

CRITERIA AND PROCEDURES FOR PROMOTION AND TENURE

IN THE DEPARTMENT OF PHYSICS AND ASTRONOMY

UNIVERSITY OF SOUTH CAROLINA

(Adopted by faculty April 30, 1999, last revision February 15, 2000, accepted by University Committee on Tenure and Promotion March, 2000)

The tenured faculty of the Department has the responsibility for formulation of the criteria for promotion and tenure in this Department. Accepting this responsibility, this tenured faculty has approved the full participation of the non-tenured faculty above the rank of Instructor in the formulation of criteria for promotion and for the award of tenure.

I. Criteria

The criteria governing promotion and tenure recommendations are intended to stimulate growth in faculty excellence, to ensure that each decision is made solely on the grounds of professional merit, and to inform candidates for promotion and tenure, in as much detail as possible, what level of performance is necessary. Recommendations for promotion in rank or the granting of tenure represent recognition of past achievement as well as a clear statement of confidence that candidates will continue their professional development.

The criteria for promotion and tenure call for a judgement of the quality of the candidate's record by the Departmental Committee on Tenure and Promotions. Although some quantitative guidelines are given below, qualification is not a matter of filling numerical quotas, and no quotas can be given that are a universally valid measure of a candidate's achievements.

All candidates for promotion and tenure are expected to have earned the doctorate or its equivalent. Evaluation of a candidate will generally focus on the record for the five-year period immediately preceding consideration of promotion or tenure. Candidates who join the faculty with prior professional experience may submit evidence of this prior experience for consideration as part of their record. Those candidates

are expected to demonstrate that the required performance continues at this institution. Criteria and procedures are also subject to the general policies stated in the Faculty Manual.

A) Appointment as Assistant Professor

The candidate must present evidence of research ability and scholarly or professional promise. Publication of research conducted during doctoral and post-doctoral periods in refereed journals of international stature is essential. Testimony of research supervisors that the contributions of the candidate were substantial and that she or he has strong potential for independent professional growth is necessary. Evaluations from co-workers and other physicists in the field familiar with the candidate's work may be included to add support.

Ability as a teacher should be demonstrated by evidence of successfully completed teaching assignments, or, if the candidate has not held a teaching position, by evidence of a facility in presenting research ideas and results.

Appointment at this rank normally presupposes at least two years of experience in a postdoctoral position.

B) Direct Appointment as Associate Professor or Professor

The candidate must satisfy the criteria for promotion to the rank of appointment.

C) Promotion to Associate Professor

The candidate should demonstrate professional growth during the assistant professor period by having established a successful record in teaching and research, with some evidence of service.

Candidates may use accomplishments at a previous institution to justify promotion.

I. Scholarship:

The candidate shall have made a substantial contribution and achieved national recognition in his or her field. Evidence that the candidate has satisfied these requirements must include:

- a) Publication of results in major refereed journals The quality of the published work as judged by the Departmental Tenure and Promotion Committee and supported by outside letters is primary. The Committee must also judge, in case of joint publication, that the candidate's contribution to the collaboration is substantial. The minimum acceptable

number of publications varies from field to field, but in no case is it less than an average of one per year.

b) Presentation of contributed or invited papers at national or international conferences or workshops.

A minimum of one presentation per year is expected.

c) A commitment to sustaining a high quality program This includes a record of aggressively seeking external funding in amounts appropriate to support the research activities. Normally a record of receiving grant funding is expected.

d) Evidence that the research has gained recognition must include at least one of the following:

- i) Receiving awards or honors for research accomplishments.
- ii) Giving invited talks at national and international conferences, schools, and workshops.
- iii) Inclusion of the candidate's work in review articles.
- iv) Numerous citations of the candidate's work.
- v) Becoming spokesperson or assuming another leadership role in a large research collaboration.

The evidence may also include:

- a) Publication of research level books, book chapters, or review articles in top-tier review journals.
- b) Presentation of seminars/colloquia at universities, national laboratories, or research institutes.
- c) Refereeing for journals and fund-granting agencies.

II. Teaching:

The candidate must have a record of effective classroom teaching and a good record as a supervisor or mentor of individual students. Evidence that these criteria are satisfied must include

- a) An established record of effective classroom teaching. The student evaluations must not be consistently in the lower third of departmental evaluations of similar courses, and peer evaluations should show evidence that deficiencies can be corrected and are being actively addressed by the candidate.
- b) A demonstrated ability to educate students for research, shown by supervising M.S. or Ph.D. students or by other substantial participation in the training of Ph.D. students.

The record may also include other factors that add to the stature and reputation of the candidate as a teacher, such as

- a) involving undergraduate students in research.
- b) by teaching advanced courses or seminars in a specialized research area.
- c) Writing a textbook.
- d) Course and laboratory development.

- e) Innovations in instructional methods including using new technologies.
- f) Participation in major state, regional, or national physics education organizations.
- g) Service as a student advisor.

III. Service:

The candidate's record of service must include

- a) Effective participation in at least one departmental, college, or university committee per year.

The following factors also enhance the candidate's service record:

- a) Service to national and international organizations.
- b) Participation in organization of conferences.

D) Promotion to Professor

The candidate should demonstrate continued professional growth during the associate professor period by having established a successful record in teaching, research, and service. The scholarly work should have been sustained over the period and be of sufficient quality to have earned recognition by experts in the field. There should be evidence of leadership in research, teaching, and service.

I. Scholarship:

The candidate is required to have made a substantial contribution and achieved international recognition in his or her field. Evidence that the candidate has satisfied these requirements must include:

- a) Publication of results in major refereed journals In case of joint publication, the candidate's contribution to the collaboration must be substantial. The quality of published work as judged by the Departmental Tenure and Promotion Committee and supported by outside letters is primary. The minimum acceptable number of publications varies from field to field, but in no case is it less than an average of one per year.
- b) Presentation of papers at national or international conferences or workshops. More than one conference or workshop per year is expected.

- c) Ability to sustain a high quality funded program. There should generally be a steady record of securing funding in amounts appropriate to support the research activities.
- d) Evidence that the research has gained recognition must include some of the following:
 - i) Receiving awards or honors for research accomplishments.
 - ii) Giving invited talks at national and international conferences, schools, and workshops.
 - iii) Inclusion of the candidate's work in review articles.
 - iv) Numerous citations of the candidate's work.
 - v) Becoming spokesperson or assuming another leadership role in a large research collaboration.

Further evidence for scholarship may also include:

- a) Publication of a research level book, book chapter, or review article in a top-tier review journal.
- b) Presentation of seminars/colloquia at universities or research centers.
- c) Refereeing for journals and fund-granting agencies.

II. Teaching:

The candidate must have a record of effective classroom teaching and a record of leadership as a supervisor of Ph.D. students. Evidence that these criteria are satisfied must include

- a) An established record of formal classroom teaching Student evaluations and peer evaluations are the measure of teaching effectiveness.
- b) A commitment to educating students for research demonstrated by production and current supervision of Ph.D. students Supervision of at least one Ph.D. student to completion is normally required.

The record may also include other factors that add to the stature and reputation of the candidate as a teacher, such as

- a) Writing a textbook.
- b) Course and laboratory development.
- c) Participating substantially in the training of graduate students.
- d) Involving undergraduate students in research.
- e) Teaching advanced courses or seminars in a specialized research area.
- f) Innovations in instructional methods including using new technologies.
- g) Participation in major state, regional, or national physics education organizations.
- h) Service as an undergraduate student advisor or mentor.

III. Service:

The candidate must show evidence of departmental leadership of effective service to the university or the outside professional community. Some examples are:

A. Service to the department:

1) Effective service on departmental committees or in department leadership or administrative positions (such as Undergraduate Studies Director, Astronomy Center Director, Department Chair, Graduate Director, etc.).

2) Active participation in departmental seminars, faculty meetings, and other department functions.

3) Recruitment and outreach efforts, field trips and other programs intended to enhance graduate and undergraduate enrollments and educational experiences.

B. Service to the College or the University:

1) Effective service on College or University-wide committees.

2) Effective service in an administrative position in the college.

3) Effective consulting to support research and training of students, faculty, and staff within the College and/or University.

C. Service to the professional community:

1) Election or appointment to committees of professional societies, research consortiums, and other national or international organizations, including the organizing of national or international scientific meetings.

2) Editing activities for physics journals. Regular review of manuscripts for physics and related journals.

3) Service on review panels. Review of proposals for funding agencies.

4) Service to the K-12 education system or the state government or business community.

E) Criteria for Tenure

A departmental recommendation for tenure will be based on a two-thirds majority judgement by the Departmental Tenure and Promotion Committee that the candidate has met the qualifications for the rank at which tenure is to be granted. The candidate must demonstrate sustained performance of the functions of his or her rank in the context of the Physics Department of the University of South Carolina. Candidates holding the rank of assistant professor will not be recommended for tenure without also being recommended for promotion to the rank of associate professor. It also follows that faculty members appointed at the ranks of associate professor and professor will normally be required to serve a probationary period before being granted tenure.

The probationary period before granting of tenure is governed by the provisions described in the Faculty Manual, according to which faculty members appointed at the rank of assistant professor normally will not be recommended for tenure until they are in their fourth year and will serve a maximum probationary period of seven years. Under extraordinary circumstances, candidates appointed at the rank

of assistant professor may be recommended for tenure in their third year at USC, provided six years have elapsed since their Ph. D.

Under extraordinary circumstances and as allowed by the Faculty Manual, candidates for faculty appointments may be recommended for tenure on appointment by a two-thirds positive vote of the tenured faculty of equal or higher rank.

II. Procedures

While the Departmental Tenure and Promotion Committee is a single committee, its membership is dependent on the individual candidates being considered. As such, when considering promotion the committee shall consist of all tenured faculty of higher rank than that of each candidate under consideration. When considering tenure, the committee shall consist of all tenured faculty of equal or higher rank. The Chair of the Tenure and Promotion Committee shall be a tenured full professor to be selected by a simple majority vote of the faculty as a whole prior to April 15 each year; however, the Chair of the Department cannot serve as the Chair of the Tenure and Promotion Committee.

All eligible faculty members will be considered each year for promotion and/or tenure. A faculty member may decline, in writing, to be considered at any time before the Department forwards its recommendation except in the penultimate year of their probationary period for tenure in accordance with the *Faculty Manual*. A two part personal file shall be maintained by the Committee Chair for each faculty member who is under consideration for promotion or tenure. One part shall be available to the individual faculty member on request and shall contain all materials that can be used to support their candidacy for promotion and/or tenure. Confidential letters of recommendation shall be kept in the second part of the file.

The Chair of the Tenure and Promotion Committee shall give all appropriate faculty members at least three days advance notice of any meeting of the Committee. On all procedural questions, a simple majority of members present will be sufficient to decide the issue. For purposes of discussion or procedural action on tenure and promotion matters, 51 percent of all faculty members eligible to vote on the matter under consideration shall constitute a quorum. For a favorable recommendation for tenure or promotion two-thirds of all eligible voters must vote "yes". All eligible voters are required to vote ("yes", "no", or "abstain") on tenure and promotion recommendations.

The Department Chair shall be required to attend all meetings of the Tenure and Promotion Committee and may participate in discussions and vote except when the Department Chair is being considered for tenure and/or promotion.

Each year by April 15, the Department Chair will (1) ensure the election of the Tenure and Promotions Committee chair, (2) notify each untenured faculty member regardless of rank and each assistant and associate professor of impending tenure and promotion considerations, and (3) ask the candidates to prepare and submit a resume of professional activities and accomplishments, hereafter referred to as the "Tenure and Promotion file." A copy of such notification will also be sent to the Dean of the College of Science and Mathematics with a request for any information the Dean may wish to provide. The Department Chair will inform candidates of a timetable for submission and preliminary review of their files that is in accord with the University calendar for the Tenure and Promotion process. Should a candidate choose to waive consideration for promotion and/or tenure, the candidate must notify the Department Chair by letter prior to the date for submission of files (with a copy sent to the Chair of the Tenure and Promotions Committee). Otherwise, the candidate shall submit the file to the Chair of the Tenure and Promotion Committee. The individual faculty member may request secretarial assistance in assembling the file if necessary but it should be understood that it is the individual faculty member's responsibility to insure that the file is complete and submitted on time.

The candidate will follow the format of the University Tenure and Promotions File. A list of major subject headings is provided below. In some cases, where noted, the Department places additional restrictions and/or requests information from the candidate in addition to that stipulated by the University.

- 1) A current curriculum vitae which includes personal data, education history, employment history, honors and awards
- 2) Names and addresses of outside referees The candidate will provide names, addresses and phone/FAX numbers of three referees from outside the University who are competent to judge the value of the candidate's scientific work.
- 3) Teaching summary of all teaching experience at USC The file must include a summary of the student evaluations that are conducted routinely for all of the standard lecture/laboratory

courses in the Department. The summary is to be prepared by a faculty member designated by the Chair of the Committee. For courses in which student evaluations are not routinely given (e.g. enrollment of less than three students), the candidate will request the Chair of the Department to evaluate the candidate's performance by privately interviewing students who have recently taken the course. The Chair will submit a letter of evaluation to the candidate who will then include it in the file. As part of the teaching experience involves research training, the candidate will include a detailed list of the supervision of post-doctoral research associates, doctoral students, masters students, undergraduate students, and any other research supervision.

- 4) Scholarly and professional publications Publications include a list of books and a list of refereed publications, in print or in press. If a publication is listed as "in press", a copy of the acceptance letter should be presented. The candidate must supply a copy of each reprint or preprint of work performed at the University of South Carolina. Individuals with two or more years of postdoctoral or faculty level experience at other institutions may include copies of work performed at the postdoctoral faculty level in other institutions.
- 5) Grant activity The candidate is advised to list all grants submitted while at USC even though the T&P process only requires those of the last three years. If a decision has been made by the funding agency, indicate if the project was funded or not funded. Under "costs" indicate the amount of direct costs and indirect costs and clearly indicate the period covered.
- 6) Other scholarly activity The candidate should include lists of invited papers at professional meetings, research seminars and colloquia, publications submitted or under review, abstracts, unrefereed publications, contributed papers presented at professional meetings, book reviews, manuscripts and proposals reviewed or refereed, consulting activities for private and government agencies, review panels, advisory committees for national agencies or national laboratories, etc.
- 7) Professional and public service The candidate should list all service activities including Departmental, College, and University committees, other administrative duties, conference organizing or advisory committees, elective or appointed offices in professional or learned

societies, community or other public service. Indicate where applicable any office held, e.g. Chair.

- 8) Faculty member's personal statement Candidates are encouraged to include a personal analysis of their achievements, goals and an assessment of their program and strategies for reaching these goals.

This list should not be interpreted as placing priorities by the ordering of subjects as shown.

Material may be added to the file by the candidate at any time before the meeting of the Departmental Tenure and Promotion Committee in which the final vote on the candidate is taken. If the candidate wants to add, modify, or delete material contained in the file after the final meeting of the committee, that material will be submitted first to the Committee Chair who will notify the entire committee of the addition, modification, or deletion and will request comments from the committee. All written comments from committee members will accompany the change to the file. The change with comments will be forwarded by the Committee Chair along the same administrative path taken by the file.

The Dean of the College of Science and Mathematics will be notified of the opportunity by the Committee Chair to place a letter in the candidate's folder. The Department Chair will forward to the Chair of the Departmental Tenure and Promotion Committee any other relevant material concerning the candidate. This might include a summary of Departmental and University research support and any additional information received from the Dean. If the candidate holds a joint appointment in some other academic unit of the University, the recommendation of the Chair or Director of that unit will also be solicited by the Chair of the Department and included in the candidate's file. The departmental committee will have this information for their deliberations.

The Tenure and Promotion Committee will receive the assembled files for consideration in closed preliminary session before the end of the Spring semester. Each session will include only those members empowered to vote on the candidates being considered. Due to the separation of tenure and promotion decision, this may require separate meetings for each issue. If the Committee judges that the candidate has clearly not met the criteria, it may decide via a simple majority by secret ballot not to seek outside letters of recommendation supporting the candidate. The Chair of the Tenure and Promotion Committee, in

consultation with the Department Chair, must notify the candidate by letter of the negative decision within one week. The Chair of the Tenure and Promotion Committee shall advise the candidate of the results of the Committee's discussions and the basis for its recommendations without compromising the confidentiality of these discussions. The candidate has a period of 7 calendar days after being formally notified of this recommendation during which a request may be made in writing to the Chair of the Committee for a complete review. If so requested, the Committee will then proceed with a complete review in the same way as files receiving a positive recommendation.

For a complete review the Department will proceed to solicit advisory letters from no fewer than six external reviewers who are considered to be experts in the candidate's field of study. External reviewers should have no affiliation with the University of South Carolina system. The external reviewers will be selected at a formal meeting of the departmental Tenure and Promotion Committee before the end of the Spring semester. Reviews will be solicited from no more than two of the suggested reviewers submitted by the candidate. It shall be the duty of the Chair of the Tenure and Promotion Committee to solicit these letters before the beginning of the summer and to insure that all letters have been received by September 1. All external reviewers will be sent full versions of the candidate's file, excluding individual student teaching evaluations if these were included by the candidate. It will be the responsibility of the external reviewers to provide their personal analysis of the candidate's productivity and achievements, particularly with respect to scholarly work. The complete criteria are listed at the beginning of this document. The external reviews will be included in the candidate's file. To the extent allowed by law, the names of all external reviewers shall not be revealed to the candidate.

After receipt of the external reviewers' letters, a final session of the Committee will be held around October 1 but not less than one week after all external letters have been received and the Committee has been notified that the file is complete. This final session is to recommend promotion and/or tenure. For a favorable recommendation for tenure or promotion two-thirds of all eligible voters must vote "yes". Each voter will be provided with a ballot, and absentee ballots will be provided to committee members who are unable to attend the meeting. When casting a vote, the voter must include a rationale for the vote as required by the Board of Trustees. It is the responsibility of the Committee Chair to insure that completed

ballots are obtained from all who are eligible to vote. If the Committee votes to recommend promotion or tenure, the Committee Chair will prepare an evaluation of the candidate to be forwarded with the candidate's file. The ballots will go into the candidate's file and will be forwarded to the Department Chair by the Committee Chair with other relevant materials. To guard against lost documents the prepared file must include a listing of documents in the file. This file, with the supporting letters, will be forwarded as prescribed in the general University regulations. (See Faculty Manual.)

Each member of the committee is encouraged to write a letter directly to the Dean either concurring or not concurring with the recommendation. Faculty members not authorized to vote will be notified of each of the Committee's recommendations by the Committee Chair and may also write directly to the Dean concerning the recommendation. All such letters shall become part of the candidate's file.

If the committee does not recommend promotion or tenure, the Committee Chair must prepare a summary of the reasons for the decision so that these may be discussed by the Department Chair with the candidate. The information given to the candidate shall be the committee's reasons and should not include any of the details of the deliberations. It is intended that it be offered in a constructive manner with hope that it will be helpful to the candidate in improving future performance or level of professional achievement. Failure to recommend favorably is without prejudice with respect to future consideration.

A list of those persons considered for promotion and/or tenure but not recommended and a list of faculty not wishing to be considered will be forwarded via normal administrative channels to the University Committee on Tenure and Promotion. The numerical result of the balloting (including abstentions) for each person will be included.

A candidate who is dissatisfied with the recommendation of the Departmental Committee on Tenure and Promotion may write a letter to the Committee Chair requesting that the file go forward for consideration following the same procedures as for those who have been given a favorable endorsement by the committee. This request can not be denied.