be available to assist the faculty in contributing to departments, colleges, universities, communities, and professions.

The department chair, in consultation with faculty within the department, has the primary responsibility for making suggestions on how to improve teaching, scholarly productivity, outreach and service. In academic units without departments, the dean will consult with faculty in the academic unit and will be responsible for making suggestions for faculty improvement. Each academic unit and department will devise mechanisms to ensure that faculty have opportunities for professional development.

### 3.1.11 Professional Development Assignments

The Professional Development Assignment program encourages tenured and tenure-track faculty members to continue their professional growth develop as teachers, scholars, and researchers. The period of an award may be for one semester, at full pay, or for one academic year at half pay. All tenured faculty are eligible for Professional Development Assignments with a minimum of seven (7) years of full-time service. A faculty member may apply after only five years from the approval of a prior award, provided that he or she proposes to spend a full year on the assignment, at half pay. Exceptions may be granted by the provost. Professional Development Assignments approved by the university may be credited toward completion of the probationary period. Each academic unit shall post guidelines and procedures for the application and selection processes for Professional Development Assignments.

### 3.1.12 Faculty Meetings

Meetings of the university faculty are called by the president, provost or a designated representative and the dates are published in the bulletins. Faculty are expected to attend these meetings. Academic unit meetings are called by the deans, who will announce times and locations. Department meetings are called by the department chair who will announce times and locations.

### 3.1.13 Commencement

The university's annual commencement consists of three convocations: spring, summer, and winter. At least one-fourth of all full-time faculty members in each department are to participate in the spring and winter convocations; in the summer, one-fourth of the faculty who teach in the second term, plus the chair or a designee, are to participate.

Selection of participants is the responsibility of the department chair. At least six weeks prior to each commencement, the chair will furnish the director of commencement with their names. Academic regalia should be ordered at least one month before the convocation through the Commencement Office.

### 3.1.14 Appropriate Use of Information Technology Resources

Information concerning the university's policy on appropriate use of the university's technological resources can be found on the university website.

### 3.1.15 Graduate Faculty Status

The university bestows the designation graduate faculty on individual faculty members following review of their credentials and recommendation by their colleagues. Applicants for graduate faculty status must show evidence of scholarly productivity. Once conferred, graduate faculty must submit evidence of continued scholarly productivity every five years to retain the status.



The graduate faculty support graduate programs by chairing and serving on graduate student committees, planning, and designating graduate instructional programs, supervising graduate student research, participating in the design and review of policies governing graduate affairs, and discharging other duties critical to maintaining an effective graduate school.

Information on the requirements for graduate faculty status is available on the university website.

### 3.1.16 Travel

The university policy on travel, which can be found on the university website, applies to the travel of all employees and students in the performance of their official duties and university sponsored activities. Provisions of this policy also may apply to individuals other than employees who are authorized to travel at university expense. The purpose of the policy is to facilitate effective and economical university travel while maintaining the necessary controls for accountability. The university needs to comply with state and federal law and to the greatest extent possible, minimize administrative costs.

### 3.1.17 Extra Compensation and Outside Employment

Full-time employment demands an individual's full-time professional expertise, commitment, and energies. The assignable load of an academic year/9-month term faculty member, in combination with teaching, research, administration, and service constitutes a full-time assignment. The university also recognizes that outside consulting and other professional experiences in which members of faculty and staff may engage can be of value to students, employees, and to society. Such activities contribute to the quality of instruction, enhance the competency of the individual, contribute to the economic development, and bring credit to the institution. Therefore, under certain circumstances, faculty and administrative/professional staff may need to perform additional assignments for which extra compensation may be warranted. The university policy on Extra Compensation and outside Employment contains the general provisions to cover these circumstances and limitations under which outside employment and/or extra compensation may be appropriate.

### 3.1.18 Summer Compensation

Summer appointments are contingent on the teaching, research, administrative, and service needs of the department and the university. Summer assignments are separate from academic-year appointments and is for work performed during the Summer Term. The limits on summer compensation are provided in the university policy on Summer Compensation which is available on the university website.

## 3.2 Faculty Instructional Policies

### 3.2.1 Textbooks and Faculty-Authored Educational Materials

The selection of textbooks is a departmental function. Faculty members submit orders for books and supplies required in their classes through the university bookstore. When requesting student acquisition of course resources (e.g. textbook, readings, online materials, etc.) faculty should take into consideration a broad range of course content accessibility issues including, but not limited to, cost, format, platform, and availability. Faculty are strongly encouraged to ensure course resources are readily available for student use in a common area, such as the University Libraries' reserve rooms or electronic reserves system, with disability-related accessibility for all users at all times, on all devices.

In accordance with the university policy on Faculty Authored Educational Materials, copyrighted materials prepared by the university faculty and staff may be required for student purchase only by the decision of a committee of the department in which it is to be used. The purchase of faculty authored educational materials must also be approved by the department chair. In the case where educational materials are authored by the department chair, the dean will be responsible for the selection process and for the final approval of the materials. In the case of a dean who authored such materials, the provost must approve use of the materials.

Each department or academic unit shall post guidelines for selecting faculty authored educational materials. The guidelines must, at a minimum, include a requirement that a comparison of the faculty authored materials to available alternative materials must be made with respect to cost, quality, and author remuneration. Specifically, the faculty authored materials should be:

- competitively priced or cost less than other alternative materials.
- comparable in quality or higher in quality than other alternative materials
- comparable in the amount of remuneration the author(s) receives to other standard textbooks in the discipline.

In addition, anyone preparing materials to be copyrighted and designed only for a university audience must obtain advance approval to avoid possible financial loss in accordance with the university policy on Intellectual Property.

Faculty-authored material that students are required to purchase may not be sold directly to students by a faculty member, department, or college, but must be available for purchase at established outlets, including the university bookstore.

### 3.2.2 Student Behavioral Expectations and Responsibilities

The Student Code of Rights and Responsibilities, which is maintained on the university website, describes all policies and procedures related to behavioral expectations and responsibilities for students.

### 3.2.3 Academic Advising

The university is committed to quality academic advising that fosters student growth and development. Quality advising helps students understand the aims and purposes of higher education; provides information and resources concerning the university's program, opportunities, and requirements; and helps students identify their educational and career goals. Faculty advisors have the following responsibilities:

- Maintain up-to-date files on advisees;
- Provide accurate academic information about course offerings, departmental policies, degree requirements, study habits, grade point averages, graduate study opportunities, and career choices related to the major;
- Prepare an accessible advising schedule which includes flexible times and modes for individual sessions;
- Encourage advisees to review their progress toward degree completion to assure early detection of problems;

Advising assistance is available from the academic unit advisor, degree analysis, and on the university website.

### 3.2.4 Advising Student Organizations

Faculty members are at times asked to serve as advisors to honorary, leadership, and recognition societies, professional organizations, social fraternities and sororities, and special interest groups (e.g., political, religious, athletic), each of which is expected to have a faculty or administrative advisor. Advisors generally work with organizations on matters such as leadership, finance, and general operations. In addition, faculty advisors are expected to maintain records and sign for the expenditures from student activity fees.

### 3.2.5 Confidentiality of Student Records

It is the policy of the university to comply with the Family Education Rights and Privacy Act (also called FERPA or the Buckley Amendment). The Buckley Amendment was designed to protect the confidentiality of personally identifiable educational records of students and former students. Each faculty member is individually responsible for complying with its provisions. The full guidelines are available on the university website.

### 3.2.6 Grading

Faculty members are responsible for ensuring the documentation of students' standing in classes throughout the semester. At a minimum, a duplicate grade record should be stored in an alternate location, and the department chair should be notified of that location. This will ensure that grades are protected in the event of the death or serious illness of the instructor, or a natural disaster. Faculty should keep the records on which final grades are based for at least

twelve months. Term papers and examinations may be returned to students, but a record of scores used to calculate the final grade should be maintained.

Faculty should post grades as instructed on the Registrar's website. Grades are available to students within two to three days after they are reported to the Registrar's Office.

Tennessee law requires the university to withhold grade reports, transcripts, and diplomas from students who have financial obligations to the university. Faculty members should check with the Registrar's Office before furnishing anyone with a written certification of final grades.

Once grades are submitted to the Registrar's Office, they can be changed only by the faculty member except as provided for in the university's Grade Appeals procedures.

### 3.2.7 Class Attendance and Grading

Students may not attend classes unless they are properly enrolled. Faculty are responsible for ensuring that the students in attendance in their course appear on the official class roster.

At their discretion, faculty may use class attendance in determining grades. If attendance is used, a complete written statement of the attendance policy that details the weight of attendance in determining the final grade must be given along with the course syllabus to students present at the first and second meetings of the class. Students may have extenuating circumstances that make it impossible for them to attend a class session(s). These absences may be an exception to the class attendance policy set by the instructor. They include military orders, court-imposed legal obligations, religious observances, extended illness, participation in university or academic unit sponsored activities, athletic activities, and obligations to represent the university. The procedures for handling extenuating circumstances are described in the university policy which is posted on the university website. Student Health Services does not document medical absences for students. If a medical excuse is required as part of a class attendance policy, students must obtain this service at another health facility.

### 3.2.8 Faculty Availability

Academic units or departments shall post guidelines to ensure that faculty establish, communicate, and maintain reasonable opportunities and access for student-faculty interaction outside the classroom. At a minimum, faculty members shall provide opportunities and access consistent with the mode of instruction and commensurate with the number of credit hours of the course offering. The Faculty Availability guidelines are applicable to faculty teaching during the summer session as well as the regular semesters.

### 3.2.9 Faculty Absences

A faculty member who must be absent from a class for any reason is responsible for seeing that there is no reduction in student learning. For an anticipated absence, the faculty member will notify the department chair of the absence in advance and provide a plan to ensure there is no reduction in student learning. The department chair may reject the plan and implement an

alternative plan if he or she determines that the plan provided by the faculty member will result in a reduction in student learning. If the absence is unanticipated, the faculty member will notify the department chair as soon as possible and upon their return develop a plan to ensure that there will not be a reduction in student learning.

For a prolonged absence necessitating the employment of an alternative instructor, the department chair must get approval from the dean.

### 3.2.10 Inclement Weather and Emergency Closings

When inclement weather or other emergency situations make driving hazardous, university officials may curtail all operations until conditions improve. Unless and until an official closing announcement is issued by local news media, faculty members are expected to hold classes as usual.

### 3.2.11 Veteran and Athlete Progress Reporting

The university is required to submit to the Veterans Administration information regarding class attendance and participation of veterans and dependents receiving benefits. Faculty are asked to complete and return forms to the Office of Veterans Services for students enrolled in their classes.

The Center for Athletic Academic Services asks faculty for progress reports of athletes in their classes. The Center provides counseling, tutoring, scheduling assistance, career planning, and special services for all university athletes.

### 3.2.12 Examinations

The schedule of final examinations for each term is maintained on the university website. Examinations are to start promptly at the designated times and may not extend beyond the period indicated (two hours for the fall and spring semesters, ninety minutes for the summer terms). Faculty members may not give examinations at a time other than the scheduled one, except with written permission from the provost.

### 3.2.13 Disability Resources for Students

Disability Resources for Students (DRS) collaborates with the campus community to design an inclusive and accessible environment for students with disabilities. As such, DRS promotes inclusion through innovative programming, consultation, and accommodations and services for qualified students with disabilities. Faculty should refer any student requesting accommodations to DRS to ensure professional standards are applied to the development of accommodation plans. The faculty will then receive notification of accommodations, if applicable, for that student. Faculty may also log in to the DRS Online Faculty portal to see student accommodation plans. Because the University values diversity and has legal obligations regarding disability accommodations, faculty members should always cooperate with the accommodation plan developed by DRS. If a faculty member has any questions or reservations

about a student's accommodations, the faculty member should contact DRS directly to discuss those questions or concerns and work with DRS to develop an appropriate and reasonable plan for that student. Further information about DRS for faculty, including a recommended syllabus statement, is available on the DRS university website.

### 3.3 Faculty Research, Scholarship, and Creative Works Policies

#### 3.3.1 Research Misconduct

Consistent with federal regulations, the university is the primary agent for the prevention, detection, and investigation of research misconduct by faculty, staff, and students. The university strives to ensure the integrity of research, protection of the rights of faculty, staff, and students involved in research, the rights of research subjects, and the protection and rights of the public. The university also observes the local requirements related to federal research funding and other external funding sources.

All employees who are engaged in any kind of research, whether funded by the University, an external agency, or unfunded, are responsible for familiarizing themselves with this policy to ensure that research at the university is conducted with the highest ethical standards.

#### 3.3.2 Intellectual Property

The university's policy Intellectual Property is applicable to all faculty, administrators, staff, students, and other individuals employed by or enrolled in the university. It is the responsibility of these individuals to acquaint themselves with this policy. The policy which is available on the university website covers the ownership, distribution, and commercial development of the intellectual property of all faculty, staff, student employees, students, and postdoctoral fellows, as well as non-employees who participate or intend to participate in teaching and/or research or scholarship projects at the university.

#### 3.3.3 Safeguarding Research in Progress

It is the responsibility of the individual faculty member to take the necessary steps to protect research in progress.

#### 3.3.4 Regulatory Issues

Federal and state regulatory agencies, granting agencies, and other funding sources promulgate regulations, standards, and related requirements that have the potential to impact laboratory research activities. The standing committees at the university which oversee compliance of many of these requirements can be found on the university website.

#### 3.3.5 Faculty Incentive Compensation

In accordance with university policy on Faculty Incentive Compensation which can be found on the university website, faculty may receive supplemental compensation based upon research

and scholarly productivity. In no case will Incentive Compensation be charged to a sponsored project. The purpose of the policy is to reward faculty for sustained research productivity and scholarly activities.

### 3.3.6 Disclosure of Financial Interest Related to Sponsored Research

University employees responsible for the design, conduct, or reporting of a sponsored project at the university must disclose significant personal financial interests related to the Investigator's institutional responsibilities. When the university determines that such an interest might reasonably appear to be directly and significantly affected by the sponsored project, the university will take steps either to manage or to eliminate the conflict of interest.

### 3.3.7 Certification of Effort

As a condition of receiving federal funding, institutions must maintain an accurate system for reporting the percentage of effort that employees devote to federally sponsored projects. Compliance with the Certification of Effort policy protects the university against penalties and funding disallowance due to inaccurate, incomplete, or untimely effort reporting. All individuals involved in the effort certification process are expected to abide strictly by the provisions of the policy.

## 3.4 Salary, Leave, and Benefits

### 3.4.1 Salaries

Faculty salary payments for the academic year are paid over a twelve (12) month period (September through August) and are deposited directly into the faculty member's bank account, normally on the last banking day of each month.

Compensation for part-time or adjunct faculty is evenly divided into three monthly payments. Salary payments are made on the last banking day of the month. For the fall semester, payments are made on the last banking days of October, November, and December. For the spring semester, payments are made on the last banking days of February, March, and April. Salary for faculty who do not complete a full academic year or full semester, or who begin employment late in the semester, is prorated as follows:

- A. Faculty who complete one full semester will earn one-half of their academic year salary.
- B. When an appointment begins or ends on a date other than the beginning or end of a semester, the compensation for that part of a semester will be calculated as follows:
  1. Compensation will be based on the actual number of faculty workdays in the semester which is maintained by the provost and available on the university website.
  2. The period between fall commencement and spring registration, approved holidays, the fall break, and the spring break are excluded when calculating the number of workdays in each semester.

Payments for the summer session, longevity payments, and extra compensation are included in the month-end paycheck. Faculty may authorize payroll deductions for approved charitable organizations.

### 3.4.2 Educational Benefits

The Staff Scholarship & Fee Waiver program allows faculty members to take one course per semester at no charge. The spouse and dependent children of faculty are entitled to a 50% fee discount for undergraduate courses at any public state university or college. Dependent children are eligible for this program through age 26. More information on these educational benefits can be found on the university website.

### 3.4.3 Leaves of Absence

It is the policy of the university to provide approved, time off to regular employees due to reasons of illness or injury, leave for educational purposes and for justifiable personal reasons. In accordance with university policy, a leave of absence, not to exceed one year, may be granted for justifiable absences for personal and/or medical reasons under certain circumstances. Further information on paid and unpaid leave such as sickness, military, court, emergency, parental, etc.) can be found on the university website.

### 3.4.4 Retirement and Insurance Benefits

Detailed information on faculty retirement and insurance benefit plans can be found on the university website. In addition, the privileges for retired faculty are described on the university website.

### 3.4.5 Holidays

Dates of official university holidays are announced annually and are available on the university website.



## Chapter 4: Tenure-Track and Tenured Faculty Policies

As stated in Section 2.1, The Board of Trustees is responsible for promulgating a tenure policy at the university. In the event of any conflict or inconsistency between board policy and this handbook, the board policy will apply.

### 4.1 Tenure

Tenure's importance derives from the significant benefits it confers not just on faculty but on academic units and universities themselves. Most critically, tenure safeguards the academic freedom so vital to open academic inquiry and discourse. It also enables faculty members to engage in long range and experimental projects that might not yield immediate results. It permits open and candid faculty participation on committees dealing with controversial issues.

Tenure is not a sinecure guaranteeing lifelong employment. Tenure entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for adequate cause, financial exigency, or academic program discontinuance. The burden of proof that tenure should be granted rests with the faculty member. Tenure is acquired only by positive action of the Board of Trustees and is awarded in a department, academic unit, or approved center/institute. The award of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to the university.

A typical tenure track faculty career begins with a full-time appointment as a tenure-track assistant professor with a probationary period of six years. The probationary faculty member will apply for tenure during the sixth year. If tenure is not granted, the faculty member will be permitted to serve a seventh year as a terminal year. Faculty may apply for early consideration for tenure, may have their probationary period extended, or may petition for a suspension of one or more years of the probationary period. Tenured associate professors may be promoted to full professor after at least five years at the rank of associate. All faculty members are expected to achieve a significant level of accomplishment in teaching, research / scholarship / creative activity, and service to merit promotion to full professor. Throughout this career path, annual evaluations conducted as are appropriate reviews for promotion and tenure.

The quality of the faculty of any university is maintained primarily through the appointment and evaluation by competent faculty and administrative officers, of each candidate for tenure and/or promotion. The tenure and/or promotion process begins at a department or tenure granting center/institute level (hereafter "department") and requires an understanding of the objectives and aims of the department, academic unit, and university. In academic units that do not have departments, the evaluation processes begin at the academic unit level.

Criteria to aid in making appraisals have been formulated in guidelines established by the individual departments, the individual academic units, and the university. Departmental and academic unit guidelines must be consistent with the policies of the university and should be

tailored to the demands of the specific discipline. Departmental and academic unit criteria are designed to allow each department to maintain the degree of specialization in its faculty that the profession requires.

#### 4.2 Tenure Track and Tenured Faculty Appointments

Tenure track and tenured faculty appointments are appointments for full-time faculty positions at the university. Tenure track faculty are employed for a probationary period prior to consideration for tenure and/or promotion. Probationary appointments generally may not exceed a period of six years. Extension of the probationary period will be considered only as described in Section 4.9.3D. Tenure track appointments are subject to annual renewal by the university. Tenure-track appointments do not create or convey any right to permanent or continuous employment, nor do they create any manner of legal right, interest, or expectancy of renewal or any other type of appointment.

Tenure appointments are appointments of full-time faculty who have been awarded tenure by the Board of Trustees upon recommendation of the president. Tenure appointments include the assurance of continued employment during the academic year, subject to the conditions described in Sections 4.9 and 4.10. Faculty members who hold a tenured appointment in a department or other academic unit, and then are transferred to another department or academic unit retain their tenure status. A faculty member cannot be compelled to relinquish tenure as a condition of the transfer.

An internal or external search is required for the appointment of all tenure-track and tenured faculty positions, except for the specific circumstances described in the Waiver of Search policy. The university policy and procedures for recruitment, application, and selection of faculty can be found on the university website. There are two types of appointments for tenured and tenure-track faculty: full-time academic year(nine-month) appointments and full-time 12-month appointments, typically applicable to some faculty holding administrative appointments.

A faculty member's 9-month or 12-month starting salary will be clearly stated in the appointment or offer letter. In general, salary adjustment recommendations are initiated by the department chair or the director of an approved center/institute (hereafter 'department chair'). Recommendations for salary adjustments are reviewed and approved, altered, or rejected by each of the following officers: dean, provost, and president. When the department chair and/or dean makes salary recommendations, he or she is expected to share with the faculty the general principles and reasoning in determining salary recommendations. A faculty member may appeal his or her annual salary recommendation using the general appeals procedures discussed in Appendix B.1.

### 4.3 Tenure Track and Tenured Faculty Ranks

Tenure-track and tenured faculty are expected to contribute to the missions of teaching, research / scholarship / creative activity, and public service. Specific expectations of tenure track and tenured faculty appointments will be identified in the faculty appointment letter.

The exact apportionment of effort in the missions of teaching, research / scholarship / creative activity, and service is a function of the skills of the faculty member and the needs of the department, academic unit, and university. All tenured and tenure-track faculty are expected to provide high quality instruction, pursue excellence in research / scholarship / creative activity, and contribute meaningful service to the university.

Although the general scope of performance at a particular rank is consistent across the university, the specific requirements of the varying ranks are a function of the discipline and are typically defined by the faculty of the department in which an appointment resides. The minimum credentials for tenure-track and tenured faculty of all ranks at the university are described in Section 3.1.7. All tenure-track and tenured faculty at the university must hold a rank and/or title in accordance with those described in the Faculty Handbook.

#### Assistant Professor

- Evidence of potential ability in instruction, service, and research.
- Professional comportment consistent with the Faculty Code of Conduct

#### Associate Professor

- Documented evidence of ability in instruction, service, and research.
- Served at least five years at the rank of assistant professor. Exceptions to this minimum rank qualification can be approved by the provost.
- Documented evidence of high-quality professional productivity which is leading to national recognition in the academic discipline.
- Professional comportment consistent with the Faculty Code of Conduct

#### Professor

- Documented evidence of sustained ability in instruction, service, and research.
- Served at least five years at the rank of associate professor. Exceptions to this minimum rank qualification can be approved by the provost.
- Documented evidence of sustained high quality professional productivity and national recognition in the academic discipline.
- Professional comportment consistent with the Faculty Code of Conduct

### 4.4 Special Faculty Titles

Special titles may be awarded to tenure-track or tenured faculty who have earned national and/or international recognition for educational, creative, research and/or scholarly

contributions in their field. Special titles do not indicate an increase in a faculty member's rank.

### Emeritus Professor

The honorary title of professor emeritus may be awarded by the provost to faculty members who retire with the rank of assistant professor, associate professor, or professor, who have completed ten years of service to the university, and who are recommended by the chair or a faculty member within the department. Recommendations for emeritus status should be based upon a solid record of teaching, scholarship, and service.

### Chair of Excellence

Outstanding faculty are appointed to fill endowed Chairs of Excellence. Faculty holding appointments as Chairs of Excellence are considered to be academic leaders, and as such, often will be consulted by the provost and their deans regarding development and implementation of academic policy. Although Chairs of Excellence report to the chair of their home department regarding departmental matters, they often interact directly with the deans and the provost in many matters concerning academic governance. A faculty member appointed to a Chair of Excellence will also hold a tenured or tenure-track appointment in the faculty member's department or academic unit. Faculty members holding an appointment as a Chair of Excellence remain subject to the same rules and conditions applicable to all tenure-track and tenured appointments.

Faculty holding appointments as Chairs of Excellence are expected to perform at levels exceeding those for the professor rank within their units, to mentor and graduate doctoral students, and to lead within their faculty, may receive salary supplements and various forms of fiscal and staff support accordingly. Faculty holding Chairs of Excellence are expected to continue to perform at the same level of research and/or scholarly excellence that led to their appointment as a Chair of Excellence. In STEM areas, Chairs of Excellence are expected to support research students, labs, and post-docs, and to lead colleagues in programmatic developments at federal levels.

Faculty members holding Chairs of Excellence will be evaluated annually by their department chair or the dean. In addition to the annual review, the provost will form a committee to conduct a more comprehensive review of the work of a Chair of Excellence every seven (7) years. The committee will include the provost, Executive Vice President of Research & Innovation, dean, and department chair. Documents submitted for review of a Chair of Excellence should include the original contract, copies of annual performance evaluations, an updated curriculum vitae, and a brief status report. This report should summarize the professional work of the Chair of Excellence over the previous seven (7) years with respect to the expectations stipulated in their appointment as a Chair of Excellence, including any revisions which had been made in those plans over the intervening

years. The report should also include the direction(s) the Chair of Excellence plans to take over the upcoming years in his or her professional work.

Each member of the committee should review the documents submitted by the Chair of Excellence individually and then meet as a group with the Chair of Excellence to conduct the planning and review process. Once the review is completed, the provost will have responsibility for making the final assessment of the prior performance and future plans of the Chair of Excellence based upon his/her consultation with the other committee members. Failure to continue to perform at a high level of research and scholarly excellence could lead to removal from a Chair of Excellence, and the loss of the associated benefits accruing to the faculty member in his or her status as the holder of the Chair of Excellence.

#### Endowed/Named Professors

The university has received endowments to fund professorships and fellowships. Nominations for these positions are made in accordance with the terms set by the endowments. Additional criteria for the terms and conditions for awarding endowed/named professorships/fellowships, which do not conflict with the terms set forth by the endowment, may be specified by individual academic units and departments. These positions may provide a salary supplement, additional research funds, administrative support, graduate student funding, and/or release time to pursue research and/or creative projects. Faculty holding endowed/named professorships/fellowships for a period which exceeds seven (7) years are subject to the comprehensive review process, described for Chairs of Excellence, every seven (7) years.

#### Distinguished University Professor

This title may be awarded to faculty at the rank of professor who have displayed an exceptional record of teaching, research and/or creative activities, and service. The title is awarded by the president upon the recommendation of the department chair, dean, and provost.

### 4.5 Joint Appointments

The university recognizes that as the shape of knowledge changes, new disciplinary and interdisciplinary needs may emerge which do not precisely correspond to existing administrative or departmental lines. Tenure-track and tenured joint faculty appointments typically involve participation in the teaching and research of two or more academic units, departments and/or centers/institutes within the university. Prior to the initiation of any advertisement or a hiring action, the concerned academic units shall create a memorandum of understanding (MOU) that documents the responsibilities of each unit regarding the hiring, mentoring, and evaluation, related to the interdisciplinary position. As a result, the MOU will also document the amount of time with respect to teaching, research, and service the appointee is expected to spend with respect to each academic unit and the financial

responsibilities of each unit with respect to salary, and other support. This MOU shall be signed by the department chairs and deans.

#### 4.6 Promotion

The minimum criteria for promotion of tenure-track and tenured faculty are stated in Section 4.3; however, faculty members applying for promotion must also satisfy any applicable criteria for promotion required by their individual department and academic unit. Annual Performance Reviews form the basis of a cumulative record that prepares a faculty member for promotion. Assistant professors must be considered for promotion to the rank of associate professor at the same time as they are considered for tenure. Associate professors serve at least five years in rank before promotion to full professor. Exceptions to this policy require approval by the dean and provost.

An associate professor should consult with his or her department chair before initiating promotion procedures. The decision on proceeding rests with the faculty member. However, if the faculty member is denied promotion, then he or she must forgo at least one full promotion cycle before again initiating promotion procedures.

The standard salary increase is 7% or \$3,500 for promotion from tenure-track Assistant Professor to tenured Associate Professor, whichever is greater. The standard salary increase is 7% or \$6,000 for promotion from tenured Associate Professor to tenured Professor, whichever is greater.

#### 4.7 Summer Session Appointments

Tenure track and tenured faculty holding regular full-time academic year appointments may teach up to eight credit hours during the summer semester. Faculty are paid extra compensation for summer semester teaching. The formula for summer teaching compensation is determined by the dean and the provost. Summer session compensation for instruction may not exceed 25% of the preceding academic-year salary. Summer employment is by invitation and contingent on instructional needs of the department and the university. Summer session classes will be cancelled unless they meet minimum enrollment standards established by the university. In accordance with university policy, any summer earnings for instruction in excess of the 25% limit will be recouped from future earnings.

#### 4.8 Faculty Workload

The assigned workload for full-time tenure track faculty consists of a combination of teaching, advising, research /scholarship / creative activity, and institutional and/or public service. Each academic unit will develop, maintain, and disseminate a workload policy which is approved by the provost. The department chair is responsible for determining a faculty member's responsibilities, in consultation with the faculty member, in a manner which is consistent with the academic unit workload policy. The university requires that each member of the faculty perform a reasonable and equitable amount of work each year.

The normal maximum teaching responsibility of a full-time faculty member engaged only in classroom teaching is 15 credit hours each semester. The specific teaching responsibility of each individual will be based on such things as course level, class size and the number of examinations, papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught, and other appropriate considerations will be used to determine teaching responsibility. All faculty are expected to teach at every level/division in their program's course offerings for which they are qualified. Classroom teaching responsibility may be reduced by the department chair for other justifiable reasons including student advising, active involvement in research and/or creative activities (with publications or other suitable forms of recognition), direction of graduate theses or dissertations, teaching non-credit courses or workshops, administrative duties, and institutional and/or public service.

#### 4.9 Faculty Planning and Evaluation

##### 4.9.1 Annual Performance Review

The annual faculty planning and evaluation process, also known as the Annual Performance Review process, is conducted in the spring semester. The department chair manages the Annual Performance Review process to ensure compliance with all deadlines for submission of the review forms to the dean and provost. In academic units without departments, the dean will fulfill the functions of the department chair in the Annual Performance Review process. The Annual Performance Review process has three levels of review: by the department chair, the dean, and the provost.

Any review of a faculty member's professional performance should be conducted with the full knowledge of the faculty member, should allow the faculty member to be informed of the findings prior to the transmittal of the conclusions of the review, and should allow the faculty member to verify that the review has been based on the information that the faculty member provided. To ensure that the evaluation is based upon full and complete information, the faculty member is responsible for submitting the requested information by the specified deadline. The standard faculty evaluation instrument and planning document can be accessed on the university website.

The Annual Performance Review process exists to provide fair, objective, constructive feedback, and relevant support to faculty members. At each successive level of the Annual Performance Review process, the faculty member shall be given an opportunity to review the Annual Performance Review, meet with the administrator that conducted the review, and submit a written response. The faculty member's signature indicates that she or he has read the entire review, but the signature does not necessarily imply agreement with its findings. Nothing in this paragraph is intended to prohibit a faculty member under review from (a) consulting with the faculty ombudsperson, as described in Appendix D, or (b) consulting with representatives of the Office of Institutional Equity.

Annual Performance Reviews are used as a basis for decisions relating to tenure, promotion, workload assignments, recommendations for salary increases and other personnel actions, including decisions regarding renewal of tenure track faculty appointments.

Except as provided in Section 4.9.2 of this handbook as is related to tenured faculty members undergoing post-tenure performance review, every tenure-track and tenured faculty member who is not on leave is reviewed annually.

The goals of these performance reviews are to:

1. review accomplishments as compared to previously set specific objectives for the faculty member by the faculty member and the chair consistent with this handbook and academic unit and departmental guidelines;
2. establish new objectives for the coming year, as appropriate, using clearly understood standards that are consistent with this handbook, academic unit guidelines, and departmental guidelines;
3. provide the necessary support (resources, environment, personal and official encouragement) to achieve these objectives;
4. fairly and honestly assess the performance of the faculty member by the department chair; and
5. recognize and reward outstanding achievement.

The department chair will inform the departmental faculty of the schedule for the reviews, any materials that should be prepared and submitted for the reviews and schedule an annual review conference with each tenured and tenure-track faculty member at least two weeks in advance of the date of the conference to allow faculty adequate notice to prepare the required materials.

Faculty performance must be evaluated in a manner consistent with all applicable university, academic unit, and/or departmental policies and procedures, and must apply the following performance ratings:

- 0-Not Evaluated
- 1-Failure to Meet Responsibilities
- 2-Improvement Needed
- 2.5-Good Performance/Improvement Needed
- 3.0-Good Performance
- 3.5-Very Good/Good Performance
- 4.0-Very Good Performance
- 4.5-Exceptional/Very Good Performance
- 5.0-Exceptional Performance

A faculty member who receives an overall performance rating less than 3.0 (Good Performance) is not eligible for any merit-or performance-based pay increases until the next Annual



Performance Review cycle is concluded. A faculty member who receives an overall performance rating of 1 (Failure to Meet Responsibilities) is not eligible for any across-the-board salary increase until the next Annual Performance Review cycle is concluded.

Within 30 days of receipt of the fully executed Annual Performance Review from the dean, any faculty member whose overall performance rating is less than 3.0 (Good Performance) will receive notice from the dean that they must collaborate with the department chair to develop a performance improvement plan unless the performance rating triggers a Post-tenure Review, as described in Section 4.9.2. For academic units without departments, the provost shall fully execute the Annual Performance Review and provide notice within 30 days that the faculty member must collaborate with the dean to develop a performance improvement plan unless the performance rating triggers a Post-tenure Review, as described in Section 4.9.2. The performance improvement plan is to be reviewed and approved by the dean. The annual evaluation of the subsequent year must describe improvements in any focal areas with ratings that fell short of Good Performance that necessitated the improvement plan.

In addition to the annual faculty performance review process stated herein, tenure track faculty will also receive a Mid-Tenure-Track Review as described in Section 4.9.5.

A faculty member has the right to general appeal of an Annual Performance Review as described in Appendix B.1. A faculty may appeal an Annual Performance Review once the evaluation is fully executed by the dean.

#### 4.9.2 Post-tenure Review

Post-tenure Review is an expanded and in-depth performance evaluation conducted by a committee of tenured peers and administered by the provost. Procedures for conducting a Post-tenure Review are set forth in Appendix E.

This policy recognizes that the work of a faculty member is not neatly separated into academic or calendar years. To ensure that performance is evaluated in the context of ongoing work, the period of performance subject to Post-tenure Review is the five most recent Annual Performance Review cycles.

Post-tenure Review will be initiated by the provost when a faculty member has:

- received one overall annual performance rating of “Failure to Meet Responsibilities”; or
- received one annual performance rating of “Failure to Meet Responsibilities” in the subscore of “Faculty Teaching”; or
- received two overall annual performance ratings of “Improvement Needed” during any four consecutive Annual Performance Review cycles; or
- received two annual performance ratings of “Improvement Needed” during any four consecutive Annual Performance Review cycles in the subscore of “Faculty Teaching”.

A peer review committee is charged to review the information relevant to the faculty member's performance during the review period and to conclude whether or not that performance has satisfied the expectations for the faculty member's discipline and academic rank. The expectations for faculty performance may differ by campus, academic unit, department, and even among sub-disciplines within a department or program. Those expectations may be commonly held standards in the discipline or sub-discipline. Those expectations may be stated explicitly in the faculty member's own past Annual Performance Reviews, work assignments, goals, or other planning tools (however identified), as well as department or academic unit guidelines, this handbook, Board policies, and in other generally applicable policies and procedures.

The peer review committee must reach a conclusion as to whether the performance has satisfied expectations for the faculty member's discipline and academic rank. If the peer review committee concludes that the faculty member's performance has not met the expectations for the discipline and academic rank, the committee must recommend to the provost that either a post-tenure improvement plan be developed or that tenure be terminated for Adequate Cause, in accordance with Section 4.10.1C. The committee must report its conclusions and recommendations in writing, including an explanation for each conclusion or recommendation, and enumerating the anonymously cast vote and a dissenting explanation for any conclusion or recommendation that is not adopted unanimously. The faculty member must have an opportunity to review and respond to the committee's report and recommendations. All written conclusions, the reasoning upon which they are based, and the recommendations of the peer review committee must be reviewed and considered by the provost.

The provost may accept the conclusions and recommendations of the peer review committee or make different conclusions in a written explanation provided to the faculty member with copies to the dean, department chair, president, and members of the peer review committee. If the provost concludes that a post-tenure improvement plan is warranted, the provost will direct the department chair to develop and implement a post-tenure improvement plan in accordance with the procedures described in Appendix E.4. If the provost concludes that the faculty member's tenure be terminated for Adequate Cause, then the Termination Procedures for Adequate Cause for Unsatisfactory Performance, described in 4.10.2, shall be followed.

In the case where a Post-tenure Review process is concurrent with annual review process, the department chair will coordinate with post-tenure peer review committee. Coordination will take one of the following forms:

- a. In the case where a faculty member is undergoing a Post-tenure Review during the time that an annual faculty evaluation is due, when possible, the department chair will postpone the annual faculty evaluation until the post tenure review committee has issued its report and the report has been accepted by the president. The report will be advisory to the department chair in preparing the annual faculty evaluation. The faculty

member has the right to respond to the report. If it is not possible to postpone the annual faculty review until the post-tenure committee's report has been accepted, then the department chair will perform annual faculty review without input from the committee.

- b. In the case where a faculty member is required to follow a post-tenure improvement plan, the peer review committee will provide a written interim report at the mid-point of the improvement plan to the faculty member and the department chair on the faculty member's progress in satisfying the expectations established in the post-tenure improvement plan. The report will be advisory to the department chair, and the faculty member has the right to respond to the report.

Any Annual Performance Review materials produced while a faculty member is undergoing Post-tenure Review or under a Post-tenure Review improvement plan will be made available to the post-tenure peer review committee.

#### 4.9.3 Probationary Period

A tenure-track faculty member must serve a probationary period prior to being considered for tenure. Except as otherwise stated in sections 4.9.3A, 4.9.3B, 4.9.3C, 4.9.3D, 4.9.3E and 4.9.3F, the probationary period will be six years. The faculty member will apply for tenure during the sixth year, and if tenure is not granted, the faculty member will be permitted to serve a seventh year as a terminal year. If a faculty member begins employment after July 1 and before January 1, the remaining term of the faculty member's initial appointment will count as the first year of the probationary period, so that what is treated as the first year of a faculty member's probationary period will not be shorter than six months. The specification of a probationary period and any statement in an appointment letter or otherwise regarding the probationary period and the year of mandatory tenure consideration do not guarantee retention of the faculty member for the full probationary period.

Before beginning the sixth (or final) probationary year, a faculty member with the rank of assistant professor or higher must make application for tenure. Absent an approved exception, application and all supporting documentation for tenure should be submitted before the sixth or final probationary year in accordance with the tenure and promotion calendar maintained by the provost. Candidates for tenure must meet eligibility requirements for promotion to associate professor or have already attained that rank. A tenure-track assistant professor recommended for tenure must also be recommended for promotion.

Tenure applications receive one of two responses: tenure may be granted; or tenure may be denied. Re-application for tenure is not possible and the seventh year, or other final year following application for tenure, will be terminal if tenure is denied.

A faculty member may request an early consideration for tenure before the sixth year of the probationary period but no sooner than the next regular tenure cycle after completion of the first year of the probationary period. The request for early consideration is initiated in the

department or approved center/institute that will be the locus of tenure, if tenure is granted, after discussion with the department chair. If the department chair approves, the chair will notify the dean in writing, justifying the request and asking for approval. Upon review of the request, the dean will indicate in writing approval or disapproval to the provost. For units without departments, the request begins with the dean. The provost will review the request and make the final determination whether early consideration is warranted, based on a review of the applicant's credentials and all applicable criteria. If the provost denies the request, the faculty member cannot apply for early consideration. The decision of the provost is final and not appealable.

#### A. Tenure by Appointment

No faculty member shall be granted tenure upon initial appointment except by positive action of the Board of Trustees upon the recommendation of the president. In exceptional cases, an outstanding distinguished senior faculty member, dean, provost, or president may be awarded tenure upon her or his initial appointment. In those cases, the candidate's application file may take the place of the traditional dossier which is described in Section 4.9.6B.

The Board of Trustees will grant tenure upon initial appointment only if the proposed appointee (1) holds tenure at another higher education institution and the Board determines that the president has documented that the proposed appointee cannot be successfully recruited to the university without being granted tenure upon initial appointment, and (2) will be appointed as an associate or full professor.

#### B. Credit for Prior Service

Credit toward completion of the probationary period may be permitted for previous full-time service at other universities provided that the prior service is relevant to the needs and criteria of the university. All credit for prior service shall be approved by the provost upon the recommendations of the department chair and dean. Any credit for prior service that is approved must be confirmed in writing at the time of the initial appointment.

#### C. Credit for Transfer

If a faculty member serving a probationary period is transferred to another academic unit or department, time spent in the first appointment will count toward the probationary period unless a request from the faculty member to begin a new probationary period is approved in writing by the president.

#### D. Extension of Probationary Period

A faculty member in a tenure-track appointment may request a one-year extension to the probationary period only when such probationary period was originally negotiated

for less than six years. Such extensions are allowed when a faculty member requires additional time to develop a dossier that adequately reflects the candidate's potential long-term contributions to the academic unit and/or department. Extensions will not be granted if the total probationary period exceeds six years.

A faculty member seeking an extension of the probationary period must submit a request, in writing, addressing the considerations described above to the department chair for consideration and recommendation. For units without departments, the request is to be submitted to the dean. The chair's recommendation is forwarded to the dean of the faculty member's academic unit for consideration and recommendation; thence to the provost for consideration and recommendation; and to the president for approval or denial. The president will notify the faculty member, in writing, of the decision to approve or deny the request for extension within one month of submission.

A faculty member may apply for a maximum of two (2) extensions in one-year increments so long as the total probationary period 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. Requests for extension will not be granted retroactively.

#### E. Suspension of the Probationary Period

In general, the provost will not approve suspension of the probationary period for work that advances the faculty member's record in teaching, research, or service. Probationary faculty should not be encouraged to engage in administrative work.

A faculty member in a tenure-track position may request a suspension of the probationary period, also known as "stopping the clock", during his/her probationary period when circumstances exist that interrupt his or her normal progress toward building a case for tenure. In such cases, the faculty member may request a suspension of the probationary period for one year. Reasons for requesting a suspension of the probationary period will typically be related to a personal or family situation requiring attention and commitment that consumes the time and energy normally used to address 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 without showing a preference for or against award of tenure to the faculty member.

A faculty member seeking to suspend the probationary period must submit his/her request, in writing, addressing the considerations described above. The request is to be submitted to the department chair for consideration and recommendation. For units without departments, the request is to be submitted to the dean. Requests based upon

a faculty member's health, care for an immediate family member, and childbirth or adoption, must also be submitted to Human Resources for review and approval. The chair's recommendation is forwarded to the dean of the faculty member's academic unit for consideration and recommendation, thence to the provost for approval or denial. The provost will notify the faculty member, in writing, of the decision to approve or deny the request for suspension of the probationary period within one month of submission.

A faculty member may apply for a maximum of two (2) "stop the clock" periods. Requests for a second suspension of the probationary period will follow the same procedures as the first and subject to the same considerations. Requests to suspend the probationary period will not be granted retroactively.

#### F. Leaves of Absence

Only full-time continuous service at the university is to be included in the probationary period. The period for an approved leave of absence will be excluded from the requisite probationary period unless the provost has specified in writing prior to approving the leave that it will be included. No more than one year of an approved leave may be included in the total probationary period. Leaves of absence will not be granted retroactively.

#### 4.9.4 Notice of Non-Renewal

Notice that a tenure-track faculty member's appointment will not be renewed for the next year will be made in writing by the president after consideration of the recommendations for or against reappointment by the department chair, the dean, and the provost. Faculty members on tenure track appointments who complete their sixth year of the probationary period will either be recommended for tenure by the president, or they will be given notice of non-renewal of the appointment. The notice of non-renewal during their sixth year of the probationary should be given no later than May 15 of the sixth academic year or within thirty (30) days of exhaustion of any appeals. Upon receipt of notice of nonrenewal, the faculty member will be eligible for a one-year non-renewable appointment.

Tenure-track faculty are also subject to non-renewal of their appointments during the probationary period with appropriate notice by the provost. The non-renewal or non-reappointment of any faculty member on a tenure track appointment does not necessarily carry an implication of unsatisfactory work or conduct. A faculty member whose tenure track appointment is not renewed will be given an oral statement of the reason(s) and an opportunity for discussion with the provost.

Tenure track faculty whose annual appointments will not be renewed will be given written notice of non-renewal of their appointment contracts in conformance with the following schedule:

- Not later than April 1 of the first academic year of service if the appointment expires at the end of that year; or, if the appointment expires during an academic year, at least two months in advance of the expiration date.
- Not later than February 1st of the second academic year of service, if the appointment expires at the end of that year; or, if the appointment expires during the academic year, at least five months in advance of the expiration date.
- No later than May 15 of the preceding year if the appointment will not be renewed for the fourth or subsequent years of service; or, if the appointment expires during the academic year, at least twelve months in advance of the expiration date.

Notice of non-renewal becomes effective on delivery of the written notice to the faculty member, or on the date the notice is mailed to the faculty member's home address of record, whichever first occurs. Dates for notice of non-renewal are determined by the year of the probationary period. Failure to give timely notice of non-renewal of a contract will not result in a tenured appointment, but the faculty member will be eligible for an additional one-year, nonrenewable appointment. The decision on non-renewal is not appealable unless the faculty member alleges that the non-renewal of appointment of a tenure track faculty member constitutes a violation of academic freedom. Allegations that non-renewal of a tenure-track faculty member constituted a violation of academic freedom may be appealed under the general appeals procedures described in Appendix B.1

Failure to apply for tenure in the academic year that precedes the end of the probationary period will result in non-renewal of the candidate's contract for the following year. Unlike unsuccessful applications for tenure, the candidate will not be accorded an automatic one-year contract if he or she fails to apply for tenure at the specified time.

Faculty members on tenure track appointments will not be terminated during the one-year term of their appointment except for reasons that would be sufficient for the termination of tenured faculty. The procedures for the termination or suspension without pay of a tenured faculty member, described in Section 4.10.2, must be followed to dismiss for Adequate Cause a tenure-track faculty member prior to the expiration of the one-year term of the appointment. Tenure-track-faculty notified by the provost that they will be terminated or suspended without pay for Adequate Cause prior to the expiration of their one-year-term appointment and/or without advanced minimum notice have the right to appeal the decision in accordance with Appendix B.3.

#### 4.9.5 Mid-Tenure-Track Review

For each tenure-track faculty member, the department tenure and promotion committee and the department chair will conduct a Mid-Tenure Track Review to assess the faculty member's record of performance since the beginning of the probationary period. The Mid-Tenure-Track Review informs the faculty member of her or his progress toward the award of tenure during the third or fourth year of the probationary period, which may be extended past the fourth year

of the probationary period for any faculty member who has been granted an extension of the probationary period (with the year to be determined by the department chair after consultation with the faculty member). For academic units without departments, the Mid-Tenure-Track Review will be conducted by the academic unit tenure and promotion committee and the dean. The Mid-Tenure-Track Review should coincide with the Annual Performance Review process described in Section 4.9.1. The tenured faculty play an important role in the Mid-Tenure-Track Review and are responsible for providing the faculty member with a clear, thoughtful, and professional evaluation of (a) the faculty member's ability to sustain a level of activity that comports with the department's expectations for faculty members at the rank of the faculty member under review and (b) the faculty member's progress toward promotion and tenure in the context of the Faculty Handbook, his or her appointment, academic unit guidelines, and department guidelines. The evaluation criteria for the quality of a faculty member's mid-tenure-track accomplishments should be the same as those used for award of tenure.

#### A. Department Procedures for the Mid-Tenure-Track Review

1. Preparation for Mid-Tenure-Track Review: The faculty member will, with the guidance and counsel of the department chair, prepare and submit to the department chair (for distribution to the department tenure and promotion committee) a dossier of contributions and accomplishments according to departmental, academic unit, and university guidelines. For academic units without departments, the dean will guide and counsel the faculty member through the Mid-Tenure Track Review process. The dossier should reflect the faculty member's cumulative performance, reflecting her or his degree of progress toward award of tenure with respect to expectations related to teaching, research / scholarship / creative activity, and service. The standard format for the dossier can be found on the university website.
2. Review by Department Tenure and Promotion Committee: The department tenure and promotion committee will review the dossier submitted by the faculty member, evaluate the faculty member's performance, provide suggestions for enhancing the faculty member's progress toward the grant of tenure, and make a recommendation on retention. In academic units without departments, the academic unit tenure and promotion committee will review the dossier.
  - a. Composition of the Department Tenure and Promotion Committee: The department tenure and promotion committee shall be comprised of all tenured associate professors and professors. In unusual circumstances, e.g., insufficient numbers of tenured and higher ranked faculty members within a department, additional tenured faculty may be appointed to the committee by the provost upon request from the department chair and dean.



- b. Composition of the Academic Unit Tenure and Promotion Committee: The membership requirements and selection procedures of the academic unit tenure and promotion committee are to be determined by each academic unit and included in the academic unit guidelines; however, only tenured associate professors and professors may serve on tenure and promotion committees. The dean can appoint no more than one third of the members of the academic unit tenure and promotion committee with the remaining members to be elected by the unit's faculty.
3. Vote of Department Tenure and Promotion Committee: The department tenure and promotion committee will take a formal anonymous vote on whether the faculty member is progressing satisfactorily toward the grant of tenure and whether he or she should be retained.
  - a. If the majority of the committee members vote that the faculty member is making satisfactory progress, the committee will prepare a written summary stating that the candidate is making satisfactory progress and recommend retention. The written summary should also address the strengths and weaknesses of the faculty member's accomplishments with respect to the tenure and promotion criteria of the department and academic unit. The summary should provide meaningful feedback and direction to the faculty member. The committee may also submit to the department chair a minority report with the rationale for dissenting opinions.
  - b. If the majority of the committee members vote that the faculty member is not making satisfactory progress, then the committee will take an additional anonymous vote on whether the faculty member should be retained. The committee will prepare a written summary stating that the candidate is not making satisfactory progress toward tenure and include a recommendation on whether he or she should be retained. The written summary will address the strengths and weaknesses of the faculty member's accomplishments and highlight significant shortcomings with respect to the tenure and promotion criteria of the department and academic unit. The committee may also submit to the department chair a minority report with the rationale for dissenting opinions.
4. The department tenure and promotion committee will enter into the dossier the tally of the anonymous vote, if the committee is recommending that the faculty member not be retained; a list of the participating tenured faculty members; suggestions for enhancing the faculty member's progress toward the grant of tenure; and the majority and minority report, if applicable.
5. Review and Recommendation by Department Chair: The department chair conducts an independent Mid-Tenure-Track Review based upon the faculty member's dossier, which will include the written summary and recommendations of the department tenure and promotion committee. In

conducting his or her independent Mid-Tenure-Track Review, the department chair may consult with the tenured faculty as needed. The chair will indicate her or his recommendation for retention or non-retention based on whether the faculty member is progressing satisfactorily toward the grant of tenure. The department chair will also advise the faculty member as to the time remaining in the probationary period and as to how the quality of his or her performance is likely to be assessed by the tenured faculty and the chair in the context of expectations for the award of tenure. The department chair will ensure that the written report includes specific guidance to the faculty member on ways to improve performance. The department chair will send a copy of the written summaries and recommendations of the department tenure and promotion committee and the department chair to the faculty member. The department chair will meet with the faculty member to discuss the written summaries and recommendations of the department tenure and promotion committee and department chair. The faculty member may write a response to the discussions, written summaries, and/or recommendations. The purpose of this response is to allow the faculty member the opportunity to address any concerns or inaccuracies in the reports. The faculty member may also describe plans for addressing concerns raised during the Mid-Tenure-Track Review. In addition, the response ensures that all participants in the process understand the nature and context of the feedback, thereby minimizing miscommunication. If the Mid-Tenure-Track Review results in a recommendation by the department chair not to retain the tenure-track faculty member, the department chair must include in the written summary specific reasons for his or her recommendation. The chair will add her or his recommendation and the faculty member's response, if applicable, to the faculty member's dossier and forward the dossier to the dean.

#### **B. Academic Unit Procedures for the Mid-Tenure-Track Review**

1. **Review and Recommendation by the Dean:** The dean may review the dossier forwarded by the department chair, may conduct an independent review, and may make an independent recommendation on retention based on whether the faculty member is progressing satisfactorily toward the award of tenure. The dean may meet with the candidate to discuss the results of the review. If the dean decides to retain the faculty member, the Mid-Tenure-Track Review is concluded. A favorable Mid-Tenure-Track Review does not commit the tenured departmental faculty, the department, or the academic unit to a subsequent recommendation for the grant of tenure. If the dean recommends that the faculty not be retained, the dean will prepare a written summary which includes the reasons for the recommendation. The dean will provide her or his recommendation for non-retention and the dossier to the provost for review.

The dean will send a copy of his or her written summary and recommendation for non-retention to the faculty member, department chair and department tenure and promotion committee.

### C. University Procedures for the Mid-Tenure-Track Review

1. **Review and Decision by the Provost:** The provost will review the dean's written summary and recommendation for non-retention and may review the dossier, which will contain the written summaries and recommendations of the department tenure and promotion committee, the department chair, and the written response by the faculty member, if applicable, to make the decision on non-retention. The provost will send a copy of her or his decision to the faculty member with copies to the dean, department chair, and the department tenure and promotion. If the provost decides that the faculty member will not be retained, he or she will give the faculty member written notice of nonrenewal in accordance with the notice requirements described in Section 4.9.4. The faculty member is entitled to a statement in writing of the reasons for the non-renewal decision. This statement, together with any subsequent correspondence concerning the reasons, is a part of the official record. The dossier, which will contain the recommendations of the department tenure and promotion committee and the department chair will be returned to the faculty member. The decision by the provost is final and is not appealable unless the faculty member alleges that the non-renewal of appointment of a tenure track faculty member constitutes a violation of academic freedom. Allegations that non-renewal of a tenure-track faculty member constituted a violation of academic freedom may be appealed under the general appeals procedures described in Appendix B.1.

#### 4.9.6 Criteria for Tenure

Full-time, tenure-track faculty appointments at the academic rank of assistant professor, associate professor, or professor are eligible for tenure consideration. A faculty member appointed to an administrative position must attain or retain tenure in a particular unit, department, or approved center/institute. Faculty holding temporary appointments are not eligible for tenure.

Tenure is awarded after a thorough review, which culminates in the university acknowledging a reasonable presumption of the faculty member's professional excellence and the likelihood that this excellence will continue to contribute to the mission and anticipated needs of the academic unit in which tenure is granted. Professional excellence is reflected in the faculty member's teaching (which includes advising and mentoring), research/scholarship (according to the terms of the candidate's appointment), and service or other creative work in the discipline,

participation in professional organizations, willingness to contribute to the common life of the university, and effective work with colleagues and students, including the faculty member's ability to interact appropriately with colleagues and students.

It is the responsibility of departments and academic units to define professional excellence in terms of their respective disciplines. Criteria for tenure and/or promotion shall be established by each department. These criteria may be more restrictive than the criteria of the academic unit and the university, but they must be consistent with those criteria. Criteria for tenure and/or promotion shall be established by the academic unit. These criteria may be more restrictive than the criteria of the university, but they must be consistent with those criteria. Criteria for the tenure and/or promotion shall be established by the university. Academic unit criteria for tenure and/or promotion shall become effective upon approval by the provost. Departmental criteria for tenure and/or promotion shall become effective upon approval by the dean and the provost.

Written guidelines shall be available on the university website and faculty shall be notified of the guidelines when they join the department, when they come up for review during the probationary period, and when they apply for tenure and/or promotion. Faculty members shall be notified when the guidelines are revised and updated on the university website. The provost is responsible for maintaining a master set of approved statements of criteria and expectations for the university, academic units, and departments, if applicable. The deans and department chairs are responsible for ensuring that faculty members are informed about the criteria and expectations that have been developed for their respective academic units and departments (as applicable).

In addition to the criteria for tenure and/or promotion stated in university, academic unit, and department guidelines, administrative criteria such as enrollment patterns and trends, curricular changes, program development, financial consideration, and rank distribution, are considered in tenure and/or promotion decisions. Therefore, a decision to deny tenure or deny promotion does not necessarily mean that a faculty member's work or conduct has been unsatisfactory.

#### 4.9.7 Tenure and Promotion Review

Before beginning the sixth (or final) probationary year, a faculty member with the rank of assistant professor or higher must make application for tenure and promotion. Absent an approved exception as described in Section 4.9.3, application and all supporting documentation for tenure should be submitted in the sixth or final probationary year in accordance with tenure and promotion calendar maintained by the provost which shall be posted on the university website. Academic units and departments may also maintain tenure and promotion calendars for internal deadlines, but the calendars must be consistent with the university tenure and promotion calendar maintained by the provost.

### A. Preparation for Tenure and Promotion Review

Tenure track faculty should work closely with the tenured faculty and department chairs to define goals and to establish documented evidence of excellence to be sure that they are meeting the obligations and performing at the level expected by the department, academic unit, and university. Evidence of effective performance should include items such as syllabi, student evaluations, and selected course materials to support teaching; copies of published articles or books, or written reviews and evaluations by qualified peers of the candidate's performances, compositions, and artistic creations to document scholarship; and documentation of service and outreach activities. All such evidence becomes part of the faculty member's ongoing and continuously updated dossier, which is described in Section 4.9.7B. Specific content in the dossier will vary according to discipline.

Evidence of effective teaching and mentoring of students should document characteristics such as:

- Command of the subject
- Ability to organize and present subject matter in a logical and meaningful way
- Ability to motivate undergraduates
- Ability to stimulate creativity in graduate students
- Creative and effective use of innovative teaching methods and curricular innovations

Examples of documentation for teaching and mentoring include the following:

- Statement of teaching philosophy
- Course materials
- Systematic student evaluations for each course each semester (including summer and previous spring)
- Grade distribution (and comments, if desired, about relationship of grades and nature of course)
- Evidence of supervision of student projects and other forms of mentorships
- Evaluation by department chairs
- Comments of peers
- Teaching awards

Types of evidence and documentation for effectiveness in research and scholarly/creative activities include the following (according to the terms of the candidate's appointment):

- Publications, e.g., appropriate textbooks, books or chapters in books, articles in refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews and other related items, written reviews, and evaluations by qualified peers.
- Papers presented, e.g., papers presented at local, state, regional, national, and international professional meetings (significance of the content and selection process should be considered in the process of reviewing such presentations).
- Performances or exhibitions, e.g., performances or exhibitions that are invited or juried by nationally or regionally recognized professionals or groups within the discipline. Verifiable documentation is required to include consideration of research or creative activity in progress.
- Contributions to the art of teaching, e.g., appropriate textbooks or education articles in peer review forums, development of computer software or audiovisual media, and so forth.
- Contributions to engaged scholarship including collaborative reports, documentation of impact, external funding, and publication in peer-reviewed journals.
- Evidence of sustained ability to secure externally funded grants or contracts to support research/scholarship/creative activities.

Types of evidence and documentation for professionally related services include the following:

- Service to the University, e.g., participation and leadership roles in departmental, academic unit, and university committees; participation in university governance; administrative service; advising students; recruitment activities; service to student organizations; other related activities.
- Service to one's discipline, e.g., memberships and leadership roles in professional organizations at state, regional, national or international levels.
- Service to society, e.g., presentations related to the discipline; professional advice and counsel to groups or individuals; other types of service, particularly in the university's service area.

Other factors to be considered:

- Professional behavior consistent with the Faculty Code of Conduct
- Professional growth, e.g., courses taken for credit, courses audited, seminars attended and independent study activities.

## B. The Dossier

All candidates applying for tenure and/or promotion are required to submit a dossier unless an exception is granted as specified in Section 4.9.3A Tenure Upon Appointment. The dossier should reflect the faculty member's cumulative performance in satisfying the requirements for the award of tenure regarding teaching, research / scholarship / creative activity, and service. The tenure and/or promotion dossier is divided into sections that contain information about the primary criteria by which candidates are assessed. It is used for review at the departmental, academic unit, and university levels. A description of the materials required for each section and the order of their assembly shall be maintained by the provost and posted on the university website. Great care should be taken in the preparation of the dossier. Nothing may be added to or removed from a candidate's dossier after it has been evaluated by the department tenure and promotion committee. This requirement ensures that each reviewing authority will examine exactly the same evidence in making decisions on tenure and/or promotion. This rule notwithstanding, the Faculty Appeals Committee may request information that it deems necessary to form its recommendations to the president. The specific substance of the materials required for adequate review of a faculty member's activities in teaching, research/creative achievement/scholarship, and service will vary with the academic discipline and the terms of candidate's appointment.

## C. Department Procedures for Tenure and Promotion Review

1. Notification of Intent: The candidate will notify the department chair in writing of his/her intent to file for tenure and/or promotion to the department no later than the deadline indicated in the tenure and promotion calendar. In academic units, without departments, the candidate will notify the dean in writing of his/her intent to file for tenure and/or promotion to the academic unit.
2. External Peer Review: Both tenure and/or promotion to associate professor or professor require external peer review of a candidate's record of scholarly activity by qualified peers who are not affiliated with the university. The purpose of external peer reviews is solely to provide an informed objective evaluation of the quality of the scholarship, research or creative activity of the candidate. It is expected that the external reviewers will be selected from organizations with national reputations for excellence in the faculty member's discipline and that the majority of the reviewers will be academic peers. Though not an absolute requirement, it is also expected that when a faculty member from another institution is selected as a peer reviewer, the faculty reviewer will have a higher rank than the candidate being reviewed. For example, full professors should review applicants for promotion to professor. Such reviews place a burden on

the usually busy schedules of the evaluators. To obtain external reviews in a timely manner, the process of developing the lists of external reviewers, as described below, should be initiated during the spring semester preceding the fall tenure and promotion review process.

The candidate shall develop a list, normally four to eight names, of recommended peer reviewers from outside the university. The candidate may also submit a list (with justifications) of persons who may pose a conflict for consideration by the chairs of the department and the department tenure and promotion committee. In addition, the department chair and the department tenure and promotion committee will develop a list of external peer reviewers. The chairs must select at least one of the names suggested by the candidate. The department tenured faculty and department chair are solely responsible for supplementing the candidate's list with additional reviewers. The dossier should contain at least four external reviews. If it is not possible to obtain four reviews, the reasons must be documented at the departmental level. For each reviewer, there should be an accompanying brief paragraph identifying her or his credentials and a statement regarding the nature of the relationship to the candidate or lack thereof. The external reviewers are expected to provide informed, objective evaluations rather than testimonials. Therefore, no more than one external reviewer can be a past mentor or collaborator of the candidate. A template for the External Evaluator List which is required for the dossier and a sample request letter for an External Peer Evaluation shall be maintained by the provost and posted on the university website.

All reviewers should receive the same materials for evaluation; if not, an explanation must be included. Peer reviewers who have agreed to write letters of evaluation should be sent the candidate's curriculum vitae and a letter from the department chair to the reviewer, which includes:

- the departmental expectations for research/scholarship/creative activity;
- a request for a written response to the question, "In your opinion, has the candidate's accomplishments met or exceeded the expectations for research/scholarship/creative activity specified by the department?";
- the deadline for the written response; and
- a statement that the State of Tennessee has an Open Records Law and that the candidate has access to the external peer evaluation document.

Note: These are minimal requirements and should be interpreted to mean that additional materials related to scholarly activity may be necessary in some departments, and/or academic units. The materials sent to a reviewer should enable her/him to fully assess the scholarship of the candidate in an objective fashion.



3. **Submission of the Dossier:** The faculty member will, with the guidance and counsel of the department chair, prepare and submit to the department chair (for distribution to the department tenure and promotion committee) a dossier of contributions and accomplishments in compliance with departmental, academic unit, and university guidelines and in accordance with the tenure and promotion calendar maintained by the provost.
4. **Review by Department Tenure and Promotion Committee:** The tenure and promotion committee of the department consists of all tenured associate professors and professors. The department tenure and promotion committee composition shall be determined in accordance with Section 4.9.5A(2)(a). For promotion to professor, the subcommittee of tenured professors will make the recommendations. The department tenure and promotion committee will review the dossier submitted by the faculty member and evaluate the candidate's accomplishments, applying to them all relevant criteria (university, academic unit, and department). The judgment and assessment of the candidate's application for tenure by the faculty at the department level is critical because of their familiarity with the candidate and their knowledge of the qualifications relevant for their discipline. Therefore, reviewers at every level will utilize dossier materials and professional observations in making their recommendations. Professional observations may be included in the documentation that is prepared at each level of review.
5. **Vote of Department Tenure and Promotion Committee:** Tenured faculty of appropriate rank on the department tenure and promotion committee will take a formal anonymous vote on tenure and promotion of candidate. A representative of the departmental tenure and promotion committee, selected according to departmental guidelines, shall prepare a written summary of the committee's discussion. This summary should reflect the full scope of discussions that took place in the committee meetings and should also contain the rationale for the recommendation that is consistent with the vote of the committee. If the decision of the department tenure and promotion committee is not unanimous, the committee may also submit to the department chair a minority report with the rationale for dissenting opinions. This written recommendation, the vote, and any dissenting statements become part of the dossier. The written summary of the discussion and the vote of the department tenure and promotion committee constitute the recommendation and are transmitted to the department chair. If a department chair is being considered for promotion or tenure, the recommendation of the department committee will be transmitted directly to the dean. The recommendation of the department tenure and promotion committee shall be advisory to the department chair.
6. **Review and Recommendation by Department Chair:** The department chair conducts an independent tenure and/or promotion review based upon the

faculty member's dossier, which will include the written summary, vote of the department tenure and promotion committee, and any dissenting opinion. The department chair will prepare a letter which will include an independent recommendation and summary explanation for the recommendation based on the department chair's review and evaluation of materials in the dossier. If the chair's recommendation differs from the recommendation of the department tenure and promotion committee, the summary must explain the reasons for the differing judgment. The department chair's letter becomes part of the dossier which is transmitted to the dean. The department chair will notify the candidate in writing that he or she is recommending or is not recommending the candidate for tenure and/or promotion and that the department tenure and promotion committee is recommending or is not recommending the candidate for tenure and/or promotion. The vote of the department tenure and promotion committee should also be included. The notification should not include any rationale for the vote or recommendations. In cases involving promotion only, the chair will meet with the candidate to transmit the recommendations which the department tenure and promotion committee and the chair have made and reasons for those recommendations. Applications for promotion only may be withdrawn at this point. The recommendation of the department chair shall be advisory to the academic unit tenure and promotion committee.

#### D. Academic Unit Procedures for Tenure and Promotion Review

1. Review by Academic Unit Tenure and Promotion Committee: The dean will send the dossier, the departmental committee summary, and the department chair's letter directly to the academic unit tenure and promotion committee. The academic unit tenure and promotion committee composition shall be determined in accordance with Section 4.9.5A(2)(b). A faculty member serving on the academic unit tenure and promotion committee shall recuse themselves from the discussion of a colleague from his or her department in the academic unit committee and shall not participate in the academic unit committee vote on that faculty member. For promotion to professor, the subcommittee of tenured professors will make the recommendations. The academic unit committee has responsibility for ensuring that the dossier is consistent with department, academic unit, and university guidelines as well as for making recommendations concerning the applicant's qualifications for tenure and/or promotion. Its perspective will of necessity be broader than that of the department committee: it will consider such things as the academic unit wide staffing plans, the department's enrollment trends, and the guidelines of the academic unit. The academic unit tenure and promotion committee shall ensure adherence to institutional procedures and criteria, to prevent departmental inbreeding and

doctrinal conformity, to review the completeness of the information presented, and to question any omissions in criteria or variations in procedure. The academic unit committee should consider the substance of a faculty member's qualifications to the extent necessary for the performance of its function. The academic unit committee should evaluate the performance of a candidate for tenure and promotion with consideration of the candidate's department guidelines.

2. **Vote of Academic Unit Tenure and Promotion Committee:** The academic unit tenure and promotion committee will take a formal anonymous vote on recommendation of the candidate. The academic unit tenure and promotion committee shall prepare a written summary of its recommendation. The recommendation should reflect the full scope of discussions that took place and should contain the rationale that is consistent with the vote of the committee. If the recommendation of the Academic Unit Tenure and Promotion Committee is not unanimous, the committee may also submit to the dean a minority report with rationale for dissenting opinions. This written recommendation, the vote, and any dissenting statements become part of the dossier. After completing its evaluation, the committee will transmit the dossier to the dean. The recommendation of the academic unit tenure and promotion committee shall be advisory to the dean.
3. **Review and Recommendation by the Dean:** The dean of the academic unit shall prepare a letter providing an independent recommendation and summary explanation for the recommendation regarding award of tenure and/or promotion regarding his or her review and evaluation of the materials in the dossier, which will include the written summary and vote of the department tenure and promotion committee, the department chair, and the academic unit tenure and promotion committee. If the dean's recommendation differs from any of the recommendations of the department tenure and promotion committee, the department chair, and/or the academic unit tenure and promotion committee, the dean's summary must explain the reasons for the differing judgment. The dean will notify the candidate in writing that he or she is recommending or is not recommending the candidate for tenure and/or promotion and that the academic unit tenure and promotion committee is recommending or is not recommending the candidate for tenure and/or promotion. The vote of the academic unit tenure and promotion committee should also be included. The notification should not include any rationale for the vote or recommendations. In cases involving promotion only, the dean will meet with the candidate to transmit the recommendations which the academic unit tenure and promotion committee and the dean have made and reasons for those recommendations. At this point the candidate has one last opportunity to withdraw the application for promotion. The dean's letter becomes part of the

dossier which is transmitted to the provost. The recommendation of the dean shall be advisory to the provost.

#### E. University Procedures for Tenure and Promotion Review

1. **Review and Recommendation by the Provost:** The provost will review the dossier and prepare a letter providing an independent recommendation regarding award of tenure and/or promotion and a summary explanation of that recommendation based on his or her review and evaluation of the materials in the dossier. The provost will review the dossier from an even broader perspective than that used in the academic unit. In addition to and exclusive of individual qualifications and performance, consideration must be given to such matters as department imbalance in rank distribution, potential for continued staff additions, prospective retirements and resignations, enrollment patterns, program changes, and other significant institutional considerations. The provost will notify the candidate of the recommendation that he or she will make to the president regarding the candidate's application no later than seven (7) days after the beginning of the spring academic term. In the case of a negative recommendation, the provost will provide written reason(s) for the recommendation. The provost's letter becomes part of the dossier.
2. **Appeals of a Negative Tenure and/or Promotion Decision:** The faculty member may appeal a negative recommendation for tenure and/or promotion under the tenure and promotion appeals procedures described in Appendix B.2. If, after the provost's tenure and/or promotion recommendations are announced, a faculty member wishes to appeal a negative recommendation, the request must be submitted to the chair of the Faculty Appeals Committee within fourteen (14) days of receiving the written notice from the provost. The procedures for tenure and promotion appeals through the Faculty Appeals Committee are described in Appendix F.2. The committee may review information related to the appeal to whatever extent it wishes and then make its recommendations to the president. For tenure and/or promotion appeals, the recommendation of the Faculty Appeals Committee is advisory to the president.
3. **Review and Recommendation by the President:** After receiving recommendations from the provost and the Faculty Appeals Committee (if there was an appeal), the president makes final recommendations to the Board of Trustees and notifies the candidate of this recommendation. In the case of a negative recommendation, the president will provide the candidate written reason(s) for the decision. The recommendation made by the president on tenure and/or promotion is not subject to an appeal.
4. **Action by the Board of Trustees:** Only the Board of Trustees is authorized to grant tenure and/or promotion. The president will present a list of the positive

recommendations for tenure and/or promotion for board approval. The board will notify the president of its decision and the president will provide the faculty member written notice of the board's decision. For positive action by the Board of Trustees to grant tenure and/or promotion, the president shall give the faculty member written notice of the effective date of tenure and/or promotion.

#### 4.10 Termination of Tenure

##### 4.10.1 Grounds for Termination

- A. Relinquishment or Forfeiture of Tenure: A tenured faculty member relinquishes his or her tenure upon resignation or retirement from the university. A tenured faculty member forfeits tenure at the university if she or he takes an unauthorized leave of absence, fails to resume the duties of his or her position following an approved leave of absence, holds a tenured appointment at another institution, or is unable to perform assigned duties or carry out the responsibilities of a faculty member due a physical or mental condition, as established by an appropriate medical authority. Forfeiture results in automatic termination of employment. The provost shall give the faculty member written notice of the forfeiture of tenure and termination of employment. The faculty member may appeal this action as specified in the general appeals procedures described in Appendix B.1.
- B. Extraordinary Circumstances: Extraordinary circumstances warranting termination of tenure may involve financial exigency or program discontinuance.
  1. In the case of financial exigency, tenured faculty may be terminated because of financial exigency at the university if the Board of Trustees declares such a condition. The criteria and procedures specified in the board approved Financial Exigency Plan shall be followed. Personnel decisions (including those related to tenured faculty) resulting from a declaration of financial exigency at the university must comply with applicable university policy which can be found in this on the university website.
  2. In the case of program discontinuance, tenured faculty may be terminated if:
    - a. A program, such as degree major, concentration, and/or other curricular component, is discontinued by formal action of the Board of Trustees.
    - b. Student enrollment in a program has decreased over a period of at least three years at a rate which is considerably higher than that of the institution as a whole and/or in comparison with similar institutions as determined by the president.
    - c. An approved center/institute with tenured faculty lines is dissolved by action of the president.

In the case of program discontinuance, the termination of tenured faculty may take place only after consultation with the faculty through appropriate committees of the department or center/institute, the academic unit, and the Faculty Senate. The president's decision as to which faculty should be terminated will be guided by consideration of the best interests of the university. Termination due to program discontinuance presumes a staffing pattern 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. Unless the president demonstrates (preferably by means of past performance evaluations) that an exception should be made, the following considerations should be used as a guide in determining the order of faculty reductions in a department or division. Tenured faculty should have priority over part-time faculty, temporary faculty, and tenure-track faculty in the probationary period. Tenured faculty with higher rank should have priority over those with lower rank. Tenured faculty with greater seniority in rank should normally have priority over those with less seniority.

If termination of tenured faculty positions becomes necessary because of financial exigency or program discontinuance, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member.

The position of any tenured faculty member displaced because of financial exigency or program discontinuance shall not be filled within three years unless the displaced faculty member has been offered reinstatement in writing and a reasonable time in which to accept or decline the offer. Appropriate increases will be given which, in the opinion of the president, would constitute the raises that would have been awarded during the period not employed by the university. Tenured faculty given written notice of termination because of financial exigency may appeal termination in accordance with the provisions of the Financial Exigency Plan. Tenured faculty given written notice of termination because of program discontinuance may appeal termination in accordance with the general appeal procedures described in Appendix B.1.

- C. Adequate Cause: Adequate cause for terminating a tenured faculty member defined by Tennessee Code Annotated §49-8-302, means 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 university, academic unit, or department; or to carry out specific assignments, when these policies or assignments are reasonable and nondiscriminatory
3. Conviction of a felony or a crime involving moral turpitude
4. Improper use of narcotics or intoxicants which substantially impairs fulfillment of departmental or institutional duties and responsibilities.
5. Capricious disregard of accepted standards of professional conduct.
6. Falsification of information on an employment application, curriculum vitae, 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 division of the university.

#### 4.10.2. Procedures for Terminating Tenured Faculty for Adequate Cause

##### A. Termination Procedures for Adequate Cause for Unsatisfactory Performance

The following procedures shall apply to termination of a tenured or tenure-track faculty appointment for unsatisfactory performance under the following provisions of Adequate Cause, 4.10.1.C(1), specifically 'incompetence in teaching or research' 4.10.1.C(7), and gross violations of the Faculty Code of Conduct related to performance, as described in Appendix C. The following termination proceedings for unsatisfactory performance may be initiated by the provost, in consultation with the president, after a negative outcome at the conclusion of Post-tenure Review, described in Section 4.9.2. Termination procedures for adequate cause for unsatisfactory performance in research under Sections 4.10.1C(1) and 4.10.1C(7) shall only be initiated after the university has made a documented effort to make workload adjustments or reassignments appropriate to the skills of a faculty member who still contributes to the core missions of the university, academic unit, and department and that adequate resources have been provided to the faculty member as determined by the peer committee through a performance improvement plan during Post-tenure Review.

1. Temporary Disciplinary Action: After consulting with the president and the president of the Faculty Senate, the provost may suspend the faculty member with pay or change his or her assignment of duties pending completion of the termination proceedings. This action is not appealable.
2. Notification by the Provost: The provost will notify the faculty member, the president, the dean, and the department chair in writing of his or her decision to begin termination proceedings for Adequate Cause for Unsatisfactory

Performance and any decision related to temporary disciplinary action. The provost will provide all documentation collected during the Post-tenure Review process and provide a timeline for the termination proceedings to the department chair. The department chair will transmit the documentation and timeline to the department tenure and promotion committee. For academic units without departments, the provost will provide all documentation to the dean who will transmit the documentation and timeline to the academic unit tenure and promotion committee.

3. Recommendation by the Department Tenure and Promotion Committee: The department chair will transmit all the documentation collected during the Post-tenure Review process and the timeline for the termination proceedings to the department tenure and promotion committee. The department chair shall direct the departmental tenure and promotion committee to consider the faculty member's performance by an anonymously cast vote taken in accordance with applicable department and/or academic unit guidelines, and to make a recommendation on the question of whether the faculty member's performance constitutes Adequate Cause for termination for Unsatisfactory Performance. The faculty member under review shall be provided with a copy of the material provided to the department tenure and promotion committee and shall be given a reasonable opportunity to submit responsive written materials before the vote of the department committee. The department tenure and promotion committee shall forward their recommendation to the department chair. The faculty vote shall be advisory to the department chair.
4. Recommendation by the Department Chair: The department chair shall consider the faculty member's performance and the recommendation of the department tenure and promotion committee and make a recommendation on the question of whether the performance constitutes Adequate Cause for termination. The department chair shall forward his or her recommendation and the reasoning supporting the recommendation to the academic unit tenure and promotion committee, together with the history of efforts to encourage the faculty member to improve his or her performance and a report of the recommendation of the department tenure and promotion committee (including the anonymously cast vote tally) on the question of whether the faculty member's performance constitutes Adequate Cause for termination. The chair's recommendation shall be advisory to the academic unit tenure and promotion committee.
5. Recommendation by the Academic Unit Tenure and Promotion Committee: The academic unit tenure and promotion committee shall consider the faculty member's performance and the recommendations of the department tenure and promotion committee and the department chair. The academic unit tenure and promotion committee will anonymously cast a vote taken in accordance with applicable department and/or academic unit guidelines and make a



recommendation on the question of whether the faculty member's performance constitutes Adequate Cause for termination for Unsatisfactory Performance. The academic unit tenure and promotion committee shall forward their recommendation and the narrative supporting the recommendation to the dean. The faculty vote shall be advisory to the dean.

6. Recommendation by the Dean: The dean shall consider the faculty member's performance and the recommendations of the department tenure and promotion committee, the department chair, and the academic unit tenure and promotion committee. The dean will make a recommendation on the question of whether the performance constitutes Adequate Cause for termination. The dean shall forward his or her recommendation and the narrative supporting the recommendation to the provost, together with the recommendations of the department tenure and promotion committee, the department chair, and the academic unit tenure and promotion committee.
7. Decision by the Provost:
  - a. Review by the Provost: If the provost concludes that Adequate Cause for termination may exist, he or she shall call the faculty member to a meeting to discuss a mutually satisfactory resolution of the matter. If a mutually satisfactory resolution is not reached within 30 calendar days, the provost will forward the recommendations of department tenure and promotion committee, the department chair, the academic unit tenure and promotion committee, the dean, and the conclusion reached by the provost to the Faculty Appeals Committee. The Faculty Appeals Committee will convene a hearing panel in accordance with Appendix B.3 which will make a recommendation as to whether Adequate Cause for termination exists. The recommendation of the Faculty Appeals Committee, along with supportive reasoning, shall be provided to the provost within 30 calendar days of the request and shall be advisory to the provost. If the provost concludes that Adequate Cause does not exist, then the provost shall provide the faculty member with written notice of the conclusion (with a copy to the dean, department chair, and president), and a determination on whether he or she will pursue additional actions in accordance with this handbook and/or university policy.
  - b. Sanctions Less than Termination for Adequate Cause: If the provost concludes Adequate Cause exists but that a sanction less than termination or suspension without pay should be imposed, then the provost may impose the lesser sanction. The faculty member may appeal the lesser sanction to the president, whose decision shall be final is not appealable. If the provost concludes Adequate Cause exists but that the sanction should be suspension without pay rather than termination, the provost shall employ the procedures set forth in Section 4.10.2A(7)(c) but tailored to reflect that the

proposed sanction is suspension without pay rather than termination. If the faculty member wishes to contest the suspension without pay, the procedures shall be those set forth in Section 4.10.2A(9)

- c. Termination for Adequate Cause: Before deciding that the faculty member's appointment should be terminated for Adequate Cause, the provost shall give the faculty member written notice, including a statement of the grounds for termination, framed with reasonable specificity, and the opportunity to respond to the stated grounds and the proposed termination in a meeting with the provost. The faculty member may choose to respond in writing instead of, or in addition to, a meeting with the provost. Any written response must be submitted to the provost within 10 calendar days of delivery of the written statement of the grounds for termination. If, after considering any information provided by the faculty member and after consulting with the president, the provost concludes that the faculty member's appointment should be terminated for Adequate Cause, the provost shall provide written notice of termination to the faculty member (a) providing a statement of the grounds for termination and the date on which the termination will become effective unless the faculty member elects to contest the termination as described in Section 4.10.2A(9) of this handbook; (b) providing notice of the faculty member's right to contest the proposed termination in a pre-termination hearing before a tribunal or in a post-termination hearing conducted under the provisions of the Uniform Administrative Procedures Act; and (c) providing notice that the faculty member has 15 calendar days after receipt of the written notice to elect in writing to contest the termination and to elect in writing the form of hearing. Selection of one type of hearing waives the opportunity to contest the termination through the other type of hearing. The provost shall send a copy of the written notice to the president of the Faculty Senate and university president at the same time as it is sent to the faculty member.
8. Failure to Contest Termination: If the faculty member does not contest the charge(s) in writing and make the required hearing election within 15 calendar days after receipt of the written notice described in Section 4.10.2A(7)(c) above, the faculty member shall be terminated, and no appeal of the matter will be heard within the university.
9. Options to Contest Termination: The rights provided in this paragraph are in lieu of any other rights of grievance or appeal in the handbook or any appeal to the president. A faculty member may contest the proposed termination in a pre-termination hearing before a tribunal in accordance with the procedures described in Appendix G or in a post-termination hearing conducted under the provisions of the Uniform Administrative Procedures Act in accordance with the procedure described in Appendix H

## B. Termination Procedures for Adequate Cause for Misconduct

The following procedures shall apply to termination of a tenured faculty appointment for misconduct under the following provisions of Adequate Cause, 4.10.1C(1), specifically 'dishonesty in teaching or research' and 4.10.1C(2), 4.10.1C(3), 4.10.1C(4), 4.10.1C(5), 4.10.1C(6), and gross violations of the Faculty Code of Conduct related to misconduct described in Appendix C.

1. Temporary Disciplinary Action: After consulting with the president and the president of the Faculty Senate, the provost may suspend the faculty with pay or change his or her assignment of duties pending completion of the termination proceedings in accordance with the procedures described in Section 4.10.2C, entitled "Expedited Procedure for Termination or Suspension Without Pay in Certain Cases of Misconduct" only for the following types of alleged misconduct:
  - a. alleged misconduct involving: (i) acts or credible threats of harm to a person or university property; or (ii) theft or misappropriation of university funds, property, services, or other resources, or
  - b. indictment by a state or federal grand jury, or arrest and charge pursuant to state or federal criminal procedure, for: (i) a felony; or (ii) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration.

The temporary disciplinary actions of suspension with pay or reassignment of duties are not appealable. If the university's final determination after either a UAPA proceeding or a tribunal proceeding is favorable to the faculty member and concludes both that the faculty member's employment should not be terminated for Adequate Cause and/or that the faculty member should not have been suspended without pay pending completion of termination proceedings, then full restitution of salary, academic position, probationary period lost time, and tenure lost time during the suspension without pay will be made.

2. Notification by the Provost: The provost will notify the faculty member, the president, the dean, and the department chair in writing of his or her decision to begin termination proceedings for Adequate Cause for Misconduct and any decision related to temporary disciplinary action. The provost will provide all documentation relevant to the case and a timeline for the termination proceedings to the department chair. For academic units without departments, the provost will provide all documentation to the dean.
3. Recommendation by the Department Chair: The department chair shall forward to the dean a recommendation indicating whether he or she believes the alleged misconduct does or does not constitute Adequate Cause for termination. The recommendation shall include supporting reasoning for her or his

- recommendation. At the same time the department chair shall send a copy of the same documentation to the faculty member.
4. Recommendation by the Dean: The dean shall forward to the provost a recommendation indicating whether he or she believes the alleged misconduct does or does not constitute Adequate Cause for termination. The recommendation shall include supporting reasoning for her or his recommendation. At the same time the dean shall send a copy of the same documentation to the faculty member and the department chair.
  5. Decision by the Provost:
    - a. Review by the Provost: If the provost concludes that Adequate Cause for termination may exist, he or she shall call the faculty member to a meeting to seek a mutually satisfactory resolution of the matter. If a mutually satisfactory resolution is not achieved within 30 calendar days, the provost may decide on sanctions less than termination for Adequate Cause, described in Section 4.10.2B(6)(b) or termination for Adequate Cause, described in Section 4.10.2B(6)(c). If the provost concludes that Adequate Cause does not exist, then the provost shall provide the faculty member, the dean, and department chair with written notice of the conclusion, the reasoning supporting the conclusion, and a determination on whether he or she will pursue additional actions in accordance with this handbook and/or university policy.
    - b. Sanctions Less than Termination for Adequate Cause: If the provost concludes Adequate Cause exists but that a sanction less than termination or suspension without pay should be imposed, then the provost may impose the lesser sanction. The faculty member may appeal the lesser sanction to the president, whose decision is not appealable. If the provost concludes Adequate Cause exists but that the sanction should be suspension without pay rather than termination, the provost shall employ the procedures set forth in Section 4.10.2B(5)(c) but tailored to reflect that the proposed sanction is suspension without pay rather than termination. If the faculty member wishes to contest the suspension without pay, the procedures shall be those set forth in Section 4.10.2B(7).
    - c. Termination for Adequate Cause: Before deciding that the faculty member's appointment should be terminated for Adequate Cause, the provost shall give the faculty member written notice, including a statement of the grounds for termination, framed with reasonable specificity, and the opportunity to respond to the stated grounds and the proposed termination in a meeting with the provost. The faculty member may choose to respond in writing instead of, or in addition to, a meeting with the provost. Any written response must be submitted to the provost within 10 calendar days of delivery of the written statement of the grounds for termination. If, after

considering any information provided by the faculty member and after consulting with the president, the provost concludes that the faculty member's appointment should be terminated for Adequate Cause, the provost shall provide written notice of termination to the faculty member (a) providing a statement of the grounds for termination and the date on which the termination will become effective unless the faculty member elects to contest the termination as described in Section 4.10.2B(7) of this handbook; (b) providing notice of the faculty member's right to contest the proposed termination in a pre-termination hearing before a tribunal or in a post-termination hearing conducted under the provisions of the Uniform Administrative Procedures Act; and (c) providing notice that the faculty member has 15 calendar days after receipt of the written notice to elect in writing to contest the termination and to elect in writing the form of hearing. Selection of one type of hearing waives the opportunity to contest the termination through the other type of hearing. The provost shall send a copy of the written notice to the president of the Faculty Senate at the same time it is sent to the faculty member.

6. Failure to Contest Termination: If the faculty member does not contest the charge(s) in writing and make the required hearing election within 15 calendar days after receipt of the written notice described in Section 4.10.2B(5)(c) above, the faculty member shall be terminated, and no appeal of the matter will be heard within the university.
7. Options to Contest Termination: The rights provided in this paragraph are in lieu of any other rights of grievance or appeal in the handbook or any appeal to the president. A faculty member may contest the proposed termination in a pre-termination hearing before a tribunal in accordance with the procedures described in Appendix G or in a post-termination hearing conducted under the provisions of the Uniform Administrative Procedures Act in accordance with the procedure described in Appendix H

#### C. Expedited Procedures for Termination for Adequate Cause or Suspension Without Pay for Misconduct

In the following cases of alleged misconduct by a faculty member, the president, after consulting with the provost and the president of the Faculty Senate, may invoke an expedited procedure to accomplish termination or suspension without pay for Adequate Cause:

1. alleged misconduct involving (i) acts or credible threats of harm to a person or university property, including, without limitation, sexual harassment, or other sexual misconduct; or (ii) theft or misappropriation of university funds, property, services, or other resources, or

2. indictment by a state or federal grand jury, or arrest and charge pursuant to state or federal criminal procedure, for (i) a felony; or (ii) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration.

Under the expedited procedure, the faculty member shall be offered the following process before termination or suspension without pay:

1. a written notice of the charges;
2. an explanation of the evidence; and
3. an informal opportunity to refute the charges in a meeting with the president.

After termination or suspension without pay, the faculty member shall be offered the full range of due process options available to faculty members under the Adequate Cause proceedings set forth in Section 4.10.2B(7) of this handbook, except that the termination or suspension without pay shall not be stayed pending the outcome of an ad hoc hearing committee if the faculty member elects that method of contesting the action. If the university's final determination after either a UAPA proceeding or a tribunal proceeding is favorable to the faculty member and concludes that the faculty member should not have been suspended without pay or that the faculty member's employment should not have been/should not be terminated for Adequate Cause, then full restitution of salary, academic position probationary period lost time, and tenure lost during the suspension without pay or termination will be made.

#### 4.11 Disciplinary Sanctions Other than Termination for Adequate Cause

Disciplinary sanctions other than termination may be imposed against a faculty member for the violations described in Section 4.10.2C and in the Faculty Code of Conduct, which is described in Appendix C. If the proposed sanction is suspension without pay for a definite term (no more than one year), the procedures applicable to termination shall be offered prior to suspension without pay including the option to invoke the expedited procedures described in Section 4.10.2C. Minor disciplinary sanctions less than termination for adequate cause or suspension without pay may include but are not limited to: a warning not to repeat the offending conduct, written reprimand, mandatory training, denial of annual salary increase, restitution, monitoring of behavior and performance, reassignment of duties and/or suspension with pay. The following procedures shall be followed for all alleged violations of the Faculty Code of Conduct except in instances where university policy prescribes a specific procedure for adjudication, such as Research Misconduct.

##### A. Procedures for Disciplinary Sanctions other than Termination for Adequate Cause or Suspension without Pay

1. **Notification by the Administrator:** An administrator in the faculty member's direct line of supervision may initiate a disciplinary sanction. Before disciplinary action may be taken, the administrator must notify the faculty member of his or her intent to take disciplinary action. This written notice shall include a detailed specification of the alleged misconduct and the nature of the proposed discipline. Copies should be provided to all administrators in the faculty member's direct line of supervision up to the level of the provost. The administrator shall offer a meeting with the faculty member to discuss the administrator's concern and the potential for discipline. The faculty member may choose to respond in writing instead of, or in addition to, a meeting with the administrator. The administrator will notify the faculty member during that meeting and in writing of the right and opportunity to request a consultation with the faculty ombudsperson, as described in Appendix D, before the administrator proceeds with a disciplinary sanction. The purpose of such informal consultation is to reconcile disputes early and informally, when that is appropriate, by clarifying the issues involved, resolving misunderstandings, considering alternatives, and noting applicable guidelines.
2. **Consultation with the Faculty Ombudsperson:** The administrator and faculty member, if requested by the faculty member, will consult with the faculty ombudsperson in a prompt fashion to discuss the administrator's concern and the potential for discipline.
3. **Consultation:** After consultation with the faculty ombudsperson, the administrator may consult with the other administrators in the faculty member's direct line of supervision up to the level of the provost. Should the administrator still wish to proceed with disciplinary sanction after consultation, the administrator must notify the other administrators in the faculty member's direct line of supervision in writing of the proposed disciplinary action up to the level of the provost.
4. **Decision of the Administrator:** The administrator shall provide the faculty member with written notice of the cause for the disciplinary sanction in sufficient detail for the faculty member to address the specifics of the charges, and an opportunity to respond in writing prior to the imposition of any disciplinary action, within seven (7) days of receipt of the administrator's written notice. The written response, if any, will be provided to the other administrators in the faculty member's direct line of supervision up to the level of the provost. The administrator, in consideration of the written response, if any, shall make a decision regarding the disciplinary action and notify the faculty member in writing. The written decision will be provided the other administrators in the faculty member's direct line of supervision up to the level of the provost and Human Resources. The administrator's written decision shall also inform the faculty member of his or her right to a general appeal of the disciplinary sanction. Within 14 days of receipt of the administrator's written decision, the faculty member may appeal a disciplinary sanction under the general appeals procedures described in Appendix B.1

#### 4.12 Notice of Resignation and Retirement

As stated in Section 4.10.1A, tenure is relinquished upon resignation from the university. If a faculty member resigns, but is re-employed by the university, tenure will be awarded only in accordance with policies and procedures stated under Section 4.2.

Since faculty appointments are typically made for the academic year, it is expected that faculty members who wish to resign will do so end of the academic year or no earlier than the end of a semester. Faculty on 9-month academic year appointments who resign during the academic year shall receive a salary proportional to the fraction of the academic year completed before their resignation. Faculty members on 12-month appointments will receive leave pay due on resignation.

A member of the faculty controls the decision to retire. The effective date of retirement for academic-year faculty is normally at the end of either the fall or spring semesters. Computation of the final payment for the last year of service is calculated in the same way as for resignations. Thus, a faculty member who retires at the end of the fall semester is entitled to one-half of their academic year salary. Faculty on 12-month appointments will receive annual leave pay due on retirement.



## Chapter 5: Non-Tenure-Track Faculty Policies

In the event of any conflict or inconsistency between board policy, university policy, and this handbook, university policy and board policy will supersede.

### 5.1 Non-Tenure Track Faculty Appointments

Non-tenure track faculty are hired on limited, but typically renewable, appointments to meet specific needs of each academic unit, department, and/or center/institute as those needs relate to the mission of the university. These needs vary from unit to unit and from year to year. Therefore, academic units, departments, and/or center/institutes should routinely re-assess the role that non-tenure track faculty play in the fulfillment of their mission and should document in their communication with individual non-tenure track faculty members the contributions that non-tenure track faculty are expected to make to the mission.

Non-tenure-track faculty appointments are categorized by their primary academic responsibilities: teaching, research, clinical, practice, adjunct, and/or visiting appointments. All appointments to non-tenure-track faculty positions, including part-time appointments, will be made in accordance with university policy and the provisions described in this handbook. The minimum credentials for tenure-track and tenured faculty of all ranks at the university are described in Section 3.1.7. Except as otherwise provided in this chapter, tenured faculty, or a committee including tenured faculty, will evaluate credentials and vote on non-tenure-track appointments in accordance with departmental and academic unit guidelines.

An internal or external search is required in the appointment of all full-time non-tenure-track faculty positions unless the position is being funded under the terms of an external grant or contract. The university policy and procedures for recruitment, application, and selection of faculty can be found on the university website. Notification of appointment is made by letter from the president. This appointment letter shall at a minimum specify the rank, the salary and related financial conditions, general duties and expectations, and duration of the appointment. Previous correspondence between the department chair, director, dean, and a prospective faculty member concerning these matters is unofficial and non-binding. The faculty member's written acceptance of the letter of appointment, together with execution of normal university employment forms, completes the initial appointment. The employment of non-tenure-track faculty is governed by the terms of the appointment letter, applicable provisions of the Faculty Handbook, and applicable provisions of university policies and procedures.

Conditions necessary to perform assigned duties in a professional manner, including such things as appropriate office space, necessary supplies, and support services will be provided to non-tenure-track faculty members. Departments should have consistent criteria for determining teaching assignments. Departments should consider the views of non-tenure-track faculty in setting schedules and other issues that impact quality of teaching and working conditions. Opportunities for faculty development, including travel to scholarly meetings, should be

provided whenever possible. Full-time non-tenure track faculty should have the opportunity to participate in departmental, academic unit, and/or university governance on all issues related to their assigned responsibilities in accordance with departmental and academic unit guidelines. Non-tenure track faculty have the rights and responsibilities, including academic freedom, described in Chapter 2.

A non-tenure-track appointment may be renewed for a new term without a search. Renewal decisions will include consideration of available funding and the faculty member's performance. If a non-tenure-track appointment is not renewed in writing, it automatically expires at the end of the stated term. A non-tenure-track appointment may be, by its nature, funding-limited; the compensation amounts for the position may be funded through a grant, contract, or restricted donation, and the appointment may automatically expire when funding lapses. Every effort should be made to provide timely notification of non-renewal. In keeping with the notification dates for tenure line appointments, full time non-tenure-track faculty whose contracts will not be renewed should be given written notice of non-renewal of their appointment contracts no later than February 1<sup>st</sup> if the appointment expires at the end of that academic year; or, if the appointment expires during the academic year, at least five months in advance of the expiration date. Notice of non-renewal becomes effective upon when the faculty member receives written notice from the provost. The decision on non-renewal is not appealable unless the faculty member alleges that the non-renewal of appointment of a non-tenure track faculty member constitutes a violation of academic freedom. Allegations that non-renewal of a non-tenure-track faculty member constituted a violation of academic freedom may be appealed under general appeals procedures described in Appendix B.1

Non-tenure-track positions are filled as required to meet university needs and may occur at any time during the year. Typically, initial non-tenure-track appointments will be made at the lowest rank in a category. In unusual circumstances, the department chair and dean, may recommend to the provost the he or she make the initial appointment at a rank higher than the lowest rank for a non-tenure-track category. In such cases, credit for prior service must be relevant to the needs of the university. Any credit for prior service that is recognized and agreed to must be confirmed in writing at the time of the initial appointment. In all cases, the appointment rank should be made commensurate with the expertise and academic credentials of the individual.

Non-tenure-track joint faculty appointments typically involve participation in the teaching and research of two or more academic units, departments and/or centers/institutes within the university. Prior to the initiation of any advertisement or a hiring action, the concerned academic units shall create a memorandum of understanding (MOU) that documents the responsibilities of each unit regarding the hiring, mentoring, and evaluation, related to the interdisciplinary position. As a result, the MOU will also document the amount of time with respect to teaching, research, and service the appointee is expected to spend with respect to

each academic unit and the financial responsibilities of each unit with respect to salary, and other support. This MOU shall be signed by the department chairs and deans.

## 5.2 Non-Tenure-Track Faculty Ranks

All non-tenure-track faculty at the university must hold a rank and/or title in accordance with those described in the Faculty Handbook.

### 5.2.1 Non-Tenure-Track Teaching Faculty Ranks

Full-time, non-tenure-track teaching faculty are hired primarily for teaching and institutional service. They are not generally expected to conduct research, provide public service, or provide disciplinary service as a condition of their employment. However, discipline-appropriate research, scholarship and creative activity, and service activities should be recognized depending on the needs of the department and the skills and desires of the faculty member. A complete and thorough documentation of the non-tenure-track teaching faculty's responsibilities and workload distribution will be provided by the hiring unit to the faculty member at the time of initial appointment and updated each time the faculty member is reappointed.

Teaching is a core mission central to the purposes and objectives of a university. Non-tenure-track teaching faculty are expected to provide excellent instruction. This encompasses classroom instruction, course development, serving as instructor of record, mentoring students in academic projects, testing, grading, and the professional development of the faculty member as a teacher. Mentoring students at all levels is an important aspect of teaching. The creative and effective use of innovative teaching methods and curricular innovations are encouraged. Evaluation of the quality of instruction should follow standard practice for the discipline. Since such evaluation is a qualitative process, multiple sources of evidence, should be employed.

Among the characteristics of excellent instruction are the following practices:

- Establishing, applying, and maintaining rigorous expectations for student performance;
- Facilitating student learning through effective pedagogical techniques;
- Using instructional materials appropriate to the program and discipline;
- Providing current information and materials in the classroom and/or laboratory;
- Engaging students in an active learning process;
- Constructing appropriate and effective assessment activities;
- Incorporating collaborative and experiential learning in regular classroom instruction;
- Providing timely and useful feedback to students;
- Revising course content and scope as required by advances in disciplinary knowledge or changes in curriculum;
- Revising teaching strategies with innovations in instructional technology.

While the minimum qualifications for appointment and the criteria for performance at a particular rank are consistent across the university, the specific requirements of the varying ranks are a function of the discipline and are typically defined by the faculty of the academic unit and/or department in which an appointment resides.

#### Assistant Professor of Teaching

- Evidence of potential ability in teaching and service.
- Professional comportment consistent with the Faculty Code of Conduct

#### Associate Professor of Teaching

- Documented evidence of high-quality teaching, service to the institution, and contribution to student development and success.
- Served at least five years at the rank of assistant professor of teaching. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### Professor of Teaching

- Documented evidence of teaching excellence; service to the institution, and contributions to student development and success.
- Served at least five years at the rank of associate professor of teaching. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### 5.2.1.1 Terms and Procedures for Appointment and Reappointment of Non-Tenure-Track Faculty of Teaching Ranks

The primary criterion for appointment and reappointment of a full-time, non-tenure-track teaching faculty is excellence in teaching and institutional service. However, documented evidence of excellence in discipline-appropriate scholarly and/or creative activity, and/or service to the discipline or profession, may be included as supplementary criteria, depending on the needs of the department and the skills and desires of the faculty member.

Initial non-tenure track teaching faculty appointments are typically for a term of one year or less. After the first year, all non-tenure-track teaching faculty appointments will be made for a term of at least one year and not more than five years.

The title of Visiting may be assigned or attached to a full-time non-tenure-track teaching faculty in accordance with the terms and conditions set forth in Section 5.2.5

#### 5.2.2 Non-Tenure-Track Research Faculty Ranks

Full-time, non-tenure-track research faculty are hired to primarily conduct research and provide institutional service. They generally are not expected to engage in teaching as a condition of

their employment. However, teaching activities may be included as part of their effort, depending on the needs of the department and the skills and desires of the faculty member. A complete and thorough documentation of the non-tenure-track research faculty's responsibilities and workload distribution, including any responsibility to obtain external funding, will be provided by the hiring unit to the faculty member at the time of initial appointment and updated each time the faculty member is reappointed.

Research is a core mission of the university. Non-tenure-track research faculty are expected to engage in high quality research.

Among the characteristics of excellent research are the following practices:

- Establishing, applying, and maintaining well-defined expectations for research;
- Pursuing external funding, to include support for other researchers and graduate students;
- Publishing in high quality peer reviewed journal publications with student authors when possible;
- Serving as a committee chair or committee member for master's theses and doctoral dissertations;
- Mentoring and advising undergraduate students, graduate students, and post-doctoral researchers in research.

While the minimum qualifications for appointment and the criteria for performance at a particular rank are consistent across the university, the specific requirements of the varying ranks are a function of the discipline and are typically defined by the faculty of the academic unit and/or department in which an appointment resides.

#### Research Assistant Professor

- Evidence of potential ability in research and institutional service.
- Professional comportment consistent with the Faculty Code of Conduct

#### Research Associate Professor

- Documented evidence of ability in research and service.
- Served at least five years at the rank of research assistant professor. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### Research Professor

- Documented evidence of research excellence and institutional service.
- Served at least five years at the rank of research associate professor. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### 5.2.2.1 Terms and Procedures for Appointment and Reappointment of Non-Tenure-Track Research Faculty Ranks

The primary criterion for appointment and reappointment of a full-time, non-tenure-track research faculty is excellence in research. However, documented evidence of excellence in discipline-appropriate instruction and/or service to the discipline or profession, may be included as supplementary criteria, depending on the needs of the department and the skills and desires of the faculty member.

Non-tenure-track research positions are filled as required to meet research needs and may occur at any time during the year. All non-tenure-track research appointments will be made for a term of at least one year and not more than five years.

The title of Visiting may be assigned or attached to a full-time non-tenure-track research faculty rank in accordance with the terms and conditions set forth in Section 5.2.5

#### 5.2.3 Non-Tenure-Track Clinical Faculty Ranks

Full-time, non-tenure-track clinical faculty are hired to perform professional services, provide instruction to students, and perform service in a variety of settings. They generally are not expected to conduct research as a condition of their employment. However, research activities may be included as part of their effort, depending on the needs of the department and the skills and desires of the faculty member. A complete and thorough documentation of the non-tenure-track clinical faculty's responsibilities and workload distribution will be provided by the hiring unit to the faculty member at the time of initial appointment and updated each time the faculty member is reappointed.

The characteristics of excellent clinical instruction align with the practices for non-tenure-track teaching faculty described in Section 5.2.1. Additional characteristics include:

- Preparing students for the complexities and realities of the current professional environment;
- Staying current in their field of practice to ensure course content is consistent with the current professional setting;
- Organizing and supervising students in professional programs.

While the minimum qualifications for appointment and the criteria for performance at a particular rank are consistent across the university, the specific requirements of the varying ranks are a function of the discipline and are typically defined by the faculty of the academic unit and/or department in which an appointment resides.

##### Clinical Assistant Professor

- Evidence of potential ability in teaching, service to the institution, service to the profession, and contribution to student development and success.

- Professional comportment consistent with the Faculty Code of Conduct

#### Clinical Associate Professor

- Documented evidence of high-quality teaching, service to the institution, service to the profession, and contributions to student development and success.
- Served at least five years at the rank of clinical assistant professor. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### Clinical Professor

- Documented evidence of teaching excellence, service to the institution, and contribution to student development and success.
- Served at least five years at the rank of clinical associate professor. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### 5.2.3.1 Terms and Procedures for Appointment and Reappointment of Non-Tenure-Track Clinical Faculty Ranks

The primary criterion for appointment and reappointment of a full-time, non-tenure-track clinical faculty is excellence in instruction and service. However, documented evidence of excellence in discipline-appropriate research may be included as supplementary criteria, depending on the needs of the department and the skills and desires of the faculty member.

Non-tenure-track clinical faculty are appointed to meet instructional needs and provide professional and institutional services. All non-tenure-track clinical appointments will be made for a term of at least one year and not more than five years.

The title of Visiting may be assigned or attached to a full-time non-tenure-track clinical faculty rank in accordance with the terms and conditions set forth in Section 5.2.5.

#### 5.2.4 Non-Tenure-Track Faculty of Practice Ranks

Full-time, non-tenure-track faculty of practice are hired primarily for teaching and institutional service. Faculty of practice may also be expected to perform professional service in accordance with their appointment. They generally are not expected to conduct research as a condition of their employment. However, research activities may be included as part of their effort, depending on the needs of the department and the skills and desires of the faculty member. A complete and thorough documentation of the responsibilities and workload distribution of the non-tenure-track faculty of practice will be provided by the hiring unit to the faculty member at the time of initial appointment and updated each time the faculty member is reappointed.

The characteristics of excellent instruction for a faculty of practice align with the practices for non-tenure-track teaching faculty described in Section 5.2.1. Additional characteristics include:

- Preparing students for the complexities and realities of the current professional environment;
- Staying current in their field of practice to ensure course content is consistent with the current professional setting;
- Organizing and supervising students in professional programs.

While the minimum qualifications for appointment and the criteria for performance at a particular rank are consistent across the university, the specific requirements of the varying ranks are a function of the discipline and are typically defined by the faculty of the academic unit and/or department in which an appointment resides.

#### Assistant Professor of Practice

- Evidence of potential ability in teaching, service to the institution, and contribution to student development and success.
- Documentable recognition of expertise in the field and at least a decade of practice in the field in the private or public sectors outside the academy. Exceptions to this minimum rank qualification can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### Associate Professor of Practice

- Documented evidence of high-quality teaching, service to the institution, and contributions to student development and success.
- Served at least five years at the rank of assistant professor of practice. Exceptions to this minimum rank qualification can be approved by the provost.
- Documentable recognition of expertise in the field and at least a decade of practice in the field in the private or public sectors outside the academy. Exceptions to this minimum rank qualification at the associate professor of practice level can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct

#### Professor of Practice

- Documented evidence of teaching excellence; service to the institution, and contribution to student development and success.
- Served at least five years at the rank of associate professor of practice. Exceptions to this minimum rank qualification can be approved by the provost.
- Documentable recognition of expertise in the field and at least a decade of practice in the field in the private or public sectors outside the academy. Exceptions to this minimum rank qualification at the professor of practice level can be approved by the provost.
- Professional comportment consistent with the Faculty Code of Conduct



#### 5.2.4.1 Terms and Procedures for Appointment and Reappointment of Non-Tenure-Track Faculty of Practice Ranks

The primary criterion for appointment and reappointment of a full-time, non-tenure-track faculty of practice is excellence in teaching and service. However, documented evidence of excellence in discipline-appropriate scholarly and/or creative activity, and/or service to the discipline or profession, may be included as supplementary criteria, depending on the needs of the department and the skills and desires of the faculty member.

Non-tenure-track faculty of practice are appointed to meet instructional needs with the specific intent of bringing practicing professionals into the classroom and research laboratories. All non-tenure-track faculty of practice appointments will be made for a term of at least one year and not more than five years.

The title of Visiting may be assigned or attached to a full-time non-tenure-track faculty of practice rank in accordance with the terms and conditions set forth in Section 5.2.5.

#### 5.2.5 Visiting Faculty

Non-tenure-track visiting faculty may hold full-time or part-time appointments for a limited term of up to two years. Visiting faculty carry out instructional and/or research responsibilities within an academic unit, department, and/or center/institute. Visiting appointments must comply with the requirements for full-time faculty appointments specified in Section 5.2., and they carry the same expectations as the full-time faculty appointments. Normally, full-time visiting faculty appointments will be made at the professorial rank that the individual holds at his or her home institution; however, the expectations of faculty in a visiting appointment are the same as those of the university's professorial faculty of the same rank. Part-time visiting faculty may only hold the title of Visiting Faculty.

As with all other non-tenure-track faculty appointments, the provost will issue letters of appointment to visiting faculty members. Visiting faculty do not participate in governance of the university and are not subject to annual performance reviews.

#### 5.2.6 Adjunct Faculty

Individuals who provide uncompensated or part-time compensated service to the instructional and/or research programs of the university may be appointed to adjunct faculty positions. As with all other non-tenure-track faculty appointments, the provost will issue letters of appointment to adjunct faculty members. Adjunct faculty originate from one of two sources: (i) university staff and (ii) individuals external to the university. Staff exempt employees with appropriate expertise who, on occasion, provide instruction or participate in research may hold adjunct faculty positions.

The same faculty credentials required for appointment to professorial ranks are required for adjunct faculty appointments. Adjunct faculty members who hold graduate faculty status may

serve on graduate committees, serve as program directors, supervise clinical experiences, or assume other responsibilities consistent with university, academic unit, and departmental/center policies.

Although uncompensated adjunct faculty members are not employees of the university, they are subject university policies as a condition of receiving and retaining this honorary appointment.

#### 5.2.7 Special Faculty Titles

The special titles described in Section 4.4 may be awarded to non-tenure-track faculty who have earned national and/or international recognition for educational, creative, research and/or scholarly contributions in their field. Special titles do not indicate an increase in a faculty member's rank.

#### 5.3 Workload

The university requires that each member of the faculty perform a reasonable and equitable amount of work each year. The normal maximum teaching responsibility of a full-time faculty member engaged only in classroom teaching is 15 credit hours each semester. The precise teaching responsibility of each individual will be based on such things as class size and the number of examinations, papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught, and other appropriate considerations will be used to determine teaching responsibility.

Classroom teaching responsibility should be reduced by the department chair for justifiable reasons including student advising, active involvement in research and/or creative activities (with publications or other suitable forms of recognition), direction of graduate theses or dissertations, teaching non-credit courses or workshops, administrative duties, and institutional, professional, and/or public service.

The assigned workload for full-time non-tenure-track faculty may consist of a combination of teaching, advising, research / scholarship / creative activity, and institutional, professional, and/or public service depending on the needs of the unit. Because the specific mix of these responsibilities varies by appointment, responsibilities are negotiated and determined annually by the department chair and faculty member, with review and approval of the dean and provost.

#### 5.4 Non-Tenure Track Faculty Review and Evaluation

Clear documentation of responsibilities and assigned workload is critical to the evaluation, reappointment, and promotion process for all full-time, non-tenure-track faculty members. As is the case for tenured and tenure-track faculty, the performance of all teaching, research, clinical faculty, and faculty of practice will be evaluated annually, with a written record of the evaluation maintained by the academic unit, department, and human resources. Each non-

tenure-track faculty member will be informed, in writing, of the percentage of effort that they are expected to devote to teaching, service, and research/professional development as well as whether the faculty member's position is contingent upon their ability to secure external funding. This documentation will be provided by the hiring unit to the non-tenure-track faculty member at the time of initial appointment and again each time the faculty member is reappointed. As needed throughout their terms of appointment, faculty members will have the opportunity to discuss their responsibilities with the department chair and request adjustments in their assigned workloads. This annually updated written record of workload distribution and assignments will become part of the non-tenure-track faculty's evaluation records.

#### 5.4.1 Annual Performance and Planning Review for Non-Tenure Track Faculty

All non-tenure-track faculty who are not on leave are subject to annual performance and planning reviews, also known as the Annual Performance Review process. The Annual Performance Review process is conducted in the spring semester. The department chair manages the Annual Performance Review process to ensure compliance with all deadlines for submission of the review forms to the dean and provost. In academic units without departments, the dean may also fulfill the functions of the department chair. The Annual Performance Review process has three levels of review: by the department chair, the dean, and the provost.

Any review of a faculty member's professional performance should be conducted with the full knowledge of the faculty member, should allow the faculty member to be informed of the findings prior to the transmittal of the conclusions of the review, and should allow the faculty member to verify that the review has been based on full and complete information. The faculty member shall have the opportunity to include in the transmittal of the review an explanation of why they disagree with the conclusions of the review if they disagree with the conclusions of the review. The standard faculty evaluation instrument and planning document can be accessed on the university website.

The Annual Performance Review process exists to provide fair, objective, and constructive feedback and relevant support to faculty members. As a means of preserving the integrity of the process until the process have been completed by the provost, neither the faculty member under review nor any administrator managing or conducting the review is permitted to communicate substantive information about the review with others involved in the review process, especially those charged with making a recommendation at subsequent stages of review. Nothing in this paragraph is intended to prohibit a faculty member under review from (a) consulting with the faculty ombudsperson, (b) consulting with representatives of the Office of Institutional Equity, or (c) pursuing possible rights of appeal available.

Annual Performance Reviews of non-tenure-track faculty are used as a basis for recommendations for salary increases, workload, and other personnel actions, including decisions regarding renewal of faculty appointments.

The goals of the Annual Performance Review are to:

1. review accomplishments as compared to previously set specific objectives for the faculty member by the faculty member and the chair consistent with this handbook and academic unit/departmental guidelines;
2. establish new objectives for the coming year, as appropriate, using clearly understood standards that are consistent with this handbook and academic unit and departmental guidelines;
3. provide the necessary support (resources, environment, personal and official encouragement) to achieve the specified objectives;
4. fairly and honestly assess the performance of the faculty member by the department chair; and
5. recognize and reward outstanding achievement.

The department chair will inform the departmental faculty of the schedule for the reviews, any materials that should be prepared and submitted for the reviews and schedule an annual review conference with each faculty member at least two weeks in advance of the date of the conference to allow faculty adequate notice to prepare the required materials.

Faculty performance must be evaluated in a manner consistent with all applicable campus, academic unit, and/or departmental policies, procedures, and bylaws, and must apply the following performance ratings:

- 0-Not Evaluated
- 1-Failure to Meet Responsibilities
- 2-Improvement Needed
- 2.5-Good Performance/Improvement Needed
- 3.0-Good Performance
- 3.5-Very Good/Good Performance
- 4.0-Very Good Performance
- 4.5-Exceptional/Very Good Performance
- 5.0-Exceptional Performance

A non-tenure-track faculty member that receives an overall performance rating less than 3.0 (Good Performance) is not eligible for any merit- or performance-based pay increases. A non-tenure-track faculty member that receives an overall performance rating of 1 (Failure to Meet Responsibilities) is not eligible for any across-the-board salary increase.

The non-tenure-track faculty member has the right to a general appeal of an Annual Performance Review as described in Appendix B.1. A faculty Annual Performance Review appeal may begin once the evaluation is fully executed.

## 5.5 Salaries

Salaries for non-tenure-track faculty members are set by terms of their appointment letters. Returning faculty members may appeal annual salary determinations using general appeal procedures found in Appendix B.1.

## 5.6 Promotion

The criteria for appointment to a rank are described for each non-tenure-track appointment in Section 5.2. Annual performance reviews form the basis of a cumulative record that prepares non-tenure-track faculty for promotion.

### 5.6.1 Eligibility

After serving at the rank of assistant professor, typically for a minimum of five years, a non-tenure-track faculty member who has satisfied the criteria described in Section 5.6.2, immediately below, may apply for promotion to the rank of associate professor. Non-tenure-track associate professors will have the possibility of reappointment for up to a maximum of five years from each reappointment date, contingent upon funding, and the promotion to associate professor shall be recognized by a base salary adjustment of 5% or \$2,500, whichever is greater. After serving at the rank of associate professor, typically for a minimum of five years, a non-tenure-track faculty member who has satisfied the criteria described in Section 5.6.2, immediately below, may apply for promotion to the rank of professor. Non-tenure-track professors will have the possibility of reappointment for up to five years from each reappointment date, contingent upon funding and the promotion to professor shall be recognized by a base salary adjustment of 5% or \$4,000, whichever is greater.

Like all academic appointments, these multi-year appointments consist of annual appointments that are automatically renewed for the specified term, unless terminated for Adequate Cause, or by operation of some other provision in this handbook (such as relinquishment, forfeiture, or other extraordinary circumstances, described in Section 4.10.1.

### 5.6.2 Criteria for Promotion

The criterion for promotion of non-tenure-track faculty is excellence in performing the primary responsibilities established in the initial appointment document and recorded in the annual performance and planning reviews. Promotion criteria are to be weighted in relation to the faculty member's assigned responsibilities. It is the responsibility of departments and academic units to define excellence in terms of their respective disciplines. Each academic unit may establish a statement of criteria and expectations, which elaborates on the general criteria found in this handbook and is consistent with the mission of the academic unit and the professional responsibilities normally assigned to non-tenure-track faculty members in the academic unit. Each department may establish more detailed criteria for promotion in that unit that are consistent with but may be more specific than the criteria stated in this handbook and any criteria established by the academic unit. Departmental criteria for promotion are not

required if specific criteria have been established by the applicable academic unit, and the dean and provost have approved application of the academic unit criteria in lieu of departmental criteria. Academic unit criteria for promotion shall be effective upon approval by the provost and will be published online. Departmental criteria for promotion shall be effective upon approval by the dean and provost and will be published online.

### 5.6.3 Promotion Process

An adequate evaluation of a promotion candidate's qualifications for promotion requires the exercise of judgment of both the candidate's faculty colleagues and appropriate administrators. Typically, there are three levels of review: the department or center/institute, headed by the candidate's chair or director; the academic unit committee, the dean of the college; and the provost. For academic units without departments, the process will begin at the academic unit level and will be managed by the dean. The promotion process for non-tenure-track faculty shall be conducted in accordance with tenure and promotion calendar maintained by the provost, the academic unit, and the department, if applicable.

#### A. Preparation for Promotion

The non-tenure-track faculty member and department chair or director should discuss promotion as a part of the annual performance review, well in advance of the suggested dates for submission of the application for promotion in order to give the candidate sufficient time to gather the required materials and assemble the dossier. Non-tenure-track faculty should work closely with the department chair or director to define goals and to establish documented evidence of effectiveness to ensure that they are meeting the obligations and performing at the level of expectation of the department or center/institute, academic unit, and university. Examples of evidence of teaching, research / scholarship / creative activity, and service are provided in Section 4.9.7A. All such evidence becomes part of the faculty member's ongoing and continuously updated dossier, described in Section 5.6.3B. Specific content in the dossier which will vary according to discipline.

#### B. The Dossier

All non-tenure-track candidates for promotion must submit a dossier which should reflect the faculty member's cumulative performance in satisfying the criteria for promotion in teaching, research / scholarship / creative activity, and/or service in accordance with their appointment. The promotion dossier is divided into sections that contain information about the primary criteria by which candidates are assessed. It is used for review at the departmental, academic unit, and university levels. A description of the materials required for each section, as appropriate to the duties assigned to the faculty member, and the order of their assembly is

maintained by the provost and shall be posted on the university website. Great care should be taken in the preparation of the dossier. Nothing may be added to or removed from a candidate's dossier after it has been evaluated by the department promotion committee comprised of tenured and non-tenure-track faculty as specified below in Section 5.6.3C(3). This requirement ensures that each reviewing authority will examine exactly the same evidence in making decisions on the promotion application. If the candidate appeals the provost's recommendation, the Faculty Appeals Committee may request information that it deems necessary to form its recommendations to the president and that information shall be included with its recommendation. The specific substance of the materials required for adequate review of a faculty member's activities in teaching, research/creative achievement/scholarship, and/or service will vary with the academic discipline and the terms of candidate's appointment.

### C. Department Procedures for Promotion Review

1. Notification of Intent: The candidate will notify the department chair in writing of his or her intent to file for promotion to the department no later than the deadline indicated in the tenure and promotion calendar. In academic units, without departments, the candidate will notify the dean in writing of his or her intent to file for promotion to the academic unit.
2. Submission of the Dossier: Departmental and/or academic unit guidelines may include requirements for external peer review of the candidate if research, scholarship, and/or creative activities are specified as a condition of her or his employment. If external peer review is specified as a requirement in academic unit and/or department guidelines for promotion, the procedures described in Section 4.9.7C(2) shall be followed. The faculty member will, with the guidance and counsel of the department chair, prepare and submit to the department chair (for distribution to the department promotion committee) a dossier, as described in Section 5.6.3B, of contributions and accomplishments according to departmental, academic unit, and university guidelines.
3. Review by Department Promotion Committee: The promotion committee for evaluating the promotion application of a non-tenure-track faculty member will include all tenured faculty at the rank being applied for or above and will include non-tenure-track faculty at the rank being applied for or above who contribute to the aspects of the university mission in which the candidate will be evaluated on. The department promotion committee will review the dossier submitted by the faculty member and evaluate the candidate's accomplishments, with respect to all relevant criteria (university, academic unit, and department). The judgment and assessment of the candidate's application for promotion by the faculty at the department level is critical because of their familiarity with the candidate

and their knowledge of the qualifications necessary for their discipline. Reviewers at this level, and at every level, will utilize dossier materials and professional observations in casting their votes.

4. **Vote of Department Promotion Committee:** The department promotion committee will take a formal anonymous vote upon candidate. The vote becomes part of the dossier. The vote of the department promotion committee and a written summary of the rationale in support of the vote is transmitted to the department chair. If a department chair is being considered for promotion, the recommendation of the department committee will be transmitted directly to the dean. The recommendation of the department promotion committee shall be advisory to the department chair.
5. **Review and Recommendation by Department Chair:** The department chair conducts an independent promotion review based upon the faculty member's dossier, which will include the recommendation of the department promotion committee. The department chair will prepare a letter which will include an independent recommendation and summary explanation for the recommendation based on the department chair's review and evaluation of materials in the dossier. If the chair's recommendation differs from the recommendation of the department promotion committee, the summary must explain the reasons for the differing judgment. The department chair's letter becomes part of the dossier which is transmitted to the dean. In cases involving promotion only, the chair will meet with the candidate to inform the candidate of the recommendations which the department tenure and promotion committee and the chair have made and the reasons for those recommendations. The promotion application may be withdrawn at this point. The recommendation of the department chair shall be advisory to the academic unit tenure and promotion committee.

#### D. Academic Unit Procedures for Promotion Review

1. **Review by Academic Unit Promotion Committee:** The dean will send the application, the recommendations of the department promotion committee and department chair's recommendations to the academic unit promotion committee. The promotion committee for evaluating non-tenure-track faculty of the academic unit will include tenured faculty at the rank being applied for or above and will include non-tenure-track faculty at the rank being applied for or above who contribute to the aspects of the university mission in which the candidate will be evaluated on. In unusual circumstances (e.g., insufficient numbers of higher ranked faculty members within a department), additional tenured faculty and non-tenure track faculty may be appointed to the promotion committee by the provost upon request from the department chair and dean.



The academic unit committee is responsible for ensuring that the dossier is consistent with department, academic unit, and university policies as well as for making recommendations concerning the applicant's qualifications for promotion. The academic unit committee should evaluate the performance of a candidate for promotion with consideration of the candidate's department guidelines.

2. **Vote of Academic Unit Promotion Committee:** The academic unit promotion committee will take a formal anonymous vote upon the candidate's application for promotion. The vote and a written summary of the rationale in support of the vote becomes part of the dossier. The recommendation of the academic unit promotion committee is transmitted to the dean. The recommendation of the academic unit promotion committee shall be advisory to the dean.
3. **Review and Recommendation by the Dean:** The dean conducts an independent promotion review based upon the faculty member's dossier, which will include the recommendations of the department promotion committee, the department chair, and the academic unit promotion committee. The dean will prepare a letter which will include an independent recommendation and summary explanation for the recommendation based on the dean's review and evaluation of materials in the dossier. If the dean's recommendation differs from the recommendations of the department promotion committee, the department chair or the academic unit promotion committee, the dean must explain the reasons for the differing judgment. The dean will meet with the candidate to transmit the recommendations which the academic unit tenure and promotion committee and the dean have made and reasons for those recommendations. At this point the candidate has one last opportunity to withdraw the application for promotion. The dean's letter becomes part of the dossier which is transmitted to the provost. The recommendation of the dean shall be advisory to the provost.

#### E. University Procedures for Promotion Review

1. **Review and Recommendation by the Provost:** The provost will review the dossier and prepare a letter providing an independent recommendation and summary explanation for the recommendation based on his or her review and evaluation of the materials in the dossier. The provost will review the dossier from an even broader perspective than that used in the academic unit. The provost will notify the candidate of the recommendation that he or she will make to the president regarding the candidate's application for promotion no later than seven (7) days after the beginning of the spring academic term. In the case of a negative recommendation, the provost will provide written reason(s) for the decision. The provost's letter becomes part of the dossier.

2. Appeals of a Negative Promotion Decision: The faculty member may appeal a negative decision for promotion under the tenure and promotion appeals procedures described in Appendix B.2 of the Faculty Handbook. If, after the provost's promotion recommendations are announced, a faculty member wishes to appeal a negative recommendation, the request must be submitted to the chair of the Faculty Appeals Committee within fourteen (14) days of the beginning of the spring academic term. The committee may review information related to the appeal to whatever extent it wishes and then make its recommendations to the president. The recommendation of the Faculty Appeals Committee is advisory to the president.
3. Review and Recommendation by the President: After receiving recommendations from the provost, if applicable, the Faculty Appeals Committee, the president makes a final recommendation to the Board of Trustees and notifies the candidate of this recommendation. In the case of a negative recommendation, the president will provide the candidate written reason(s) for the decision.
4. Action by the Board of Trustees: Only the Board of Trustees is authorized to award promotion. The president will present a list of the positive recommendations for promotion for board approval. The board will notify the president of its decision and the president will provide written notice to the candidate of the board's decision. For positive action by the Board of Trustees to award promotion, the president shall provide written notice to the candidate of the effective date of promotion.

## Chapter 6: Revision of the Faculty Handbook

### 6.1 Board of Trustees' Authority

When official university policies and procedures are changed by the Board of Trustees such changes become effective on the date designated at the time of their adoption and supersede any conflicting or inconsistent provision in the Faculty Handbook. The provost is responsible for ensuring that the handbook is updated in accordance with the newly adopted Board of Trustees' policies and shall notify the Faculty Senate president that the Faculty Handbook is being revised.

### 6.2 University Policies

The most recent versions of the university policies are available on the university website. Questions about a particular policy or issue should be addressed to the division administrator. The university's Policy Review Board (PRB) assists in the formulation, review, and distribution of all university policies. The Policy Review Board is comprised of representatives from all major divisions of university and includes a representative from the Faculty Senate. In accordance with Section 1.5 of this Handbook, the responsible administrative divisions will consult with Faculty Senate regarding proposed policy changes that may impact faculty. When official university policies and procedures are changed such changes become effective on the date designated at the time of their adoption and supersede any conflicting or inconsistent provision in the Faculty Handbook. The provost shall update the handbook in accordance with the newly adopted university policies and shall notify the Faculty Senate president that the Faculty Handbook is being revised.

### 6.3 Faculty Handbook Review and Revision

#### 6.3.1 Responsibility

The Faculty Senate, the provost, and the president accept the provisions of this handbook. All have shared responsibility for revision. The provost is responsible maintaining the Faculty Handbook which shall be made available on the university website.

#### 6.3.2 Review

The Faculty Policies Standing Committee of the Faculty Senate will periodically review the provisions set forth in this Handbook. The Faculty Policies Standing Committee may initiate a proposed revision to the Faculty Handbook, after consultation with the provost. Recommendations for revision may also be brought forth by the president or provost for Faculty Senate consideration. Such recommendations may be submitted to the Faculty Senate president or to the Faculty Policies Standing Committee of the Faculty Senate. If the recommendation is submitted to the Faculty Senate president, the Faculty Senate Executive Committee will decide on whether to charge the Faculty Policies Standing Committee to review the recommendations.

- A. Minor Revision: If the provost and Faculty Policies Standing Committee agree to the proposed recommendation for revision and that the recommendation constitutes a minor revision of the Faculty Handbook then the provost shall revise the Handbook. Minor revisions include the following:
  1. Changes to administrative and staff titles, positions, offices, and academic units/departments/centers and institutes.
  2. Spelling, grammar, and formatting
  3. Changes of local, state, and federal laws cited in the Handbook
  4. Times, time periods, and dates
  
- B. Major Revision If the provost and/or the Faculty Policies Standing Committee agree that the recommendation constitutes a major revision of the Faculty Handbook than the following procedures shall be followed:
  1. Review by the Senate: The Faculty Policies Standing Committee will review the recommendations and determine whether the recommendations should be brought to the Faculty Senate for consideration. The Faculty Policies Standing Committee shall follow the Faculty Senate Standing Rules when presenting recommendations by a formal motion or resolution to the Faculty Senate. Adoption of the motion/resolution by the Faculty Senate constitutes a recommendation of the Faculty Senate to the provost for revision of the Faculty Handbook.
  2. Review by the Provost: The provost will first review all recommendations by the Faculty Senate for revision of the Faculty Handbook. If the provost approves of the recommendations made by the Faculty Senate, then the provost will ensure the revisions do not conflict with existing policies. In addition, the provost will recommend to the president whether the revisions must be approved by the Board of Trustees. The provost will submit his approval of the Faculty Senate recommendations to the president and indicate whether he or she believes the revisions must be approved by the Board of Trustees. If the provost does not approve of the recommendations made by the Faculty Senate, then the provost will indicate in writing to the Faculty Senate president, the reasons why he or she does not approve of the proposed revisions. The provost may also make recommendations in his or her written summary to the Faculty Senate president on changes that could be made to the proposed revisions for further consideration by the Faculty Senate.
  3. Faculty Senate Appeal to the President: If the provost does not approve of the Faculty Senate recommendations for revision of the handbook and the Faculty Senate and provost are unable to come to an agreement on the revisions, the Faculty Policies Committee, in accordance with Faculty Senate Standing Rules, may bring forth a motion/resolution to the Faculty Senate to appeal the recommendations of the provost to the president. If the motion/resolution is adopted by the Faculty Senate, the Faculty Senate president will submit the

motion/resolution of appeal along with the Faculty Senate recommendations for Handbook revisions to the president for review. The Faculty Senate president shall provide copies of the motion/resolution of appeal and the Faculty Senate recommendations for Handbook revisions to the provost. The provost shall submit his or her written recommendations on the proposed revisions to the president for review.

4. **Review and Decision by the President:** The president will review the recommendations of the provost (and the Faculty Senate if an appeal was submitted) for revisions. If the president approves of the recommendations made by the Faculty Senate, then the president will ensure the revisions do not conflict with existing policies. In addition, the president will determine whether the revisions must be approved by the Board of Trustees. If the president approves of the recommendations of the Faculty Senate and determines the proposed revisions require approval by the Board of Trustees, then he or she will submit the recommendations to the board for approval. If the president determines the proposed revisions do not require board approval, then the president's positive or negative decision on the recommendations is final and he or she will notify the provost and the Faculty Senate President in writing of his or her decision. The president may indicate in writing to the Faculty Senate president, the reasons why he or she does not approve of the proposed revisions. If the president approves the Faculty Senate recommendations, the provost shall revise the Handbook in accordance with the Faculty Senate recommendations for revision.
5. **Review and Decision by the Board of Trustees:** If the president approves of the recommendations of the Faculty Senate and determines the proposed revisions require approval by the Board of Trustees, then he or she will submit the recommendations to the board for approval. If the Board of Trustees approves or amends the recommendations, the provost shall revise the Handbook in accordance with the board's decision and/or revisions.

## Appendix A: University Standing Committees with Faculty Senate Appointed Representatives

### A.1 Faculty Senate Appointed Representatives, Terms, and Term Limits

Shared governance at the university level is also accomplished through the work of faculty on the University Standing Committees. Membership of all university standing committees should reflect the diversity of the University community. The Faculty Senate retains the responsibility for appointing faculty members to the University Standing Committees listed in the Table below:

#### Office of the President

Standing Committees	Representatives	Term (years)	Term Limit
Institutional Effectiveness Council	1	1	-
Honorary Degree Committee	1	1	-
Policy Review Board	1	1	-
Faculty Athletics Committee	2	2	3

#### Office of the Provost

Standing Committees	Representatives	Term (years)	Term Limit
Faculty Safety & Security Committee	1	1	-
Undergraduate Grade Appeals Committee	2	2	-
Graduate Grade Appeals Committee	2	2	-
University Council for Graduate Studies	1	2	-
University Undergraduate Council	1	2	-
Space Policy Council	1	1	-

#### Division of Business and Finance

Standing Committees	Representatives	Term (years)	Term Limit
Facilities & Service Committee	2	2	-
Fee Refund & Appeals Committee	3	2	-
Public Records & Forms Committee	1	2	-
Traffic & Parking Committee	2	2	-

#### Office of Institutional Equity

Standing Committees	Representatives	Term (years)	Term Limit
Compliance Council	2	2	-

## Information Technology Division

Standing Committees	Representatives	Term (years)	Term Limit
IT Policy & Planning Council	1	2	-
Technology Access Fee Committee	1	2	-
Enterprise Systems Advisory Committee	1	2	-
Information Security Advisory Committee	1	2	-
Teaching & Learning Advisory Committee	1	2	-

## Division of Research and Innovation

Standing Committees	Representatives	Term (years)	Term Limit
Research Council	5	1	-

## Office of the Faculty Senate

Standing Committees	Representatives	Term (years)	Term Limit
Faculty Appeals Committee	8	3	-
Faculty Appeals Advocates	3	3	-

## A.1 Standing Committee: University Council for Graduate Studies (UCGS)

The University Council for Graduate Studies shall be composed of two ex officio members and twenty-one voting members. The ex officio members shall be the Vice Provost for Graduate Studies and the Coordinator of Graduate Systems. Voting members shall be the Directors of Graduate Studies (one from each of the graduate colleges and schools: College of Arts and Sciences, Fogelman College of Business and Economics, College of Communication and Fine Arts, College of Education, Health and Human Sciences, Herff College of Engineering, the School of Communication Sciences and Disorders [AUSP], Loewenberg School of Nursing, the School of Public Health, and University College), the president of the Graduate Student Association (GSA), eleven Graduate Faculty representing the various graduate colleges, and one representative elected by the Faculty Senate. In recognition of the various college and school discipline areas and the population of graduate faculty, the following formula allotment has been determined:

## ARTS AND SCIENCES

3

## BUSINESS AND ECONOMICS

2

## COMMUNICATION AND FINE ARTS

2

## EDUCATION

2

## ENGINEERING

2

The duties and responsibilities of the university council are to consider proposals to change graduate admissions; graduate curriculum, including courses, majors, minors, degrees, and programs; graduate policies and procedures; and research policies and procedures. Proposals approved by the university council and the assistant vice provost for graduate studies are forwarded, when necessary, to the provost for appropriate University and State review. The university council hears and acts upon appeals from students denied admission to a graduate program and on other academic appeals from graduate students (except grade appeals), which have not been resolved at a lower level. The university council also establishes criteria for membership on the graduate faculty.



## Appendix B: Rights of Appeal

### B.1 General Appeals

The rights of general appeal described herein apply to all tenured, tenure-track, and non-tenure-track faculty. Faculty have the right to appeal an administrative recommendation, decision, or employment action (except for actions related to discrimination, harassment, termination, and suspension without pay) under the general appeals procedures related to the following matters:

- Academic Freedom (except for Tenure and Promotion Review)
- Professional Responsibility
- Code of Conduct Sanction
- Annual Salary Adjustment
- Workload
- Annual Performance Evaluation
- Termination of Tenured Faculty due to Forfeiture of Tenure
- Termination of Tenured Faculty due to Program Discontinuance

A faculty member may only appeal his or her annual salary adjustment if the adjustment was inconsistent with respect to the compensation allocation plan or formula provided by the university and/or academic unit. A faculty member may only appeal her or his workload if the workload is inconsistent with the respect the workload policy of the university and/or academic unit.

Prior to initiating a general appeal, faculty members are encouraged to bring informal complaints or grievances to the lowest administrative level at which an adverse recommendation, decision, or action was taken. Every effort should be made to expeditiously resolve such matters informally, through conversation with the department chair, director, or dean, before submitting a formal appeal. Faculty may also contact the faculty ombudsperson at any point in the appeal process for consultation or informal mediation as described in Appendix D. If those efforts fail and an administrator makes a formal adverse recommendation, decision, or action, the faculty member may initiate the general appeal process in accordance with Appendix B.1.A. In all cases, faculty members are entitled to notice regarding the grounds for the adverse recommendation, decision, or action. The appeals procedures through administrative channels and the Faculty Appeals Committee are formal but not judicial processes. Faculty members have a right to consult an attorney, but attorneys may not participate in general appeals proceedings.

#### A. Process for General Appeals

1. **Formal Initiation of Appeal:** Upon receipt of a written notice of an administrative recommendation, decision, or action named under Section B.1, a faculty member has 14 days to initiate the general appeals process. The appeals

process begins when the faculty member notifies the administrator, who issued the recommendation, decision, or action, of the faculty member's intent to formally initiate the general appeal process.

2. Appeals Through the Administrative Channel: Faculty members have the right to request review at successively higher administrative levels, up to the level of the provost, until the faculty member concludes that the matter is resolved. At each successive level of administrative appeal, the faculty member has 14 days to submit a written appeal to the administrator at the next level. The faculty member shall copy the written notice of administrative appeal to the administrators at lower levels that have already reviewed and decided in writing on whether to uphold, dismiss, or modify the administrative recommendation, decision, or action. The administrator at each successive level will review the appeal and decide whether to uphold, dismiss, or modify the administrative recommendation, decision, or action. The administrator shall provide written notification of his or her decision within 14 days of receiving the written appeal to the faculty member and to the administrators at lower levels involved in the appeal. If the appeal rises to the level of the provost and the faculty member concludes the problem is unresolved after a decision by the provost, the faculty member has the right to appeal to the Faculty Appeals Committee.
3. Appeals through the Faculty Appeals Committee: If the faculty member concludes that the matter is unresolved after appealing through administrative channels, the faculty has the right to appeal to the Faculty Appeals Committee within 30 days of receipt of the written decision by the provost. To file an appeal to the Faculty Appeals Committee, the faculty member must submit an intent to appeal in writing to the Faculty Senate President, the chair of the Faculty Appeals Committee, the administrators involved in the appeal, and the provost. The written appeal should include a comprehensive statement of the appeal. The chair of the Faculty Appeals Committee is responsible for ensuring that the points of the general appeal are clearly defined in writing, and that both parties fully understand the matter(s) to be resolved. If the two parties cannot agree on the matter(s) to be resolved, the chair of Faculty Senate Faculty Policies Standing Committee will determine the matter(s) to be decided. After receiving an appeal and upon verification that both parties fully understand the matter(s) to be resolved, the Faculty Appeals Committee will vote on whether (a) to take no action on the grounds that the appeal lacks merit for consideration or (b) to conduct a hearing. If the majority of the Faculty Appeals Committee has determined that the appeal merits consideration, then the chair will contact the Faculty Senate office to make the arrangements for the hearing. The complete procedures for a general appeal hearing through the Faculty Appeals Committee are described in Appendix F.1. As described in Appendix F.1, at the conclusion of the hearing the hearing panel will summarize its findings in writing and vote on

whether to recommend upholding, dismissing, or modifying the administrative recommendation, decision, or action. The hearing panel will submit its recommendation(s) and vote to chair of the Faculty Appeals Committee. The chair of the Faculty Appeals Committee will share the vote and recommendation(s) in writing with the faculty member, the administrator(s) involved in the appeal, the provost, and the president.

4. Decision by the President: If the recommendation(s) of the Faculty Appeals Committee are approved by the president, the written decision will be provided to the faculty member making the appeal, the administrator(s) involved in the appeal, the provost, and the Faculty Appeals Committee. If the recommendations of the Faculty Appeals Committee are not approved by the president, the president will issue a written decision which will be provided to the faculty member, Faculty Appeals Committee, provost, and administrators involved. The written decision will include the reasons for not accepting the findings and recommendations of the Faculty Appeal Committee. The decision by the president is not appealable.

## B.2 Tenure and Promotion Appeals

Faculty who are not recommended for tenure and/or promotion by the provost have the right to appeal the provost's recommendation under the tenure and promotion appeals procedures on the following grounds:

- A. Violations of principles of academic freedom, as described in Section 2.2.1, but only based on a tenure and promotion recommendation.
- B. Substantive procedural errors (based upon the procedures described in the Faculty Handbook, academic unit tenure and promotion guidelines, or departmental guidelines) in the review of the application.
- C. Mistake in the review of a dossier such that a reviewing body is unaware of a credential that satisfies a requirement for tenure or promotion.
- D. An arbitrary, capricious, or unsubstantiated recommendation.

At any stage of the appeals process, a faculty member can enlist the aid and advice of a Faculty Appeals Advocate through a written request to the Faculty Senate President. The Faculty Senate President shall appoint an Appeals Advocate within 14 days of the request. The Appeals Advocate must be a tenured faculty at the professor rank who is well versed in the appeals process, not currently serving on the Faculty Appeals Committees, and able to serve as a conflict-free advisor to an appellant during the appeals process. An Appeals Advocate can provide information about appeals procedures and the grounds for appeals, assist appellants in developing their appeals, and advise appellants during an appeal hearing.

The tenure and promotion appeal process is a formal process, but not a judicial process. Faculty members have a right to consult an attorney, but attorneys may not to participate in tenure and promotion appeals proceedings.

#### A. Process for Tenure and Promotion Appeals

1. **Formal Initiation of Appeal:** If a candidate decides to appeal a negative decision for tenure and/or promotion, he or she must submit a written appeal to the Faculty Senate President, the chair of the Faculty Appeals Committee, and the provost within thirty (30) days of the beginning of the spring academic term. In the notice of appeal to the Faculty Appeals Committee chair, the faculty member filing the appeal must identify the grounds for the appeal and should pursue only those grounds for which there is credible evidence supporting the appeal. It is the faculty member's responsibility to present evidence to support each ground that serves as the basis for the appeal. Assertions must be supported by documentary evidence or testimony.
2. **Appeals through the Faculty Appeals Committee:** The procedures for appeals through the Faculty Appeals Committee are presented in Appendix F.2. After receiving a request for an appeal, the Faculty Appeals Committee will vote on whether (a) to take no action on the grounds that the appeal lacks merit for consideration or (b) to conduct a hearing. If the majority of the Faculty Appeals Committee determines that the appeal merits consideration, the committee chair will contact the Faculty Senate office to make the arrangements for a hearing. At the conclusion of the hearing and following an anonymous vote of the committee members, the Faculty Appeals Committee will provide its findings and recommendations in writing to the faculty member, the provost, and the president.
3. **Decision by the President:** After receiving recommendations from the provost and the Faculty Appeals Committee, the president makes a recommendation to the Board of Trustees and notifies the candidate of this recommendation. In the case of a negative recommendation, the president will provide the candidate written reason(s) for the decision. The recommendation of the president is not appealable.

#### B.3 Special Appeals

Special procedures and appeals are provided for cases involving:

- A. allegations of discrimination or harassment due to race, sex, religion, national origin, age, handicap, or veteran status; or
- B. termination or suspension without pay of a tenured faculty member for adequate cause; or

- C. termination or suspension without pay of tenure-track faculty member for adequate cause prior to the expiration of appointment and/or without minimum advance notice

#### B.3.1 Allegations of Discrimination or Harassment Due to Race, Sex, Religion, National Origin, Age, Handicap, or Veteran Status

Faculty members' complaints of sexual harassment or other forms of discrimination (i.e., allegations of discrimination based on race, sex, national origin, religion, age, handicap, or veteran status) are brought forward and investigated in accord with procedures described on the Office of Institutional Equity website and may be requested by contacting the Office of Institutional Equity. Any appeals related to such cases are handled through the Office of Institutional Equity. Personnel Policies regarding Equal Employment Opportunity and Affirmative Action are posted on the university website.

#### B.3.2 Termination or Suspension without Pay of Tenured Faculty for Adequate Cause

Tenured faculty have the right to contest a decision by the provost for termination or suspension without pay for Adequate Cause in accordance with Sections 4.10.2A(9) and Section 4.10.2B(7).

#### B.3.3 Termination or Suspension without Pay of Tenure Track Faculty for Adequate Cause Prior to the Expiration of Appointment and/or without Minimum Notice

As stated in Section 4.10.2, a tenure-track faculty member may be suspended without pay or dismissed for Adequate Cause by the provost before the end of the stipulated term of appointment or without the minimum advanced notice specified for termination of tenure-track faculty members. Tenure-track faculty have the right to contest a decision by the provost for termination or suspension without pay for Adequate Cause before the end of the stipulated term of appointment or without the minimum advanced notice in accordance with Sections 4.10.2A(9) and Section 4.10.2B(7).

## Appendix C: Faculty Code of Conduct

### C.1 Policy Statement, Purpose and Applicability

The purpose of the Faculty Code of Conduct (“code”) is to protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the university as an institution of higher learning. The principles and types of unacceptable behavior delineated herein are intended to govern conduct by faculty and any corresponding corrective action, with the understanding corrective action should be reserved for misconduct that is either serious or is made serious through its repetition or its consequences. In the event of any conflict between this code or university policy or applicable law, university policy or the applicable law shall govern.

This code applies to all faculty as defined herein.

### C.2 Commitment to the Principles of Academic Freedom

This code is based on the premise that both administrators and faculty share responsibility to create a climate suitable for scholarship, research, effective teaching and learning, and service. Academic freedom, the freedom to discuss in the classroom matters deemed relevant to the business of a given class, is essential to fulfill the ultimate objectives of the university. Intellectual inquiry, which sometimes results in disagreements or controversy, is essential both to the pursuit of knowledge, and to production of valuable work. Additionally, faculty members are entitled to their political rights, and to all the prerogatives of United States citizens. This Code is not intended to interfere with any of the principles included in the university’s Academic Freedom policy, which is available on the university website, and described in Section 2.2.1

### C.3 Definitions

- A. The term “faculty member” or “faculty” means all university administrators with faculty appointments; all persons with a tenured, tenure-track, or non-tenured faculty appointment; unclassified academic staff; and any person hired by the university to conduct classroom activities.
- B. The term “student” includes all persons taking courses at the institution, both full-time and part-time, pursuing undergraduate, graduate or extension studies.
- C. The term “teacher” refers to anyone who holds a faculty position described in the Faculty Handbook and who teaches students or supervises trainees.
- D. The term “trainee” refers to students engaged in graduate or post-doctoral activities supervised by faculty members.
- E. The term “unit” means a faculty member’s assigned department, school or college.
- F. The term ‘university’ refers to those responsible for its control and operation of the institution.

- G. All other terms have their conventional meaning unless the text dictates otherwise. Determination of a person's status as a "faculty member" or a "student" in a particular situation shall be determined by the surrounding facts.

#### C.4 Ethical Principles and Unacceptable Behavior

This code elaborates standards of professional conduct, derived from general professional consensus about the existence of certain precepts as basic to acceptable faculty behavior. Conduct which departs from these precepts is viewed by faculty as unacceptable because it is inconsistent with the mission of the university. The articulation of types of unacceptable faculty conduct is appropriate both to verify that a consensus about minimally acceptable standards in fact does exist and to give fair notice to all those departures from these minimal standards may give rise to disciplinary proceedings.

The following subsections detail the responsibilities and expectations for faculty as it relates to their roles as educators, scholars, colleagues, members of the university and overall community and is followed by a non-exhaustive listing and illustrative examples of unacceptable behavior.

##### A. Faculty as Educators

The integrity of the teacher-student relationship is crucial to the educational mission of the university. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. When acting in their role as teachers, members of the university faculty treat students with professional courtesy and respect their rights, including, but not limited to, academic freedom and those rights as described in the Student Code of Rights and Responsibilities, which is available on the university website. They set an example of academic integrity and educate their students and trainees in the requirements of honest scholarship. They evaluate their students' and trainees' work solely based on its intellectual merit and adherence to course or program requirements. They maintain proper professional boundaries and never exploit the unequal institutional power inherent in the relationship between faculty member and student and trainee.

Faculty members who teach are expected to teach courses in their unit in accordance with the needs, requirements and expectations of the unit and the general requirements concerning the conduct of classes specified in various university regulations. Good teaching requires continual application and effort. Faculty members who teach are expected to keep abreast of new developments in their fields and must maintain credentials as scholars so that they are part of the creative process by which the frontiers of knowledge and culture are continually being expanded. A teacher should be engaged with his or her discipline and should be able to convey to the students the value of the subject. Teaching responsibilities include prompt and regular presence during scheduled class hours whether in a physical classroom or online, as appropriate to the mode of course delivery. In the case of forms of online course delivery that do not

involve regular meeting times for the entire class, teaching responsibilities include meeting unit expectations for other forms of student – teacher and student – student interaction.

The following are examples of unacceptable behavior in violation of the aforementioned principles:

1. Failure to meet the responsibilities of instruction, including, but not limited to:
  - a. arbitrary denial of access to instruction;
  - b. significant intrusion of material unrelated to the course;
  - c. significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled;
  - d. evaluation of student work by criteria not directly reflective of course performance; and/or
  - e. undue and unexcused delay in evaluating student work.
2. Violation of university policies related to equal educational opportunity, discrimination, harassment, and disability accommodations.
3. Entering into a relationship with a student in violation of the university's Nepotism and Personal Relationship Policy, which are available on the university website.
4. Use of the position or powers of a faculty member to coerce the judgment or conscience of a student or to cause harm to a student.
5. Participating in or deliberately abetting disruption, interference, or intimidation in the classroom in violation of university policies and/or federal, state, and local laws.
6. Breach of the privacy rights of students in violation of the Family Educational Rights and Privacy Act (FERPA).
7. Unauthorized or inappropriate use of self-authored instructional materials in violation of the Faculty Authored Educational Material policy, which is available on the university website

#### B. Faculty as Scholars

As scholars, members of the faculty devote their professional lives to seeking and disseminating knowledge, using the tools and resources provided by the university and the larger community. To protect their colleagues, their students, their trainees, the university, and the record of knowledge in their field, and to preserve respect for scholarship in the larger community, members of the university faculty conduct and publish their research and writing with scrupulous honesty, and they do not allow pecuniary or other improper influences to compromise the integrity of their scholarship.



Faculty members have the responsibility to engage continuously in scholarship consistent with university and academic unit expectations as set forth in Faculty Handbook, the offer letter, and the approved allocation of effort. Scholarship encompasses not only traditional academic research and publication but also the creation of artistic works or performances and any other products or activities accepted by the academic or professional discipline as reflecting scholarly effort and achievement. Scholarship should be subject to the critical scrutiny of peers and should expand the frontiers of knowledge and culture. Faculty members have a responsibility to demonstrate ethical and responsible behavior in the design, conduct, and reporting of academic scholarship consistent with the standards of their disciplines. Faculty have a responsibility to act as positive examples of responsible scholarship for students and developing scholars.

The following are examples of unacceptable behavior in violation of the aforementioned principles:

1. Violation of canons of intellectual honesty;
2. Intentional misappropriation of the writings, research, and findings of others;
3. Research misconduct as prohibited by the university's Research Misconduct policy, which is available on the university website; and/or
4. Engaging in any activities which may constitute a violation of the university's Conflict of Interest policy, which is available on the university website.

#### C. Faculty as Colleagues

"As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debts and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution." (AAUP Statement, 1966; Revised, 1987.)

The following are examples of unacceptable behavior in violation of the aforementioned principles:

1. Making evaluations of the professional competence of faculty members by criteria not directly reflective of professional performance.
2. Violation of university policies related to equal employment opportunity, discrimination, and harassment.
3. Interfering with the academic freedom of faculty members.
4. Knowingly violating any academic unit, college, or university policy.
5. Using the creative achievements of colleagues without appropriate consultation and credit.

#### D. Faculty as Members of the University Community

The overriding professional obligation of all full-time faculty members is to the university and to its mission. Faculty members recognize that the preservation of the university as a self-sustaining community of scholars requires that they accept their share of responsibility for university governance and that they comply with university policies. Faculty members participate constructively and without discrimination in hiring and promotion decisions. By freely associating themselves with the university, members of the faculty affirm their commitment to a philosophy of mutual tolerance and respect. In furtherance of mission of the university, they have the right and obligation to criticize their colleagues, staff members, and the university, but they endeavor to do so without personal animus and without seeking to intimidate or coerce. Faculty members act as stewards of university's resources and treat university property and funds with care and prudence.

The following are examples of unacceptable behavior in violation of the aforementioned principles:

1. Intentional disruption of functions or activities sponsored or authorized by the university. Unauthorized use of university resources or facilities in violation of state or federal law or university policy.
2. Threats of physical harm, verbal threats or gestures that would suggest physical harm, and other similar acts in violation of the university's Workplace Violence Prevention policy, which is available on the university website
3. Discrimination, harassment, or retaliation against another member of the university in violation of university policy.
4. Violation of university policy at a level that would warrant discipline if engaged in by any member of the university community.
5. Knowingly furnishing false information to the university, or forging, altering, or misusing university documents or instruments of identification.
6. Plagiarism, misrepresentation, and fraud in performance of responsibilities.
7. Committing an act that involves such moral turpitude as to render the faculty member unfit for his/her position. As used in this section, conduct involving moral turpitude means intentional conduct, prohibited by law, which is injurious to another person or to society and which constitutes a substantial deviation from the accepted standards of duty owed by a person to other persons and society.
8. Any grounds as enumerated statute Tenn. Code Ann. § 49-8-302.
9. Disclosure of confidential information acquired by virtue of employment or other confidential sources, except as allowed by law.

E. Faculty as Members of the Greater Community

“Faculty members have the same rights and obligations as all citizens. They are as free as other citizens to express their views and to participate in the political processes of the community. When they act or speak in their personal and private capacities, they should avoid deliberately creating the impression that they represent the university.” (U.C. Academic Council Statement, 1971.) Faculty should strive to conduct themselves as a responsible, productive member of the community.

The following are examples of unacceptable behavior in violation of the aforementioned principles:

1. Intentional misrepresentation of personal views as a statement of position of the university or any of its agencies. (An institutional affiliation appended to a faculty member’s name in a public statement or appearance is permissible, if used solely for purposes of identification.)
2. Using the university’s name or logo to create the impression of university sanction for private activity.
3. Conviction for a criminal act which clearly demonstrates unfitness to continue as a member of the faculty.

## Appendix D: Faculty Ombudsperson

### D.1 Role

The faculty ombudsperson is an independent, confidential, impartial, and informal resource available to the faculty to facilitate cooperation and consensus through education and mediation. The ombudsperson is a designated neutral or impartial dispute resolution practitioner whose major function is to provide confidential and informal assistance to all faculty of the institution. Serving as a designated independent neutral, the ombudsperson is neither an advocate for any individual nor the organization, but rather, serves as an advocate for fairness who acts as a source of information and referral, aids in answering questions, and assists in the resolution of concerns and critical situations. More specifically, the ombudsperson engenders awareness and skill development in the areas of conflict resolution, communication, team building and civility. In a neutral and impartial role, the ombudsperson assists faculty complaints with the goal of promoting alternatives to adversarial processes. The ombudsperson maintains collaborative relationships with other university offices, but the ombudsperson does not replace the university's existing resources for conflict resolution. The ombudsperson may not disclose specific identifying confidential information without the consent of the faculty member communicating with the ombudsperson. The ombudsperson reports to the university president and serves a 2-year term with no limit on the number of terms.

### D.2 Responsibilities

- A. The ombudsperson's responsibilities include dispute resolution, consultation, and referral as follows:
  - Provide impartial and confidential consultation to members of the college/university faculty community who are aggrieved or concerned about an issue;
  - Remain independent, neutral, and impartial, and exercise good judgment;
  - Assist inquirers in interpreting college/university policies and procedures, seeking input from appropriate offices when needed;
  - Provide assistance to inquirers by clarifying issues and generating options for resolution;
  - Facilitate the inquirer's assessment of the pros and cons of possible options;
  - If direct action by the ombudsperson may be an appropriate option, obtain the inquirer's agreement and permission before proceeding;
  - If necessary, and while maintaining confidentiality, conduct appropriate informal fact finding in order to better understand an issue from all perspectives;
  - Consult with faculty to develop cooperative strategies for complaint resolution;
  - With the inquirer's permission, consult with all parties to clarify and analyze problems, focus discussions, and develop a mutually satisfactory process for resolution;

- When appropriate, facilitate group meetings, use shuttle diplomacy, or negotiation skills to facilitate communication among parties in conflict;
  - When legal and/or disciplinary issues arise, the ombudsperson refers the case to the appropriate unit of the university.
- B. The ombudsperson's responsibilities include policy analysis and feedback as follows:
- Serve as a campus resource for officials in formulating or modifying policy and procedures, raising issues that may surface as a result of a gap between the stated goals of the institution and actual practice;
  - Based on anonymous aggregate data, prepare an annual report to the Faculty Senate, the provost, and the university president, that discusses trends in the reporting of grievances and concerns, identifies patterns or problem areas in university/college policies and practices, and recommend revisions and improvements, where appropriate;
  - Act as a liaison between individuals or groups and the campus administrative structure, serving as a communicator or informal facilitator, as appropriate;
  - Function as a sensor within the campus community to identify problems or trends that affect the faculty;
  - Provide early warning of new areas of organizational concern, upward feedback, critical analysis of systemic need for improvement, and recommendations of systemic changes.
- C. The ombudsperson's responsibilities include community outreach and education as follows:
- The ombudsperson is responsible for on-going education and communication about the office's role to all potential inquirers as well as to university leadership

### D.3 Procedures for Selection

Nominations for ombudsperson will be solicited at least 90 days before the end of the current ombudsperson's term. The Faculty Ombudsperson has been chosen by a six-person selection committee composed of three members appointed by the Faculty Senate and three members appointed by the president. The selection committee's nominee is subject to the approval of the Faculty Senate and the president.

### D.4 Compensation

The faculty ombudsperson will receive release time for one 3 credit course each academic term and an annual stipend of \$7,500.

## Appendix E: Procedures for Post-tenure Review

### E.1 Objectives of Post-tenure Review

The Post-tenure Review policy and procedures provide a thorough, fair, and transparent process for:

- coordinating peer evaluation of a tenured faculty member's performance for the five years immediately preceding Post-tenure Review;
- facilitating cooperation between a tenured faculty member and administrators in identifying effective strategies to assist the faculty member in meeting the expectations for the relevant discipline and academic rank; and
- distinguishing those unusual situations in which (despite efforts to facilitate improvement) the faculty member's performance fails to satisfy expectations for the discipline and academic rank, and which may lead to disciplinary action, up to and including proceedings to consider termination of tenure.

### E.2 Initiation of Post-tenure Review by the Provost

As stated in Section 4.9.2., Post-tenure Review will be initiated by the provost when a faculty member has:

- received one overall annual performance rating of "Failure to Meet Responsibilities"; or
- received one annual performance rating of "Failure to Meet Responsibilities" in the subscore of "Faculty Teaching"; or
- received two overall annual performance ratings of "Improvement Needed" during any four consecutive Annual Performance Review cycles; or
- received two annual performance ratings of "Improvement Needed" during any four consecutive Annual Performance Review cycles in the subscore of "Faculty Teaching".

The provost must first review any annual performance review that resulted in triggering Post-tenure Review. If the provost overrules the performance rating given during the annual performance review and determines that Post-tenure Review is not warranted, then the Post-tenure Review process ends. If the provost determines that Post-tenure Review is warranted, then the provost shall meet with the faculty member no later than 21 days after the determination to explain the decision and review the procedures for the Post-tenure Review process. The provost must also provide written notice of this decision within 30 days to the faculty member with copies to the department chair, dean, president, and Faculty Senate President that Post-tenure Review will be initiated.

### E.3 Procedures for Post-tenure Review

- A. Appointment of the Peer Review Committee: Within 45 days of the written notice that Post-tenure Review will be initiated, the provost must appoint the peer review

committee in the manner described below and meet with the committee to review its charge.

Every member of the peer review committee must be tenured; hold the same or higher academic rank as the faculty member undergoing review; and have some familiarity with the relevant performance expectations for faculty in that discipline and academic rank. In the unusual event that an appropriate peer review committee cannot be assembled using these criteria, the provost must provide to the faculty member a written explanation for the deviation from the prescribed criteria.

Consistent with the criteria for service stated above, the provost must appoint the peer review committee of five (5) faculty using the following nomination process:

- the dean nominates one faculty member to serve both as chair and as a voting member of the peer review committee; when a faculty member has a split appointment across academic units, the dean of the academic unit in which the faculty member holds a majority appointment (that is, the faculty member's tenure unit) will provide the nomination;
- the department chair nominates two faculty members from the department who meet the criteria above, from whom one committee member is appointed; If the department does not have faculty who meet the criteria for service as stated above, the department chair may nominate two faculty external to the department who meet the criteria. For academic units without departments, the dean will nominate two additional faculty members from the academic unit who meet the criteria for service as stated above. If the academic unit does not have faculty who meet the criteria for service as stated above, the dean may nominate two faculty external to the academic unit who meet the criteria;
- the faculty member undergoing review nominates two faculty members who meet the criteria above, from whom one committee member is appointed;
- the Faculty Senate president nominates two faculty members who meet the criteria above, from whom one committee member is appointed; and
- the academic unit tenure and promotion committee nominates two actively serving members who meet the criteria above, from whom one committee member is appointed. If the academic unit tenure and promotion committee does not have faculty who meet the criteria for service as stated above, the academic tenure and promotion committee may nominate two faculty external to the committee who meet the criteria.

B. Collection of Records: The provost is responsible for collecting the following records with respect to the faculty member under review:

- all annual performance reviews for the past five annual performance review cycles, including materials submitted by the faculty member (or an administrator) or developed as part of the evaluation process;

- written performance expectations, which may have been established in the past five annual performance reviews, in department or academic unit guidelines, in the Faculty Handbook, and/or in Board of Trustees policies.

The faculty member undergoing review may submit additional written materials relevant to the review period for the committee's consideration. Such materials must be submitted to the provost for distribution to the committee. The peer review committee may also request that the provost collect and provide additional written materials. Reasonable requests for relevant records will be honored when permitted by law and university policy.

C. Review and Recommendations by the Peer Review Committee: The peer review committee is charged to review the available performance information and to conclude, based on that information, whether performance during the review period has satisfied the expectations for the faculty member's discipline and academic rank. This review and a written report of the committee's conclusions and recommendations should be completed within 75 days from the provost's charge to the peer review committee.

- Interviews – The peer review committee may conduct a reasonable number of interviews in person or electronically. If the committee chooses to conduct interviews, both the faculty member undergoing review and the administrator who assigned the negative rating(s) must be given the opportunity to be interviewed. All interviews must be conducted separately. Unavailability of the faculty member or administrator for an interview does not constitute grounds for an extension of time to complete the Post-tenure Review.
- Voting – Voting must be conducted by anonymous ballots. No member of the committee may abstain or recuse himself or herself from voting. All conclusions and recommendations are adopted upon the vote of a simple majority, except a recommendation that the provost initiate tenure termination proceedings, which requires the support of at least three members of the peer review committee.

D. Conclusions Regarding Performance and Recommended Action(s): All conclusions and recommendations of the peer review committee must be made in writing, with copies to the faculty member, department chair, dean, and provost. Minority reports may be attached. While the committee is not permitted to share written materials directly with the Faculty Senate, the faculty member under review remains free to do so.

Based on the judgment of its members, the peer review committee must conclude either:

1. that the performance satisfies the expectations for the faculty member's discipline and academic rank; or



2. that the performance does not satisfy the expectations for the faculty member's discipline and academic rank. In such a case, the committee must recommend either:
  - a. that a post-tenure improvement plan be developed and implemented; or
  - b. by a vote of at least three (3) committee members, that the provost should initiate proceedings to consider termination of tenure based on Adequate Cause for Unsatisfactory Performance as defined in Section 4.10.2A.
- E. Review and Response to the Peer Review Committee's Report: The faculty member must submit a written response to the committee's report to the provost within 14 days of receiving the report.
- F. Review and Action by the Provost: The provost will make an independent evaluation of the faculty member's performance and must provide to the faculty member, department chair, dean, president, and members of the peer review committee a written explanation of the rationale for any conclusions, decisions, or further actions to be taken. If the provost concludes that the performance under review has satisfied the expectations for the faculty member's discipline and academic rank, the Post-tenure Review process is concluded. In doing so, the provost may overrule previous performance ratings and may adjust the faculty member's salary to reflect any across-the-board raises. If the provost concludes that the performance under review does not satisfy the expectations for the faculty member's discipline and academic rank, the provost may take the following further actions:
  1. require that a post-tenure improvement plan be implemented for a period of up to 18 months, as further described in Section E.4; and/or
  2. impose disciplinary sanctions other than Termination for Adequate Cause in accordance with Section 4.11 or consider tenure termination based on Adequate Cause for Unsatisfactory Performance as defined in Section 4.10.2A.

#### E.4 Procedures for Post-tenure Review Improvement Plan

- A. Notification: If the provost concludes that a post-tenure improvement plan should be developed, the provost must promptly notify in writing the faculty member under review that a post-tenure improvement plan must be implemented with copies sent to the department chair, dean, president, and peer review committee. Only one improvement plan may be offered to a faculty member during a given Post-tenure Review process; however, the Post-tenure Review process may be implemented more than once during a faculty member's career. A Post-tenure Review improvement plan may extend no more than 18 months from the time it is implemented by the provost.
- B. Development of the Post-tenure Review Improvement Plan: The department chair is responsible for drafting the post-tenure improvement plan in close collaboration with the peer review committee, dean, and provost. In drafting the improvement plan, the department chair should attempt to address any written concerns raised

by the faculty member during the relevant annual review cycles. Within 30 days of notice that an improvement plan must be developed, the department chair is expected to produce a plan approved by the dean, provost, and at least three (3) members of the peer review committee. Once such an improvement plan is developed, the provost shall forward the proposed plan to the faculty member. If the department chair fails to produce within 30 days an improvement plan approved by the provost, dean, and at least three (3) members of the peer review committee, then the peer review committee must assume responsibility for drafting an improvement plan. In such a case, the committee must complete the plan within 14 additional days. Upon approval by at least three (3) members of the peer review committee, the proposed plan must be provided to the dean and provost for review and approval. In either case, the provost must ensure that an improvement plan is approved by the dean, and at least (3) members of the peer review committee. The provost will send the approved improvement plan to the faculty member for review and response. The faculty member under review must be given an opportunity to review and respond to the proposed improvement plan within 14 days. The peer review committee must review and consider the faculty member's response, including any modifications requested by the faculty member within another 14 days. At its discretion, the peer review committee may revise the proposed plan after considering the faculty member's response. The committee must then forward the proposed improvement plan to the provost for review and approval. The approved improvement plan will be sent to the department chair, dean, and faculty member for implementation.

- C. Committee Review after Post-tenure Review: At the end of the time allotted for the Post-tenure Review improvement plan, the peer review committee must reconvene to review performance under the plan, and to determine whether such performance during the review period has satisfied expectations for the faculty member's discipline and academic rank. The peer review committee must vote anonymously and provide a written report of its conclusions and recommendations, including majority and minority reports (if applicable), to the faculty member, department chair, and dean, and provost. The faculty member may submit a written response to the peer review committee's report to the provost within 14 days of receiving the report.
- D. Review and Action by the Provost: The provost will make an independent evaluation of the performance under the improvement plan during the review period. The provost will provide a written explanation of the rationale for any conclusions, decisions, or further actions to be taken to the faculty member with copies sent to the department chair, dean, president, and members of the peer review committee. If the provost concludes that the performance under review has satisfied the expectations for the faculty member's discipline and academic rank, the Post-tenure Review process is concluded. In doing so, the provost may overrule previous

performance ratings and may adjust the faculty member's salary to reflect any across-the-board raises. If the provost concludes that the performance under review does not satisfy the expectations for the faculty member's discipline and academic rank, the provost shall impose disciplinary actions, in accordance with Section 4.11, or consider tenure termination based on Adequate Cause for Unsatisfactory Performance as defined in Section 4.10.2A.

#### E.5 Timeline for Conducting Post-tenure Review

All post-tenure deadlines are counted in calendar days rather than business days, except when the last day of the time period falls during a holiday or administrative closure lasting five business days or longer (such as the administrative closure between fall and spring semesters or an extended weather-related closure).

On a case-by-case basis, the provost may approve a written request from the peer review committee for an extension of time to complete the initial review. Only one extension may be granted to the peer review committee during a single Post-tenure Review period, and the provost will determine the length of the extension.

**Concurrent Appeals** – While a general appeal of an annual performance review or other procedure may overlap in time with the five-year review period, Post-tenure Review is purposefully different from the annual performance review process. To the extent provided under this handbook, the faculty member may choose to initiate or maintain an appeal of the most recent annual performance review while Post-tenure Review is underway. Any appeal or other process must be conducted without interference or influence from the Post-tenure Review, and vice versa. Faculty leaders should take care to ensure the integrity of all procedures by confirming that no person serves in multiple proceedings related to the same faculty member. Except as may be required by law any such appeal or other university process must proceed simultaneously with the Post-tenure Review and must have no impact on the timing or procedures described in this policy.

The following table summarizes key events in the post-tenure process that have deadlines.

Event Begins	Days	Event Ends
Written notice from the provost that Post-tenure Review is warranted	45	Provost charges peer review committee
Provost charges peer review committee	75	Committee report is distributed for review by the faculty member
Committee report is distributed for review by the faculty member	14	Faculty member submits written responses to the provost
Provost reviews response to the report and makes an independent evaluation	14	Provost submits his or her decision to the department chair, dean, faculty member, and president.

If the provost requires implementation of a Post-tenure Review improvement plan, the provost provides written notice to all parties	30	Department chair submits to the provost a proposed improvement plan approved by the dean and at least 3 members of the peer review committee
If the department chair fails to produce an improvement plan approved by the dean, provost, and at least 3 members of the peer review committee, then the peer review committee assumes responsibility for drafting a plan	14	Peer review committee submits the proposed improvement plan to the dean and provost for review and approval
Upon approval by the provost, the proposed improvement plan is sent to the faculty member for review	14	Faculty member submits to the peer review committee any written response (including any requested modifications to the improvement plan)
Peer review committee considers the faculty member's response and may revise the proposed improvement plan	14	Peer review committee submits the proposed improvement plan to the provost for review and approval
Provost reviews the proposed plan, responds to the committee as needed, and approves a final improvement plan	14	Provost sends the approved plan to the faculty member and others for implementation

## Appendix F: Faculty Appeals Committee

The function of the Faculty Appeals Committee is to gather evidence and make recommendations for the disposition of cases within its jurisdiction. The Faculty Appeals Committee does not replace the role of other faculty and administrators in making employment-related decisions. Instead, it is guided by the aim of maximizing the protection of the principles of academic freedom, due process, and fairness. All matters before the Faculty Appeals Committee are kept in strict confidence and subject to state open records laws and other legal requirements. The appeals procedures through the Faculty Appeals Committee are formal but not judicial processes.

### F.1 Composition

The Faculty Appeals Committee is comprised of nineteen (19) full-time, tenured faculty members appointed to staggered three-year terms. Faculty cannot serve on the Faculty Appeals Committee if they hold an administrative appointment which exceeds 50%. At least ten (10) of the members must hold the rank of professor. Ten (10) of the members will be appointed by the Faculty Senate and nine (9) will be appointed by the president. The president will select the chair of the Faculty Appeals Committee from amongst the ten members appointed by the Faculty Senate. The chair must hold the rank of professor. The composition of the committee should reflect diversity in terms of race, gender, and academic unit. Membership is for three years with staggered terms to ensure conformity and continuity in the committee function.

### F.1 Procedures for General Appeals Hearings

The Faculty Appeals Committee will use the following procedures when hearing a general appeal in accordance with Appendix B.1.

- A. **Hearing Schedule:** The chair of Faculty Appeals Committee will contact the Faculty Senate Office to make all arrangements for the hearing. The hearing shall be scheduled no later than 30 days after receiving the request for the appeal from the faculty member. The chair of the Faculty Appeals Committee is responsible for ensuring that the points of the appeal are clearly defined in writing, and that both parties, the faculty member (“appellant”), the provost or a representative appointed by the provost (“appellee”), and the Faculty Appeals Committee fully understand the matter(s) to be resolved. In case the two parties cannot agree on the matter(s) to be resolved, the chair of the Faculty Appeals Committee will determine the matter(s) to be resolved.
- B. **Hearing Panel Composition:** The chair of the Faculty Appeals Committee appoints a panel of four (4) members of the committee to hear the appeal. Two (2) members must be selected from the president’s list, and two (2) members must be selected from the Faculty Senate’s list. The chair designates one of the four members to lead the panel hearing. The panel lead must hold the rank of full professor. The chair of

- the Faculty Appeals Committee may appoint himself or herself as one of the four members of the hearing panel and/or may serve as the panel lead. It is the responsibility of the panel lead to moderate the hearing and maintain order. The panel lead has the right to stop the hearing at any time if he or she determines that order cannot be maintained. If a hearing is stopped by the panel lead, the hearing panel will proceed to deliberate in executive session and shall decide to either a) reschedule the hearing for a later date or b) vote and make a final recommendation based on the information presented up to the point that the hearing was stopped.
- C. **Discovery:** Documentary evidence pertinent to the general appeal may be submitted by the appellant and the appellee. Character evidence, either documentary or by witnesses, may not be presented. All submitted evidence is available to both parties. Documentary evidence should be submitted to the panel lead at least 72 hours before the formal hearing begins. The panel lead will distribute all such materials to both parties at least 48 hours before the formal hearing begins. Submission of such materials after that deadline requires the approval of the panel lead. The panel lead may request such materials from either party. Persons knowledgeable about the point(s) at issue may be called by either party, or by the panel lead. Each party will have the opportunity to question any person who appears before the panel. A list of witnesses should be submitted to the panel lead at least 5 days before the formal hearing begins. The panel lead may consult with the appellant or the appellee on their respective witness list and may reject a witness from either list if the panel lead believes the witness will not provide substantial and relevant information. The panel lead will inform each party of all persons to be called and will schedule the appearance of such persons.
  - D. **Advisors:** Each party may make use of an advisor at the hearing. The advisor must be a member of the faculty, non-legal staff, or administration. Advisors may not address the hearing panel or witnesses during the hearing.
  - E. **Confidentiality:** The hearing is confidential. Attendance at the hearing will be limited to the hearing panel, the faculty member and an advisor, and the administration's representative and an advisor. Each of the above persons is permitted to be present for the entire hearing. Witnesses must wait outside the hearing room until called and must leave upon completion of their testimony. The hearing is recorded, and the hearing panel and both parties will have access to the recordings. After the panel makes its recommendation(s), the recordings will be destroyed.
  - F. **Hearing Order:** The order of presentation in the hearing will be:
    1. The appellant will make her or his opening statement citing the points upon which the appeal is based and how she or he intends to prove the case. The opening statement should only be an overview of the appeal and shall be limited to ten minutes.
    2. The appellee will make an opening statement to the panel to explain the process for reaching her or his decision and shall be limited to ten minutes.

3. The hearing panel will call for the appellant as a witness and appellant will state the details of her or his case, specifying each point upon which he or she has a complaint and substantiating each one in turn with proof. The appellant can only present the documentary evidence submitted during discovery as proof.
4. Once the appellant has concluded with their statement of the details of his or her case, the appellee may cross-examine the appellant.
5. Once the appellee has concluded his or her cross-examination of the appellant, the hearing panelists may question the appellant.
6. The hearing panel will call for the appellee as a witness and appellee will state the details of her or his case, rebutting each point made by the appellant. The appellee can only present the documentary evidence submitted during discovery to support their rebuttal.
7. Once the appellee has concluded with their statement of the details of his or her case, the appellant may cross-examine the appellee.
8. Once the appellant has concluded his or her cross-examination of the appellee, the hearing panelists may question the appellee.
9. The appellant calls her or his witnesses in the order he or she deems best and will question each witness first. Each witness for the appellant will be informed by the panel lead that they may respond to questions as they see fit. A witness has the right to refuse to answer, to ask for clarification, to answer portions of compound questions and to omit portions. Witness testimony should not be repetitive and should focus on providing information regarding the points for appeal sought by the appellant.
10. Once the appellant has concluded with their questions for a witness, the appellee may cross-examine the appellant's witness.
11. Once the appellee has concluded his or her cross-examination of the witness, the hearing panelists may question the appellant's witness.
12. Once all the appellant's witnesses have been called and questioned by the appellant, cross-examined by the appellee, and questioned by the hearing panel, the appellee may call his or her witnesses in the order he or she deems best. Each witness for the appellee will be informed by the panel lead that they may respond to questions as they see fit. A witness has the right to refuse to answer, to ask for clarification, to answer portions of compound questions and to omit portions. Witness testimony should not be repetitive and should focus on providing information regarding the points for rebuttal presented by the appellee.
13. Once the appellee has concluded with their questions for a witness, the appellant may cross-examine the appellee's witness.
14. Once the appellant has concluded his or her cross-examination of the witness, the hearing panelists may question the appellee's witness.

15. Once all the appellee's witnesses have been called and questioned by the appellee, cross-examined by the appellant, and questioned by the hearing panel, the hearing panel will have the final opportunity to ask questions of the appellant, the appellee, and may recall a witness for further questioning.
  16. The appellant will make a closing statement which shall be limited to ten minutes.
  17. The appellee will make a closing statement which shall be limited to ten minutes.
  18. All participants in the hearing are dismissed, and the panel will meet in executive session to reach its conclusions. The panel may move to immediate executive session or postpone to another time.
- G. Review and Vote of the Hearing Panel: During an executive session, the hearing panel will review the case and will take vote on whether to recommend upholding, dismissing, or modifying the administrative recommendation, sanction, decision, or employment action. If the decision of the hearing panel is not unanimous, each panelist may submit an individual report with the rationale for her or his differing opinion. Within 15 days of the end of the hearing, the panel lead will prepare a written report summarizing the panel's findings and recommendation(s) to the chair of the Faculty Appeals Committee.
  - H. Review by the Chair of the Faculty Appeals Committee: The chair of the Faculty Appeals Committee will review the findings and recommendation(s) of the hearing panel to ensure the language in the summary is consistent with similar reports issued by the Faculty Appeals Committee, follows university policy, and follows applicable law. During his or her review, the chair may consult with the Office of Legal Counsel, Human Resources, and/or the members of the hearing panel. The chair will make every effort resolve any concerns that he or she has regarding the written summary with hearing panel. If the chair's is unable to resolve his or her concerns with the hearing panel, the chair may prepare a separate written report documenting his or her concerns.
  - I. Dissemination: The chair of the Faculty Appeals Committee will share the written recommendations of the hearing panel, the vote of the hearing panel, and the report of the chair, if applicable, with the faculty member, the administrator(s) involved in the appeal, the provost, and the president.

## F.2 Procedures for Tenure and Promotion Appeals Hearings

The Faculty Appeals Committee will use the following procedures when hearing tenure and promotion appeals in accordance with Appendix B.2.

- A. Hearing Schedule: The chair of Faculty Appeals Committee will contact the Faculty Senate Office to make all arrangements for the hearing. The hearing shall be scheduled no later than 30 days after receiving the request for the appeal from the



faculty member. The chair of the Faculty Appeals Committee is responsible for ensuring that the grounds of the appeal are clearly defined in writing, and that both parties, the faculty member ("appellant"), the provost or a representative appointed by the provost ("appellee"), and the Faculty Appeals Committee fully understand the matter(s) to be resolved. The Faculty Appeals Committee will consider only the issues on the grounds described in Appendix B.2

- B. Hearing Panel Composition: The chair of the Faculty Appeals Committee appoints a panel of six (6) members of the committee to hear the tenure and promotion appeal. Three (3) members must be selected from the president's list, and three (3) members must be selected from the Faculty Senate's list. The chair designates one of the six members to lead the panel hearing. The panel lead must hold the rank of full professor. The chair of the Faculty Appeals Committee may appoint himself or herself as one of the six members of the hearing panel and/or may serve as the panel lead. It is the responsibility of the panel lead to moderate the hearing and maintain order. The panel lead has the right to stop the hearing at any time if he or she determines that order cannot be maintained. If a hearing is stopped by the panel lead, the hearing panel will proceed to deliberate in executive session and shall decide to either a) reschedule the hearing for a later date or b) vote and make a final recommendation based on the information presented up to point that the hearing was stopped.
- C. Discovery: Documentary evidence pertinent to the tenure and promotion appeal may be submitted by the appellant and the appellee. If the ground for appeal is substantive procedural errors, as described in Appendix B.2A, the appellant shall provide a copy of the criteria and/or guidelines to the hearing panel. Character evidence, either documentary or by witnesses, may not be presented. All submitted evidence will be available to both parties. Documentary evidence should be submitted to the panel lead at least 72 hours before the formal hearing begins. The panel lead will distribute all such materials to both parties at least 48 hours before the formal hearing begins. Submission of such materials after that deadline requires the approval of the panel lead. The panel lead may request such materials from either party. Persons knowledgeable about the case may be called by either party, or by the panel lead. It can be difficult for a hearing panel to properly assess the quality of the appellant's teaching and/or research in her or his discipline. Therefore, if the appellant intends to use the improper evaluation of teaching and/or research as a basis for appeal, it is recommended that he or she identify members of her or his field as expert witnesses to speak to the quality of the appellant's accomplishments. Each party may question any person who appears before the panel. A list of witnesses should be submitted to the panel lead at least 5 days before the formal hearing begins. The panel lead may consult with the appellant or the appellee on their respective witness list and may reject a witness from either list if she or he believes the witness will not provide substantial and relevant information. The panel

lead will inform each party of all persons to be called and will schedule the appearance of such persons.

- D. **Advisors:** Each party may make use of one advisor at the hearing. The appellant has the right to enlist a Faculty Appeals Advocate, as described in Appendix B.2, as his or her advisor. Advisors must be a member of the faculty, non-legal staff, or administration. Advisors may not address the hearing panel or witnesses during the hearing.
- E. **Confidentiality:** The hearing is confidential. Attendance at the hearing will be limited to the hearing panel, the faculty member and an advisor, and the administration's representative and an advisor. Each of the above persons is permitted to be present for the entire hearing. Witnesses must wait outside the hearing room until called and must leave upon completion of their testimony. The hearing is recorded. The hearing panel and both parties will have access to the recordings. After the panel makes its recommendation(s), the recordings will be destroyed.
- F. **Hearing Order:** The order of presentation in the hearing will be:
  1. The appellant will make her or his opening statement citing the ground(s) upon which the appeal is based and how she or he intends to prove the case. The opening statement should only be an overview of the appeal and shall be limited to ten minutes.
  2. The appellee will make an opening statement to the panel to explain the process for reaching her or his decision on tenure and/or promotion and shall be limited to ten minutes.
  3. The hearing panel will call for the appellant as a witness and appellant will state the details of her or his case, specifying each ground for appeal and substantiating each one in turn with proof. The appellant can only present the documentary evidence submitted during discovery as proof.
  4. Once the appellant has concluded their statement of details of his or her case, the appellee may cross-examine the appellant.
  5. Once the appellee has concluded his or her cross-examination of the appellant, the hearing panelists may question the appellant.
  6. The hearing panel will call for the appellee as a witness and the appellee will state the details of her or his case, rebutting each ground for appeal made by the appellant. The appellee can only present the documentary evidence submitted during discovery to support their rebuttal.
  7. Once the appellee has concluded their statement of details of his or her case, the appellant may cross-examine the appellee.
  8. Once the appellant has concluded his or her cross-examination of the appellee, the hearing panelists may question the appellee.
  9. The appellant calls her or his witnesses in the order he or she deems best and will question each witness first. Each witness for the appellant will be informed by the panel lead that they may respond to questions as they see fit. A witness

has the right to refuse to answer, to ask for clarification, to answer portions of compound questions and to omit portions. Witness testimony should not be repetitive and should focus on providing information regarding the ground(s) for appeal.

10. Once the appellant has concluded their questions for a witness, the appellee may cross-examine the appellant's witness.

11. Once the appellee has concluded his or her cross-examination of the witness, the hearing panel may question the appellant's witness.

12. Once all the appellant's witnesses have been called and questioned by the appellant, cross-examined by the appellee, and questioned by the hearing panel, the appellee may call his or her witnesses in the order he or she deems best. Each witness for the appellee will be informed by the panel lead that they may respond to questions as they see fit. A witness has the right to refuse to answer, to ask for clarification, to answer portions of compound questions and to omit portions. Witness testimony should not be repetitive and should focus on providing information regarding the points for rebuttal presented by the appellee.

13. Once the appellee has concluded their questions for a witness, the appellant may cross-examine the appellee's witness.

14. Once the appellant has concluded his or her cross-examination of the witness, the hearing panel may question the appellee's witness.

15. Once all the appellee's witnesses have been called and questioned by the appellee, cross-examined by the appellant, and questioned by the hearing panel, the hearing panel will have the final opportunity to ask questions of the appellant, the appellee, and the hearing panel may recall a witness for further questioning.

16. The appellee will make a closing statement which shall be limited to ten minutes.

17. The appellant will make a closing statement which shall be limited to ten minutes.

18. All participants in the hearing are dismissed, and the panel will meet in executive session to reach its conclusions. The panel may move to immediate executive session or postpone to another time.

G. Review and Vote of the Hearing Panel: During an executive session, the hearing panel will review the case and will take an anonymous vote on whether to recommend one of the following: (1) that one or more of the grounds were found to be valid by the weight of the evidence, and the committee believes that this adversely affected the ultimate recommendation; (2) that one or more of the grounds were found to be valid by the weight of the evidence, but the committee believes that this did not adversely affect the ultimate recommendation; or 3) that no grounds were found to exist. If the decision of the hearing panel is not unanimous, each panelist may submit an individual report with the rationale for her

or his differing opinion. Within 15 days of the end of the hearing, the panel lead will prepare a written report summarizing the panel's findings and recommendation(s) to the chair of the Faculty Appeals Committee. The summary shall anonymously include any written reports submitted by a hearing panelist which presents a dissenting opinion.

- H. Review by the Chair of the Faculty Appeals Committee: The chair of the Faculty Appeals Committee will review the findings and recommendation(s) of the hearing panel to ensure the language in the summary is consistent with similar reports prepared by the Faculty Appeals Committee, complies with university policy, and complies with applicable law. During his or her review, the chair may consult with the Office of Legal Counsel, Human Resources, and/or the members of the hearing panel. The chair will make every effort to resolve any concerns that he or she has regarding the written summary with the hearing panel. If the chair is unable to resolve his or her concerns with the hearing panel, the chair may prepare a separate written report documenting his or her concerns.
- I. Dissemination: The chair of the Faculty Appeals Committee will share the written recommendations of the hearing panel, the vote of the hearing panel, and the report of the chair, if applicable, with the faculty member, department chair, dean, provost, and president.

### F.3 Procedures for Hearings on Termination or Suspension without Pay for Adequate Cause for Unsatisfactory Performance

In accordance with Section 4.10.2A(7)(a), the Faculty Appeals Committee shall use the following procedures when hearing cases involving:

- Termination or Suspension without Pay of Tenured Faculty for Adequate Cause for Unsatisfactory Performance
- Termination or Suspension without Pay of Tenure Track Faculty for Adequate Cause for Unsatisfactory Performance Prior to the Expiration of Appointment and/or without Minimum Notice

- A. Hearing Schedule: The chair of Faculty Appeals Committee will contact the Faculty Senate Office to make all arrangements for the hearing. The hearing shall be scheduled no later than 30 days after receiving the request from the provost to conduct a hearing. The chair of the Faculty Appeals Committee is responsible for ensuring that both parties, the faculty member ("defendant"), a representative appointed by the provost ("plaintiff"), and the Faculty Appeals Committee fully understand that a hearing panel will be convened to make a recommendation on whether Adequate Cause exists for termination or suspension without pay.

- B. **Hearing Panel Composition:** The chair of the Faculty Appeals Committee appoints a panel of six (6) members of the committee to hear the case. Three (3) members must be selected from the president's list, and three (3) members must be selected from the Faculty Senate's list. The chair designates one of the six members to lead the panel hearing. The panel lead must hold the rank of full professor. It is the responsibility of the panel lead to moderate the hearing and maintain order. The panel lead has the right to stop the hearing at any time if he or she determines that order cannot be maintained. If a hearing is stopped by the panel lead, the hearing panel will proceed to deliberate in executive session and shall decide to either a) reschedule the hearing for a later date or b) vote and make a final recommendation based on the information presented up to point that the hearing was stopped.
- C. **Discovery:** Documentary evidence pertinent to the case may be submitted by the plaintiff and the defendant. Character evidence, either documentary or by witnesses, may not be presented. All submitted evidence will be available to both parties. Documentary evidence should be in hands of the panel lead at least 72 hours before the formal hearing begins. The panel lead will distribute all such materials to both parties at least 48 hours before the formal hearing begins. Submission of such materials after that deadline requires the approval of the panel lead. The panel lead may request such materials from either party. Persons knowledgeable about the case may be called by either party, or by the panel. Each party may question any person who appears before the panel. A list of witnesses should be submitted to the panel lead at least 5 days before the formal hearing begins. The panel lead may consult with appellant or the appellee on their respective witness list and may reject a witness from either list if she or he believes the witness will not provide substantial and relevant information. The panel lead will inform each party of all persons to be called and will schedule the appearance of such persons.
- D. **Advisors:** Each party may make use of one advisor at the hearing. Advisors must be a member of the faculty, non-legal staff, or administration. Advisors may not address the hearing panel or witnesses during the hearing.
- E. **Confidentiality:** The hearing is confidential. Attendance at the hearing will be limited to the hearing panel, the faculty member and an advisor, and the administration's representative and an advisor. Each of the above persons is permitted to be present for the entire hearing. Witnesses must wait outside the hearing room until called and must leave upon completion of their testimony. The hearing is recorded. The hearing panel and both parties will have access to the recordings. After the panel makes its recommendation(s), the recordings will be destroyed.
- F. **Hearing Order:** The order of presentation in the hearing will be:
  - 1. The plaintiff will make her or his opening statement, citing how she or he intends to prove that Adequate Cause exists. The opening statement should only be an overview of the case and shall be limited to ten (10) minutes.

2. The defendant will make an opening statement to the panel to explain how he or she intends to prove that Adequate Cause does not exist and shall be limited to ten (10) minutes.
3. The hearing panel will call for the plaintiff as a witness and the plaintiff will state details of her or his case that Adequate Cause exists, substantiated with proof. The plaintiff can only present the documentary evidence submitted during discovery as proof.
4. Once the plaintiff has concluded their statement of details of his or her case, the defendant may cross-examine the plaintiff.
5. Once the defendant has concluded his or her cross-examination of the plaintiff, the hearing panel may question the plaintiff.
6. The hearing panel will call for the defendant as a witness and the defendant will state the details of her or his case, rebutting each point made by the plaintiff. The defendant can only present the documentary evidence submitted during discovery to support their rebuttal.
7. Once the defendant has concluded their statement of details of his or her case, the plaintiff may cross-examine the defendant.
8. Once the plaintiff has concluded his or her cross-examination of the defendant, the hearing panel may question the defendant.
9. The plaintiff calls her or his witnesses in the order he or she deems best and will question each witness first. Each witness for the plaintiff will be informed by the panel lead that they may respond to questions as they see fit. A witness has the right to refuse to answer, to ask for clarification, to answer portions of compound questions and to omit portions. Witness testimony should not be repetitive and should focus on providing information regarding the case sought by the plaintiff.
10. Once the plaintiff has concluded her or his questions for a witness, the defendant may cross-examine the plaintiff's witness.
11. Once the defendant has concluded his or her cross-examination of the witness, the hearing panel may question the plaintiff's witness.
12. Once all the plaintiff's witnesses have been called and questioned by the plaintiff, cross-examined by the defendant, and questioned by the hearing panel, the defendant may call his or her witnesses in the order he or she deems best. Each witness for the defendant will be informed by the panel lead that they may respond to questions as they see fit. A witness has the right to refuse to answer, to ask for clarification, to answer portions of compound questions and to omit portions. Witness testimony should not be repetitive and should focus on providing information regarding the points for rebuttal presented by the defendant.
13. Once the defendant has concluded their questions for a witness, the plaintiff may cross-examine the defendant's witness.

14. Once the plaintiff has concluded his or her cross-examination of the witness, the hearing panel may question the defendant's witness.
  15. Once all the defendant's witnesses have been called and questioned by the defendant, cross-examined by the plaintiff, and questioned by the hearing panel, the hearing panel will have the final opportunity to ask questions of the plaintiff, the defendant, and the panel may recall a witness for further questioning.
  16. The plaintiff will make a closing statement which shall be limited to ten (10) minutes.
  17. The defendant will make a closing statement which shall be limited to ten (10) minutes.
  18. All participants in the hearing are dismissed, and the panel will meet in executive session to reach its conclusions. The panel may move to immediate executive session or postpone to another time.
- G. Review and Vote of the Hearing Panel: During an executive session, the hearing panel will review the case and will take an anonymous vote on whether to recommend that (1) Adequate Cause exists for termination or suspension without pay for unsatisfactory performance or (2) Adequate Cause does not exist for termination or suspension without pay for unsatisfactory performance. If the recommendation of the hearing panel is not unanimous, each panelist may submit an individual report with the rationale for her or his dissenting opinion. Within 15 days of the end of the hearing, the panel lead will submit a written report summarizing the panel's findings and recommendation(s) to the chair of the Faculty Appeals Committee. The summary shall anonymously include any written reports submitted by a hearing panelist which presents a dissenting opinion.
- H. Review by the Chair of the Faculty Appeals Committee: The chair of the Faculty Appeals Committee will review the findings and recommendation(s) of the hearing panel to ensure the language in the summary is consistent with similar reports prepared by the Faculty Appeals Committee, complies with university policy, and complies with applicable law. During his or her review, the chair may consult with the Office of Legal Counsel, Human Resources, and/or the members of the hearing panel. The chair will make every effort to resolve any concerns that he or she has regarding the written summary with hearing panel. If the chair is unable to resolve his or her concerns with the hearing panel, the chair may prepare a separate written report documenting his or her concerns.
- I. Dissemination: The chair of the Faculty Appeals Committee will provide the written recommendations of the hearing panel, the vote of the hearing panel, and the report of the chair, if applicable, to the faculty member and the provost.

## **Appendix G: Pre-Termination Hearing Before Tribunal and Decision by the President**

If the faculty member makes a timely election to contest the charge(s) through a hearing by a university tribunal as described in Sections 4.10.2A(9) or 4.10.2B(7), the faculty member must confirm in writing the decision to waive the right to a hearing under the Uniform Administrative Procedures Act, and the president shall ask the Faculty Senate, or a designated committee of the Faculty Senate, to appoint a tribunal within 15 calendar days and shall notify the faculty member in writing of this action. The matter shall then proceed in accordance with the tribunal procedures described below with the faculty member's termination stayed pending the conclusion of those procedures.

- A. **Composition of the Tribunal:** The university tribunal shall consist of five members who are appointed by the Senate and five members appointed by the president. Faculty members of the tribunal must hold tenure, must be full-time, and may hold administrative appointments. The Faculty Senate will provide a list of 12 eligible faculty members that represent the breadth of the university faculty to the president. The president will select five faculty from the list provided by the Faculty Senate to serve on the tribunal and one amongst the five to serve as the tribunal chairperson. The president will provide a list of 12 eligible faculty members that represent the breadth of the university faculty to the Faculty Senate. The Faculty Senate will select five faculty from the list provided by the president. The faculty member under review may reject up to a maximum of two appointments from the 10 tribunal members selected. If a tribunal member is rejected by the faculty under review, the Faculty Senate will select a replacement from the president's list if the rejected member was from the president's list or the president will select a replacement from the Faculty Senate's list if the rejected member was from the Faculty Senate's list.
- B. **Notice of hearing:** The president shall give the faculty member written notice of the hearing date at least 30 calendar days in advance. The president shall issue a scheduling order to ensure that the tribunal's written findings, reasoning, and conclusions are submitted to the president within 120 calendar days from the date the faculty member has been provided with written notice of termination described in Sections 4.10.2A(7)(c) and Sections 4.10.2B(5)(c) of this handbook. A scheduling order shall not be modified except by leave of the president upon a showing of good cause.
- C. **Representation:** If the university intends to be represented by legal counsel, the written notice of the hearing date shall so advise the faculty member. The written notice shall also state the faculty member's right to be represented by legal counsel or other representative of his or her choice. If the faculty member intends to be represented by legal counsel, he or she must notify the tribunal chairperson within 10 days of receipt of the written notice of the hearing date. If the faculty member fails to give timely notice of legal representation, the hearing date shall be postponed at the university's request.



- D. Waiver of hearing: If, at any time prior to the hearing date, the faculty member decides to waive his or her right to a hearing and respond to the charge(s) only in writing, the tribunal shall proceed to evaluate all available evidence and rest its recommendation upon the evidence in the record.
- E. Pre-hearing preparation: The faculty member and the university shall have a reasonable opportunity prior to the hearing to obtain witnesses, specific documents, or other specific evidence reasonably related to the charge(s).
- F. Evidence: The tribunal is not bound by legal rules of evidence and may admit any evidence of probative value in determining the issues. The tribunal shall make every reasonable effort, however, to base its recommendation on the most reliable evidence. For all cases involving unsatisfactory performance, the evidence shall include the testimony of qualified faculty members from this and/or other comparable institutions of higher education who are able to evaluate the performance of a faculty member in his or her discipline.
- G. Confrontation and cross-examination of witnesses: The faculty member and the university shall have the right to confront and cross-examine all witnesses. If a witness cannot or will not appear, but the tribunal determines that his or her testimony is necessary to a fair adjudication of the charge(s), the tribunal may admit as evidence the sworn affidavit of the witness. In that event, the tribunal shall disclose the affidavit to both parties and allow both parties to submit written interrogatories to the witness.
- H. Adjournments: The tribunal shall grant adjournments to allow either party to investigate evidence to which a valid claim of surprise is made. The tribunal may grant one such adjournment for a period of no more than five calendar days. If the tribunal wishes to grant an adjournment for more than five calendar days, or wishes to grant more than one adjournment, the tribunal shall notify the president of the proposed adjournment, provide an explanation of the need for the adjournment, and provide a recommendation regarding the length of the adjournment. If the president concurs in the tribunal's recommendation that an adjournment be granted, the president shall give the faculty member written notice of the date on which the hearing will resume.
- I. Burden of proof: The burden of proof that adequate cause exists rests with the university and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- J. Findings and conclusions. The tribunal shall make written findings and conclusions and shall provide a copy to the faculty member at the time of submission to the president. If the tribunal concludes Adequate Cause for termination has not been established, it shall so report to the president, with supporting reasons. In the case of a split decision, a minority report should be included. If the tribunal concludes Adequate Cause for termination has been established but that a sanction other than termination should be imposed, it shall so recommend to the president, with supporting reasons. In the case of a split decision, a minority report should be included. If the tribunal concludes Adequate Cause for termination has been established and that termination is the appropriate

sanction, it shall so report to the president, with supporting reasons. In the case of a split decision, a minority report should be included.

- K. Transcript of the hearing: A verbatim record of the hearing shall be made, and a transcript shall be provided to the faculty member and the president at the time of the tribunal's submission of the findings, reasoning, and conclusions.
- L. Decision by the President: Upon receipt of the tribunal's findings, reasoning, and conclusions, the president shall provide an opportunity for written argument by the parties and may provide the parties an opportunity to present oral argument. After considering the tribunal's findings, reasoning, and conclusions and any arguments of the parties, the president will determine whether Adequate Cause has been established and whether termination is the appropriate sanction. If the president concludes that Adequate Cause has not been established, the president shall provide the faculty member with written notice of the conclusion (with a copy to the tribunal, provost, dean, and department chair), and shall include in the notice any further actions in accordance with this handbook or university policy. If the president concludes that Adequate Cause has been established but that a sanction other than termination should be imposed, including without limitation suspension without pay, the president may impose the lesser sanction by written notice to the faculty member (with a copy to the tribunal, provost, dean, and department chair). The notice shall include the date on which the sanction will become effective. The decision of the president is final and is not appealable. If the president concludes that Adequate Cause has been established and that termination is the appropriate sanction, the president shall provide the faculty member with a written notice of termination stating the grounds for termination (with a copy to the tribunal, provost, dean, and department chair). The notice of termination may include or adopt the written findings and conclusions of the tribunal if applicable to the president's decision. The notice shall include the date on which termination will become effective. The decision of the president shall be final and is not appealable.

## **Appendix H: Post-Termination Hearing Under the Tennessee Uniform Administrative Procedures Act (UAPA)**

Post-Termination Hearing and Decision under the Uniform Administrative Procedures Act: If the faculty member makes a timely election to contest the charge(s) under the Uniform Administrative Procedures Act (UAPA) in lieu of a Pre-Termination Hearing Before Tribunal under Sections 4.10.2A(9) or 4.10.2B(7), the president shall appoint an administrative judge, the faculty member's employment will be terminated on the date specified in the notice provided under Sections 4.10.2A(7)(c) and 4.10.2B(5)(c) of this handbook, and the matter shall proceed post-termination in accordance with the contested case procedures promulgated by the university under the UAPA. The UAPA contested case procedures are published in the Compiled Rules and Regulations of the State of Tennessee, Tenn. Comp. R. & Regs. § 1720-1-5.

- A. Initial Order: In accordance with the UAPA contested case procedures, upon completion of the hearing, the administrative judge shall render an initial order, which either party may appeal to the president within 15 calendar days. In addition, the president, on his or her own motion, may elect within 15 calendar days to review the administrative judge's initial order.
- B. Final Order: The administrative judge's initial order shall become the final order unless review is sought by either party or the president within the fifteen-day period. If review is sought, the president shall review the initial order and issue a final order in accordance with applicable provisions of the UAPA contested case procedures. The final order, whether rendered by the president or by virtue of neither party appealing the initial order, shall be the decision on the charge(s) within the university. If the university's final order is favorable to the faculty member and concludes that the faculty member's employment should not have been terminated for Adequate Cause, then full restitution of salary academic position and tenure lost during the termination will be made.
- C. Judicial Review: If the final order is unfavorable to the faculty member, he or she is entitled to judicial review of the final order in accordance with applicable provisions of the Uniform Administrative Procedures Act.



## 7. Research and Innovation Update

Presentation

Presented by Jasbir Dhaliwal

## The University of Memphis Board of Trustees

Presentation  
For Information

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Division of Research & Innovation Update

**Presented by:** Dr. Jasbir Dhaliwal, Executive Vice President for Research & Innovation

**Background:**

This presentation will highlight research FY research awards from January-April 2022.

# *Division of Research & Innovation Update*

*Academic, Research and Student Success Committee*

Dr. Jasbir Dhaliwal

*Executive Vice President for Research & Innovation*

June 1, 2022

Maxine A. Smith University Center



# FY22: January-April Award Highlights



THE UNIVERSITY OF  
MEMPHIS®

Board of  
Trustees

COVID-19 Health Disparities In Communities That Are At High-risk And Underserved	\$927,479	CDC	Marian Levy
CAREER: From Slow To Fast, Micro To Macro, Single Events To Cascades: A Multi-scale Study Of Seismic Event Triggering In Lab And Nature	\$619,996	NSF	Thomas Goebel
CAREER: Exocyclic Imine Bridges For Electron Transfer	\$814,628	NSF	Kensha Clark
ERI: Compositionally Modulated Ferrimagnets For Spin-orbitronic Devices	\$195,490	NSF	Shawn Pollard
Multi-tiered Systems Of Support For Behavior And Academics	\$3,000,000	TDoEd	William Hunter
Digital Delta: An Applied Technology Cluster Advancing Opportunity For The Memphis Region	\$500,000	EDA	Jasbir Dhaliwal
ERI: Formation Mechanisms And Modeling Of Wake Meandering In Wind Farms	\$198,766	NSF	Daniel Foti
Change The Odds: A Multi Platform Approach To Gambling Treatment	\$1,064,460	TDMHSAS	Jim Whelan
CyberCorps Scholarship For Service: Developing The Cybersecurity Workforce In West Tennessee, Mississippi, And Arkansas	\$3,800,000	NSF	Kan Yang



## 8. Peer Power Overview

Presentation

Presented by Tom Nenon

# The University of Memphis Board of Trustees

Presentation

For Discussion

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Peer Power

**Presented by:** Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

## **Background:**

Peer Power is a tax exempt 501(c)(3) non-profit that was founded in 2004. Peer Power's mission is to inspire and empower student success through peer-to-peer tutoring in the classroom, after school, and during summer programming. In partnership with the University of Memphis and Memphis-Shelby County Schools, Peer Power trains high-performing college students, called Success Coaches, to tutor high school students in the classroom and high-performing high school students to tutor and mentor students in grades K-8 during afterschool programs. As of 2022, Peer Power operates programs in 53 Memphis-Shelby County Schools. They employ more than 100 college aged tutors who serve approximately 10,000 students in 10 schools and 200 high school students who provide after school tutoring in elementary and middle schools.

# Peer Power Foundation



## *Academic, Research and Student Success Committee*

Tabitha Glenn, Chief Executive Officer

Cortney Richardson, Chief Marketing and Community Engagement Officer



June 1, 2022

June 2022 Academic, Research and Student Success Comm...

Maxine A. Smith University Center

8. Peer Power Overview

JUNE 2022

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# Peer Power's Memphis Model



- Peer Power is the 2<sup>nd</sup> largest employer of U of M students
- Employed more than 1,200 students since 2015
- Earned more than \$17 million in wages

- In class tutoring in 9 high schools and University Middle School
- After-school tutoring in 33 K-12 schools
- Expansion plan for 2-4 additional high schools each year

- Creates career and college readiness
- Builds a workforce for Memphis
- Supports hundreds of educators
- An engine for upward mobility

# The Success Coach

- High achieving college students
- Undergraduate and graduate students
- All majors
- Trained in academic and social-emotional skills
- Average Success Coach GPA is 3.44
- Provides academic support and models success in school and in life





# The benefits of Peer Power



## U of M Benefits

- Recruitment and retention
- Internships
- 33% higher graduation rate
- 70 Federal Work Study employees since 2019



## MSCS Benefits

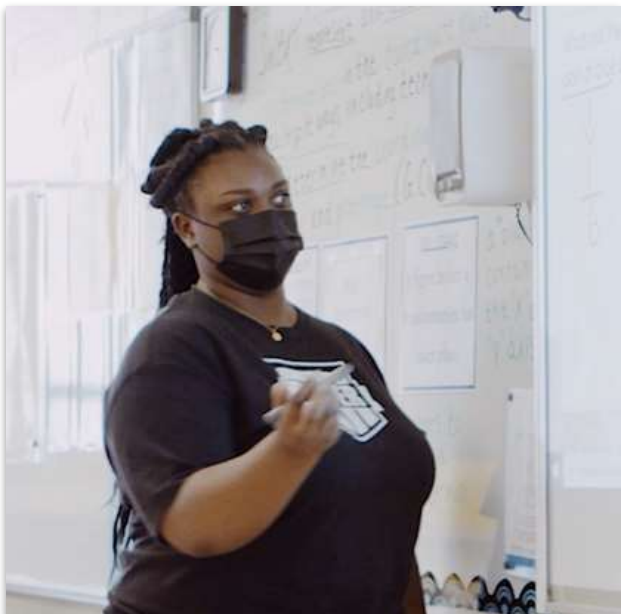
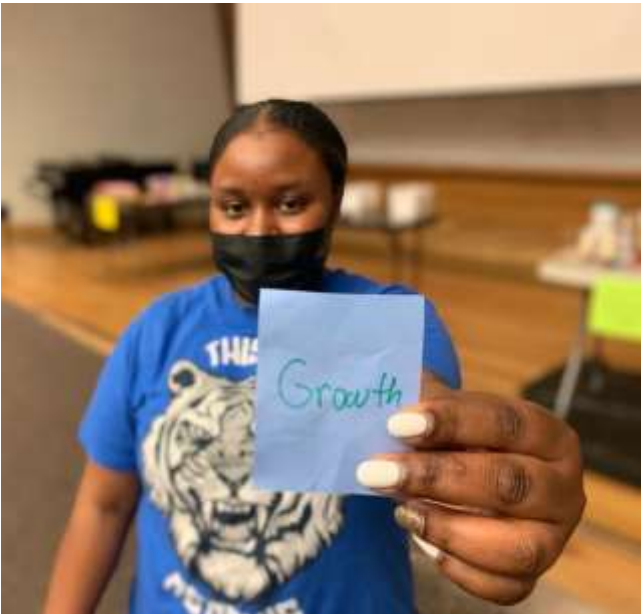
- Higher attendance
- Fewer F's and more A's and B's
- Teacher job satisfaction
- Teacher retention



## Success Coach Benefits

- Earn more than \$13.25/hour
- Earn internship credit
- Career readiness skills
- Lower rate of student loan borrowing

# Meet Our Success Coaches



June 2022 Academic, Research and Student Success Comm.



8 Peer Power Overview



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## 9. ROTC -Return on Investment

Presentation

Presented by Tom Nenon

# The University of Memphis Board of Trustees

Presentation  
For Information

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success

**Presentation:** ROTC Return on Investment

**Presented by:** Captain Dave Whitehead, Navy, USMC ROTC  
Lieutenant Colonel Curt Schultheis, Army ROTC  
Lieutenant Colonel Harley Thompson, Air Force ROTC

## Background:

The University of Memphis ROTC units develop Cadets and Midshipmen morally, mentally, and physically and prepare them for careers of service in the military, government, business, and our communities. Our Cadets and Midshipmen are full-time students at the University of Memphis (with some from Rhodes College, Christian Brothers University, and LeMoyne-Owen College via cross-town agreement) earning a bachelor's degree as part of the requirement to commission as Officers in the Armed Forces. We would like to share with the Board of Trustees the value that your ROTC units bring to our university. We will discuss the health of our Units, the diversity of our students and what that means to our respective services, and the extensive campus and community involvement championed by our Cadets and Midshipmen. Financially, we will take a look at the revenue value of our staff and student body.

# *ROTC Return on Investment*

*Academic, Research and Student Success Committee*

*Capt. David Whitehead*  
*Navy, USMC*

*Lt Col Harley P. Thompson*  
*Air Force, Space Force*

*LTC Curt H. Schultheis*  
*Army*


**June 1, 2022**

**Maxine A. Smith University Center**



**JUNE 2022**

- **Reserve Officers' Training Corps (ROTC)** is the largest officer producing program that trains, educates, and commissions officers of the United States Armed Forces to fight our Nation's wars on land, air, sea, space, and cyberspace.
- ***Host Programs Offered in Tennessee:***
  - *Army: **Memphis**, UT-M, APSU, Vanderbilt, MTSU, TTU, UT-K, ETSU, CNU*
  - *Navy: **Memphis**, Vanderbilt*
  - *Air Force: **Memphis**, TSU, UT-K*



Only School in TN to offer  
ROTC for all Branches of  
Service!

## School Year 21-22

### • University of Memphis

- 3 University of Memphis Employee Salaries = \$90K\*
  - *One per ROTC unit*
  - *\*Not including other benefits*
- Operating Budget = \$30K
  - Phones / Postal / Maintenance / Supplies
- 62 Room Scholarships = \$372K\*
  - *30 Army, 10 Air Force, 22 Navy / Naval Prep Program*
  - *\*Will be significantly reduced in future SYs*
- Instate Tuition Waiver = \$235K
  - 20 Navy, 10 Air Force, 3 Army
- Navy Prep Program Scholarship = \$201K

**\$928,000.00**

### • ROTC Units

- Salary of Gov / Military Employees = \$1.3M\*
  - *\*Not including employee benefits*
- ROTC Scholarships = \$563K\* \*\*
  - 26 Navy, 16 Army, 14 Air Force
  - *\*Does not include other Federal Funding (ie GI Bill or TA)*
  - *\*\* Does not include extension schools in Memphis area*
- Gov Budget = \$442K
  - *Supplies / Advertisement / Training Resources / Travel*

**\$2,338,000.00**



# Intangible Return on Investments

- ***Free Recruitment for the University of Memphis***
- ***1000+ of Hours of Community Service in the Name of the University of Memphis***
- ***World-Wide Summer Internships / Training Opportunities***
- ***100% Guaranteed Employment of All Students that Graduate and complete the ROTC program***



## *Questions / Concerns*







# 10. Additional Business

Presented by David Kemme

# The University of Memphis Board of Trustees

Information  
For Discussion

**Date:** June 1, 2022

**Committee:** Academic, Research and Student Success Committee

**Presentation:** Additional Business

**Presented by:** Trustee David Kemme, Faculty Trustee

## **Background:**

The following items will be discussed:

1. Review and revision of the Academic, Research and Student Success Committee Charter
2. Annual reports for academic programs, student success and research.
3. Strategic planning for academic programs
4. Faculty and staff salary and compensation study

# 11. Adjournment

Presented by David Kemme