

# UNIVERSITY OF SOUTH CAROLINA

## College of Hospitality, Retail, and Sport Management (HRSM)

### Department of Retailing (RETL)

Approved by UCTP – April 2018

## TENURE AND PROMOTION: PROCEDURES, CRITERIA, AND POST TENURE REVIEW

The primary mission of the University of South Carolina (USC), a multi-campus public institution serving the state of South Carolina, is to educate the state's diverse citizens through teaching, research and creative activity, and service. The Department of Retailing (hereafter Department) within the College of Hospitality, Retail, and Sport Management offers a Bachelor of Science in Retailing and a Master of Retailing. Students in the B.S. in Retailing may focus in the Fashion Merchandising Concentration or Retail Management Concentration. The Department also offers a Retailing minor. The Department faculty are eclectic in areas of subject interest and in disciplinary focus. Each faculty member is expected to generate consistent and significant teaching, research, and service contributions toward the specific advancement of his/her respective discipline. Thus, benchmarks and criteria must be adaptable to respect these differences. No benchmarks and criteria shall be fixed in immutable norms that can be applied to every situation. The criteria and benchmarks in this document are considered as guidelines and not norms.

It is the aspiration of the Department to have faculty who exhibit a high standard of scholarship; high standard of teaching; acquisition of funds from external sources; professional service, integrity and responsibility; effective mentoring of graduate students; and a national and/or international reputation. The authority of the faculty, in matters pertaining to tenure and promotion criteria and procedures, is delegated by the Board of Trustees and is documented in The Faculty Manual under the section on Faculty Organization. Voting members of the faculty of the University of South Carolina have approved general procedures governing faculty promotion and tenure. Approved procedures are detailed in *The USC Columbia Faculty Manual* (here after referred to as the *Faculty Manual*). The *Faculty Manual* is the final authority on all matters pertaining to tenure and promotion. This document represents the policies and procedures developed by the faculty of this Department.

### **Research**

Convinced that research is essential for excellent teaching the University aggressively promotes an active research agenda. The University is dedicated to using research to improve the quality of life for South Carolinians and the global population. The role of the faculty member is to advance and disseminate knowledge within the discipline. It is the responsibility of faculty members to expand the body of knowledge and synthesize the most authoritative information through research, teaching, and publishing efforts. Faculty members apply their expertise to industry-related problems in their respective fields in order to advance knowledge and provide professional leadership and service. This advancement of knowledge includes the discovery of knowledge through original research, the synthesis of information, and its application to new issues and problems. The dissemination of current knowledge to students is assisted through an active partnership with industry professionals who provide valuable faculty research opportunities. Faculty development is enhanced through active

involvement and leadership in professional associations at regional, national, and international levels, and is demonstrated through activities, that include academic publications and presentations.

### **Teaching**

The University is committed to providing its students with the highest-quality education, including the development of knowledge, skills, and values necessary for student success and achievement of responsible citizenship in a complex and changing world. A particular strength of the University of South Carolina is the excellence, breadth, and diversity of the institution's faculty.

### **Service**

An important facet of the University's public mission is service and outreach to its community, state, nation, and the world. Service should be reflected in the collective faculty profile of the University and any constituent academic unit.

**Definition of Terms:** The following terms are used in this document and defined below:

- Department: Department of RETL
- Committee: All tenured faculty in the Department of RETL
- *Faculty Manual*: The USC Columbia Faculty Manual

## **I. ORGANIZATION AND MEMBERSHIP OF THE TENURE AND PROMOTION COMMITTEE**

- A. The Tenure and Promotion Committee (here after referred to as the Committee) shall consist of all tenured members of the faculty of the Department. A minimum of five members are required on the Committee. If less than five members are on the Committee, the Chair will request a tenured faculty member from the university to be on the Committee. This tenured faculty member must be at a rank superior to the candidate being considered. For example, Associate Professors may not serve on a committee for a faculty member seeking promotion to Professor.
- B. The criteria for granting tenure or promotion to a jointly appointed faculty member shall be those of the primary unit. For faculty holding joint appointments, each secondary unit must be given an opportunity to propose outside evaluators and to comment on evaluators proposed by the primary unit. Primary and secondary units should work together to obtain a suitable, representative group of evaluators. In any event, an evaluation must be solicited from at least one evaluator nominated or approved by each secondary unit. Any department or program that is the secondary unit for one or more faculty members with joint appointments must have in effect a written statement of procedures, which must be approved by the University Committee on Tenure and Promotion, and by which the views of all faculty eligible to participate in evaluation of the candidate will be solicited and provided for inclusion in the candidate's file. In cases in which the secondary unit does not achieve consensus regarding a file, the secondary unit may submit two letters for inclusion in the candidate's file: a majority and a minority report. Any department that is the primary unit for one or more faculty members with joint appointments must include in its criteria processes for (1) involving each secondary department or program in the selection of outside evaluators; (2) making the candidate's file available to eligible faculty of each secondary unit; and (3) obtaining formal input from the eligible faculty of each secondary unit and placing it in the candidate's file at least five working days prior to the unit's vote on the

application. Faculty who are members of both the primary and secondary unit can only vote in the primary unit.

A memorandum of understanding (MOU) must be in place for all faculty members holding joint appointments. The MOU should include (1) identification of the tenuring unit; (2) teaching load and split of teaching load between the primary and secondary units; (3) formula and criteria for sharing indirect cost return (IDCR) among the units; and (4) service responsibility load and split between the units. The MOU should include signatures of the jointly appointed faculty member, the unit heads of the primary and secondary units, the deans of the colleges in the units reside, and the provost. The teaching load for a joint appointment should not be greater than for a faculty member of the same rank in the primary unit. The service load for a joint appointment should be comparable to normal service load of a faculty member of the same rank in the primary unit. The MOU should be included in the candidate's file.

**Other Matters to be Addressed in Unit Criteria and Secondary Unit Procedures:**

The primary unit's criteria and procedures and the secondary unit's procedures must specify whether (1) candidates for faculty appointments may be recommended for tenure on appointment; (2) an abstention vote counts towards the total votes for the candidate in determining the existence of a majority vote; (3) time and accomplishments in a faculty position at another educational institution may be considered in evaluating a candidate for tenure or promotion; and (4) there is a required minimum time of service at USC for faculty hired from another institution to be considered for tenure or promotion.

In addition, unit criteria should describe any discipline-specific practices that may affect the weight given to the applicant's publications or activities. Examples include: practices regarding the order in which co-authors are listed on publications with multiple authors; practices regarding the identification of PI's (principal investigators) and co-PI's on grants; which faculty are expected to supervise Ph.D. students; the significance of electronic publications in the discipline; and situations when teaching is not expected, such as receipt of NIH K grants or other grants that restrict teaching.

**Procedures for Approval of Criteria and Secondary Unit Procedures:**

Each primary unit shall submit its criteria and procedures and each secondary unit shall submit its procedures for periodic review on a rotating basis as determined by the provost. Each primary unit shall submit its proposed tenure and promotions criteria and procedures and each secondary unit shall submit its procedures through the dean to the provost, who shall forward the proposed criteria and procedures to the University Committee on Tenure and Promotion along with his or her comments.

If the University Committee on Tenure and Promotion finds that the proposed criteria and procedures are consistent with the guidelines in the Faculty Manual and the guidelines published by the University Committee on Tenure and Promotion and that they are sufficiently clear, then the University Committee on Tenure and Promotion shall approve the criteria and procedures, which then become effective on the next tenure start date, August 16 or January 1 next occurring, unless otherwise specified. The decision of the University Committee on Tenure and Promotion should be conveyed to the unit within 120 academic days after the University Committee on Tenure and Promotion receives the proposed criteria and procedures. An "academic day" is a week day during the nine-month period when the university is in session.

If the University Committee on Tenure and Promotion disapproves the proposed unit criteria and procedures, it shall return them to the unit with an explanation of the deficiencies. The unit shall then revise its proposed criteria or procedures and resubmit them to the University Committee on Tenure and Promotion within 60 academic days. If the unit and the University Committee on Tenure and Promotion are unable to reach agreement or if revised criteria are not timely received by the University Committee on Tenure and Promotion, the chair of the University Committee on Tenure and Promotion or his or her designee shall convene a meeting of representatives of the unit, of the University Committee on Tenure and Promotion, and of the Provost's Office to attempt to resolve the issues on which the unit and the University Committee on Tenure and Promotion are in conflict. The Provost's Office will endeavor to resolve through mediation any differences remaining after the meeting. Any disagreements that cannot be resolved through mediation will be resolved by an ad hoc committee composed of those members of the Faculty Advisory Committee who are tenured Professors and members of the Grievance Committee. If necessary in order to comprise a committee of at least five persons, the President of the Faculty Senate shall appoint one or more additional tenured Professors to the ad hoc committee. In resolving the disagreement, the ad hoc committee shall consult with the unit, the University Committee on Tenure and Promotion, and the provost.

- C. The Committee considering tenure and/or promotion shall include all tenured faculty members of higher rank than that of the faculty member under consideration. The rules of conduct for public employees contained in the South Carolina Ethics, Government Accountability, and Campaign Reform Act prohibit a public employee from causing the employment, appointment, promotion, transfer, or advancement of a family member to a state or local office or position supervised or managed by the public employee. In addition, a public employee may not participate in an action relating to the discipline of the public employee's family member. See also University Policy HR 1.27 Nepotism. Thus, a faculty member would be excluded from participation on the Committee should another family member be under consideration.
- D. The Chair of the Committee shall be elected by a majority of the Committee for a one-year term. The Committee Chair is eligible to vote on matters of both tenure and promotion. In addition to the Committee Chair, a Chair-Elect will be elected and a Parliamentarian may be appointed by the Committee Chair. Election of the Committee Chair and Chair-Elect shall take place prior to the end of the spring semester. By April 1 each year, the Chair's name must be provided to the Provost and Faculty Senate Office. The Chair-Elect will also serve as the Secretary. The Committee Chair and Chair-Elect will assume their duties on May 1.
- E. Meetings at which candidates are considered for promotion and tenure are closed to all except those eligible to vote on the candidate. A quorum shall consist of two-thirds of the Committee membership.
- F. A Chair-elect will work with the Committee Chair for one year. At the end of the year, the Chair-elect becomes the Committee Chair.
- G. The Committee shall be responsible for the development and implementation of revisions of tenure and promotion criteria and procedures. The Committee must have a quorum. The Committee will review its criteria and procedures for possible changes that must be approved by two-thirds of the Committee members. The revised criteria and procedures shall be presented to

the tenure and tenure track faculty of the Department for comment and ratification by a majority of the faculty members.

## II. TENURE AND PROMOTION PROCEDURES

The tenure and promotion procedures to be followed by the Department are described below. These procedures are subject to requirements described in the *Faculty Manual*. The procedures are designed to ensure that the evaluations and recommendations for tenure and promotion are based on professional merit. The Committee shall supervise all matters related to tenure and promotion and revision of tenure and promotion criteria and procedures. The *Faculty Manual* is helpful to candidates for tenure and/or promotion as they prepare their files for review. The University Committee on Tenure and Promotion (UCTP) *Guidelines for Units: Preparing Criteria and Files* should be used as a guide when preparing documents for tenure and promotion. The *Faculty Manual* and the Department criteria and procedures are the controlling authorities. The *Faculty Manual* supersedes the Department criteria and procedures. Faculty should refer to the Provost's Office Web site for templates, calendars and other pertinent information to assist in the development of their tenure and/or promotion file. Candidates should attend the Promotion and Tenure session that is led by the University Committee on Tenure & Promotion each spring semester.

- A. Tenure-track and tenured faculty members' distribution of efforts will be evaluated more heavily on the basis of research and teaching, but service is expected.
- B. Each year, potential candidates for tenure and/or promotion will be notified in writing by the Committee Chair according to the University's tenure and promotion calendar. Faculty members appointed at the rank of Assistant Professor who have previously held tenure-track positions at other institutions of higher learning normally will not be recommended for tenure until they are in at least their fourth year at USC.
- C. As noted in the *Faculty Manual*, the maximum probationary period for all full-time faculty members appointed at the rank of Assistant Professor is service for seven years at USC, unless extended with a Tenure Clock Extension, as mentioned in Section E below. Included in this timeframe are years credited from full-time service at other institutions of higher learning. If earned, tenure shall be awarded upon final approval of the USC Board of Trustees. Toward the end of the fifth year, the candidate's dossier shall be sent to a set of external reviewers who will be requested to evaluate the candidate's performance. Efforts prior to that shall be considered as early tenure and faculty shall be advised against this unless they are excellent in all areas of teaching, research and service and have a national or international reputation.
- D. If at the rank of Associate Professor, faculty members may request in writing that the Committee not consider them for promotion. Similarly, faculty members may decline in writing to be considered for tenure, except in the final decision year. Intentions must be filed with the Dean in writing within ten days after the faculty member's notification. Untenured Assistant Professors are required to apply for tenure and promotion in their penultimate year.
- E. Non-tenured faculty members will be automatically granted an extension of the probationary

period in the event of the birth or adoption of a child, or the death of the faculty member's spouse/partner or child if notice is provided in accordance with applicable university policy. An extension of the probationary period may also be granted upon request in the case of serious illness or death of a spouse/partner, child or close family member, the placement of a foster child or other circumstances or commitments creating a need for additional time for the faculty member to demonstrate fully his or her professional qualifications for reappointment or tenure. Notification and documentation are required for both automatic and requested extensions. Complete procedures for obtaining an extension are set forth in University Policy ACAF 1.3. Extension of Faculty Tenure-Track Probationary Period and Scheduled Post-Tenure Review which is issued by the Provost's Office.

- F. The following actions may not be taken without approval of the tenured and tenure-track faculty of the affected unit: (1) movement of a non-tenure track faculty member to the tenure track without a competitive search; or (2) movement to a non-tenure track faculty position of a tenure-track faculty member who withdraws from the tenure track during the penultimate year without applying for tenure.
- G. The Committee Chair shall call the first meeting, and shall inform the members in writing of each subsequent meeting. Questions regarding Tenure and Promotion guidelines should be directed to the Committee Chair.
- H. At the beginning of each academic year, the Dean, Department Chair and Committee Chair shall meet with the new full-time faculty to discuss tenure and promotion requirements.
- I. To be eligible for appointment at the rank of Associate Professor, a faculty member must have a record of excellent performance in teaching or research. The faculty member must also possess a good record in the other two areas (e.g., teaching or research). The faculty member is expected to hold the earned doctorate or terminal degree with extensive industry experience and must possess strong potential for further development as a teacher and scholar. As noted in the *Faculty Manual*, the maximum probationary period for all full-time faculty members appointed at the rank of Associate Professor is service for six years at USC unless extended with a Tenure Clock Extension, as mentioned above in Section E.
- J. To be eligible for appointment at the rank of Professor, a faculty member must have a minimum record of excellent performance involving both teaching and research. Service is expected but not evaluated as a part of the Tenure and Promotion process. The faculty member is expected to hold the earned doctorate or terminal degree with extensive industry experience.
- K. Faculty appointed at the rank of Associate or Professor who have previously received tenure at the equivalent rank at other institutions of higher learning and wish to be considered for tenure must submit the appropriate materials as described in the Department tenure and promotion document for consideration by the Committee.
- L. When a person originally appointed to an administrative or other non-tenure track position is subsequently moved to a tenure-track faculty position, the time served in the administrative or non-tenure track position is not considered part of the probationary period for tenure consideration. A full-time administrator later appointed to a position as an Assistant Professor, Associate Professor, or Professor is not excused from the unit criteria for tenure and/or

promotions. When a person originally appointed to a tenure-track faculty position is assigned administrative duties or appointed to an administrative position, the administrative assignment does not prevent the continuation of the probationary period (e.g., first five years) unless an extension of the probationary period is obtained pursuant to applicable university policy.

- M. For a complete review of the file under consideration, the Committee will solicit and obtain a minimum of five letters from external reviewers regarding the candidate's research productivity. The external reviewers must be at the rank of Professor and impartial scholars at peer or aspirant institutions within the field, outside the University of South Carolina. If a person can be shown to be one of the leading scholars in a particular field, that person may be used as an outside evaluator even if he or she is at an institution that is not peer or aspirant. Non-university specialists may be used as outside evaluators if allowed by unit procedures; however, the majority of evaluators normally must be persons with academic affiliations. Persons who have co-authored publications, collaborated on research, or been colleagues or advisors of the applicant normally should be excluded from consideration as outside evaluators. The Committee Chair will select the persons who will be solicited to serve as external reviewers. The Committee Chair will provide the candidate's file to the reviewers. It is the responsibility of the external reviewer to provide an analysis of the candidate's productivity and achievements, particularly with respect to research based in the criterion as described by the tenure and promotion documentation.
- N. A Professor in the College is responsible for providing a summary of evaluations of the candidate's teaching performance and a summary of supporting evidence for the candidate's file which will include student evaluations. Additionally, the tenure and promotion file must include a table containing at a minimum the average rating of overall instructor performance in each course and a comparison with other courses in the discipline at the same level during the same semesters.
- O. Once the candidate's tenure and/or promotion file is complete, the Committee Chair will notify in writing the eligible members of the Committee that the files are available for review.
- P. At the request of the Committee, the candidate may be asked to present in writing additional information and/or explanation of material in the file. Should a member of the Committee desire additional information and/or an explanation of material in the file, he/she should present the request to the Committee Chair. The Committee Chair will then address the issue with the candidate.
- Q. The Committee Chair will schedule a meeting of the faculty eligible to vote on each candidate in accordance with the University's tenure and promotion calendar. The Committee will convene for confidential discussions on each candidate for tenure and promotion. After discussion of the candidates for tenure and promotion, the Committee shall vote by secret ballot. Voting shall be "yes", "no" or "abstain." A two-thirds affirmative vote will be required for a favorable recommendation. Abstentions will not be computed in the determination of a two-thirds vote. Proxy votes will not be permitted. A record of votes will be made in all instances and forwarded through appropriate channels. A comprehensive written justification of all votes shall be mandatory. The written justification may be presented on the ballot itself, or on a separate form. The justification need not be signed but the justification must be clearly identified and must indicate the vote (i.e., yes, no, abstain) and should

assess teaching and research.

- R. Meetings at which candidates are considered for promotion and/or tenure are closed to everyone except those eligible to vote on the candidate.
- S. The Committee Chair shall appoint a sub-committee of at least three members of the Committee to count votes. In a scheduled meeting, the Committee Chair shall inform all members of the vote count. Members of the Committee are to hold the vote count in confidence.
- T. The Committee Chair shall notify the college faculty and invite support letters regarding the candidate recommended. Such letters should be sealed and addressed to the Committee Chair. The candidate's Department Chair shall submit a letter to the Dean.
- U. If the Committee vote is in support of tenure and/or promotion, all files and recommendations from the Committee, including the recording of votes and all written justifications, and support letters will be forwarded to the Department Chair. The Department Chair will place the recorded votes and written justification in the candidate's file and forward the file to the Dean.
- V. The Dean then reviews all materials, makes a recommendation, submits the file to the Provost, and informs the candidate of the positive outcome.
- W. If the Committee unit vote does not support tenure and/or promotion, the unit Committee chair will notify the candidate promptly and shall, upon request by the candidate, without attributions, provide the candidate with a synopsis of the discussion and an indication of the strength of the vote of the unit in writing. The candidate may request in writing that the file be sent forward to the Dean. Otherwise, the candidacy will not be considered further beyond the School Committee. Candidates not recommended shall be informed of appeal procedures by the Dean and the Chair of the Committee as specified in The Faculty Manual of the University of South Carolina, Columbia Campus. Upon written request from a candidate who is dissatisfied with a negative decision of the Committee, the Committee will send that candidate's file through appropriate channels.
- X. The vote count will not be revealed to the candidate. All deliberations of the Committee and materials, including external reviewers' letters and written justifications of the Committee, shall remain in strictest confidence and be available only to those entitled to access the candidate's file.
- Y. In cases of appeal of a negative vote, faculty are notified of the appeal and invited to submit additional letters. All recommendations of the Committee and supporting files must be forwarded to the Dean who will forward these materials to the appropriate University official to be handled in accordance with University policy.

### **III. CRITERIA FOR TENURE AND PROMOTION**

Awarding of promotion and/or tenure in the Department is dependent upon the candidate's performance and the procedures are consistent with the Faculty Manual in force at the time of the University Committee on Tenure and Promotion (UCTP) approval of the unit criteria. The Committee will review the candidate's productivity in research, teaching, and service, and the evaluation of appropriate academic degrees.

The following criteria are applicable for tenure and promotion decisions to the ranks of Associate and Professor. Basic areas relevant for tenure and promotion are described below with a listing of various activities that may be applied toward attainment of the criteria. The Committee will evaluate the candidate's entire career with emphasis on work done since tenure and/or the last promotion.

### **Criteria for Assistant Professor**

Assistant Professors work toward tenure and promotion to Associate Professor during the first five years. However, faculty members can elect to be considered at any time prior to their decision year. An Assistant Professor may apply for promotion to Associate Professor without applying for tenure if the faculty member is not in the penultimate year of the maximum probationary period. A faculty member may not be tenured at the rank of Assistant Professor. Although not restricted, it is atypical for Assistant Professors to apply for tenure and promotion early. Faculty members may elect to be considered at any time prior to their decision year without prejudice. Faculty members appointed at the rank of Assistant Professor who have not previously held tenure-track positions at another institution of higher learning normally will not be recommended for tenure until they are in at least their fourth year at USC.

### **Criteria for Tenure and Promotion to Associate Professor**

To be eligible for promotion to the rank of Associate Professor, a faculty member must:

- Hold an earned doctorate or its equivalent in a discipline appropriate to his or her academic specialty area; hold an earned doctorate with supporting coursework appropriate to the academic specialty area; or hold a terminal degree and have extensive industry experience in the field in which he/she is teaching;
- Earn a rating of "excellent" or "outstanding" in either research or teaching and a minimum rating of "good" in the other category; and
- Possess a strong potential for future promotion to Professor.

### **Criteria for Promotion to Professor**

To be eligible for promotion to the rank of Professor, a faculty member must:

- Hold an earned doctorate or its equivalent in a discipline appropriate to his or her academic specialty area; hold an earned doctorate with supporting coursework appropriate to the academic specialty area; or hold a terminal degree and have extensive industry experience in the field in which he/she is teaching;
- Have reached status as a senior scholar with a national or international reputation. The faculty member normally is expected to hold the earned doctor's degree and have at least nine years of effective, relevant experience.
- Earn a minimum rating of "excellent" in research and teaching;

- Establish a record of consistent and durable research and teaching; and
- Show promise of continual growth and maturity as a senior researcher, mentor, and leader.

## **A. Research**

When the Committee evaluates the file of a faculty member, the quantity and quality of a candidate's research efforts are considered. Research quality may include (not in order of importance):

- Ranking of the journal by the RETL faculty
- Acceptance rate of the journal;
- Impact factor of the journal;
- Citation index of the candidate's articles;
- SSCI Index

Evidence of a candidate's contribution to research is not considered equivalent in all venues. The candidate's contribution to research is strongest when:

- Publications appear in peer-reviewed articles in academic journals;
- The candidate is listed as the sole, first, or second author;
- The candidate has acquired external research grants;
- The candidate has applied for external research grants; and
- The candidate has published scholarly books related to the discipline.

The Committee recognizes the candidate's contribution to research when the results are disseminated in the following manner; they are, however, considered at a lesser weight:

- Publication of peer-reviewed articles in academic journals in which the candidate is listed as third or subsequent author. In such a case, the candidate shall indicate the nature of his/her contribution in the file;
- Publication of book chapters or monographs that focus on research;
- Receipt of honors and awards;
- Publication of refereed proceedings;
- Presentation of research papers at meetings of academic societies or associations;
- Publication of articles in non-refereed or professional journals;
- Receipt of internal research grants;
- Receipt of a patent or trademark; and
- Serving as Chair of research sessions or as a discussant of research papers, or panel presented research.

In all cases, the candidate should indicate his or her contribution to the work when multiple authors are listed. Listing of co-authors is to be explicit as is the candidates' contributions to co-authored work. Citations to such work are to list co-authors in the same order as they were published. The level of importance or prestige of the various journals involved should be indicated. All publications should be separated by refereed and non-refereed status.

## Definition of Scholarship Ratings:

- **Outstanding:** The candidate has consistently published an average of three or more peer-reviewed journal articles annually. In regard to research and scholarship, output is of very high quality with a minimum of two A or higher journal publications, with sole, first, second, and a national/international reputation is evident.
- **Excellent:** The candidate has consistently published an average of two or more, but less than three peer-reviewed journal articles annually. In regard to research and scholarship, output is already of high quality with a minimum of one A or higher journal publication, and a national/international reputation is clearly possible, if not likely.
- **Good:** The candidate has consistently published an average of one or more, but less than two, peer-reviewed journal articles annually. In regard to research and scholarship, output is already of high quality with a minimum of two B or higher journal publications.
- **Fair:** The candidate has published an average of less than one, but no less than .5 peer-reviewed publications annually. In regard to research and scholarship, output is already of high quality with a minimum of one B and one C journal publications.
- **Unsatisfactory:** The candidate has published annually no less than .5 peer-reviewed publications.

## B. Teaching

Teaching includes activities such as regularly scheduled classes, classes delivered online or in other flexible delivery modes, the supervision of independent studies, advisement, the supervision of student research, the supervision of internships, participation on undergraduate and graduate thesis/dissertation committees, creation of instructional materials, significant restructuring of existing courses, and the design of new courses.

Student evaluations based on the University Class Climate survey and Department Chair evaluations are used to determine the teaching effectiveness of a faculty member.

### Required Documentation:

- Student evaluations from every course taught prior to tenure and/or since the last promotion (these teaching evaluations are summarized and documented by the Professor); and
- Department chair's evaluation of the candidate's teaching efforts prior to tenure and/or since the last promotion.
- A minimum of three professional teaching development activities per year.

### Optional Sources:

- Annual evaluations by the Department Chair prior to tenure and/or since the last promotion.

## Definition of Teaching Ratings:

- **Outstanding:** The candidate's performance far exceeds the teaching requirements in Department Chair's teaching evaluation that considers various factors, such as class size,

application of innovative pedagogy, course expertise, student evaluations, etc. Performance is of high quality and includes five or more teaching development activities.

- **Excellent:** The candidate generally receives an “excellent” rating in Department Chair’s teaching evaluation that considers various factors, such as class size, application of innovative pedagogy, course expertise, student evaluations, etc. The candidate’s performance includes at least four teaching development activities.
- **Good:** The candidate generally receives a “good” rating in Department Chair’s teaching evaluation that considers various factors, such as class size, application of innovative pedagogy, course expertise, student evaluations, etc. The candidate’s performance includes at least three teaching development activities.
- **Fair:** The candidate generally receives a “fair” rating in Department Chair’s teaching evaluation that considers various factors, such as class size, application of innovative pedagogy, course expertise, student evaluations, etc. The candidate’s performance includes at least two teaching development activities.
- **Unsatisfactory:** The candidate generally receives an “unsatisfactory” rating in Department Chair’s teaching evaluation that considers various factors, such as class size, application of innovative pedagogy, course expertise, student evaluations, etc. The candidate’s performance includes at least one teaching development activity.

### C. Service

An important facet of the University’s public mission is service and outreach to its community, state, nation, and the world. Service should be reflected in the collective faculty profile of the University and any constituent academic unit.

## IV. SEQUENCE OF EVENTS FOR TENURE AND/OR PROMOTION

- A. Candidate meets with Department Chair to discuss plans to seek promotion and/or tenure. The candidate is responsible for presenting the files in a comprehensive, orderly manner. It is the responsibility of the candidate to make a case for promotion and/or tenure. The Committee should be available for assistance and advice.
- B. Candidate prepares and submits the file in accordance with the University Tenure and Promotion calendar.
- C. The candidate submits the file to the Office of the Dean.
- D. The candidate and academic unit should follow UCTP guidelines for compiling files and use current protocols for electronic submission.
- E. The Committee Chair calls a meeting of the Committee for discussion of the candidates. The Committee Chair prepares the ballots and establishes the time for the submission of the votes. The Committee Chair appends appropriate documentation (i.e., ballots, ballot summary, Department Chair letter, etc.) to the candidate’s file and submits the completed file to the Dean.

- F. The Dean will notify each candidate in writing of the overall results of the Committee's action. An exact vote count will not be communicated.
- G. The Dean appends his/her letter and forwards the complete file through appropriate University channels.

## **V. RESPONSIBILITY FOR THE CANDIDATE'S FILE**

- A. The candidate bears primary responsibility for preparation of the file on which the decision will be based. The candidate must maintain the records and documentation that will be needed for the file.
- B. Faculty Hired On or After January 1, 1995. Faculty members hired into a tenure-track appointment after January 1, 1995, shall be responsible within their probationary period for meeting the unit tenure and promotion criteria and university standards in effect at the time of their hiring unless the faculty member elects to be considered under the unit criteria and university standards in effect at the time of the application for tenure. For all subsequent promotions, the faculty member shall be responsible for meeting unit criteria and university standards in effect at the time of their application for that promotion.
- C. In addition to the tenure and promotion file, the candidate will also provide specific materials requested by the Committee Chair that will be required by the external reviewers.
- D. Candidates will be responsible for assembling their files in accordance with the format distributed by the Office of the Provost. This format is developed in accordance with *The Faculty Manual* and the UCTP Guidelines.
- E. The candidate is responsible for submitting the completed file to the Office of the Dean by the required date.
- F. The Committee Chair may advise the candidate in matters relevant to the assembly of the file, but the ultimate responsibility belongs to the candidate for all documentation and organization. Candidates should refrain from assembling extremely large supporting files.

## **POST-TENURE REVIEW PROCEDURES**

### **I. General Procedures and Calendar**

These procedures are in compliance with the post-tenure review regulations established in the *Faculty Manual*. If any question should arise between the procedures outlined in this document and the regulations provided in the *Faculty Manual*, the *Faculty Manual* will take precedence. The Department post-tenure review calendar will follow the calendar established by the Office of the Provost.

## **II. Faculty Eligibility for Post-Tenure Review**

Each tenured faculty member, regardless of rank and including those in administrative positions (other than the Dean), will be reviewed every six years with the following exceptions:

- Faculty members who have been promoted to the rank of Associate or Professor or reviewed and retained in connection with a chaired professorship during the previous five years.
- Faculty members scheduled for review who notify the Dean in writing that they will retire within three years of their scheduled post-tenure review. This three-year period begins at the start of the academic year in which the post-tenure review would have taken place.
- Faculty members who fail to submit a file for review within the timeframe for submission will automatically be considered as having notified the Dean, by default, of their intention to retire or sever their relationship with the College/University within three years of the start of their scheduled review year.
- A notice from the Dean to the faculty members scheduled for review will initiate the post-tenure review process. This notice will be given no later than March 1 of the academic year prior to the academic year the review is to take place. If a faculty member normally scheduled for post-tenure review is excluded from post-tenure review due to being in one of the excluded categories listed above, the review schedule of other faculty members will not be changed.

## **III. Annual Performance Review**

The post-tenure review will serve as the annual performance evaluation for that year for the faculty member.

## **IV. The Post-Tenure Review Committee**

Membership of the Department Post-Tenure Review Committee (hereafter referred to as the PTR Committee) will consist of all tenured Professors on the Committee, acting as a sub-committee of the Committee. If less than five members are on the PTR Committee, the PTR Chair will request a Professor from the university to be on the PTR Committee. Tenured faculty members scheduled for post-tenure review will not participate in their own review, but will participate in review of other faculty members scheduled for post-tenure review. The PTR Committee Chair will be the Committee Chair. If the Committee Chair is being evaluated for post-tenure review, then the PTR Committee will elect a new chair for that year. The Dean is ineligible to vote or to serve on the PTR Committee.

## **V. File Documentation**

The faculty member who is being reviewed will submit a post-tenure review file to the PTR Committee. While the faculty member being reviewed may include any documentation he/she believes to be pertinent, the faculty member must include the following material in the file:

### **A. Teaching**

- A listing of all courses taught in the current and previous five years.

- A numerical and descriptive summary of the student course evaluations for each of the courses listed where an evaluation was required. A Professor will construct the summary document based on the data provided.
- B. Research
- A listing and relevant copies of all scholarly activities conducted during the current and previous five years. Scholarly activities are defined as those listed in the Department's tenure and promotion criteria under the heading of "III. A. Research."
- C. Annual Evaluations
- A copy of all annual performance evaluations conducted by the Dean in the previous five years or since the last post-tenure review.
- D. Sabbatical Reports
- A copy of the official report of sabbatical activities if sabbatical leave was taken during the review period.
- E. Statement of Future Goals
- An outline of goals for the future as they relate to teaching, research and service.
- F. Current Vitae
- A copy of the most current vitae.

## **VI. Committee Procedures in Department Post-Tenure Review Procedures**

- A. The Department will provide a faculty member under review with written copies of all previous annual performance reviews, post-tenure reviews and development plans.
- B. When necessary, the PTR Committee Chair will ensure that internal peer reviews of the faculty member's teaching and external peer reviews of scholarly activities are conducted in a timely manner. Refereed publications or other reviewed research/creative exercises may be considered as having been peer-reviewed outside the unit.

After review and discussion of the faculty member's file, each PTR Committee member will complete a written evaluation ballot. The ballot will allow for rating the faculty member's performance as unsatisfactory, satisfactory or superior in each of three categories: teaching, research, and overall performance. Each category rating will require a written justification.

- C. For the purposes of post-tenure review, performance ratings will be defined as follows:
- "Superior performance" in any given evaluation area means performance that meets or exceeds a rating of "excellent" as noted in the Department's tenure and promotion document.
  - "Satisfactory performance" in any given evaluation area means performance that meets a rating of "good" or "fair" as noted in the Department's tenure and promotion

- document.
  - “Unsatisfactory performance” in any given evaluation area means performance that meets a rating of “unsatisfactory” as noted in the Department’s tenure and promotion document.
- D. In a meeting of the PTR Committee, the PTR Committee Chair will collect the performance evaluation forms (i.e., ballots) from the PTR Committee members and tally the ratings in each evaluation area as defined in VI. B.
- E. In summary, the matrix of outcomes for annual performance and post-tenure review of assessment is as follows:

<i>Unit’s Assessment</i>	<i>Dean’s Assessment</i>	<i>Recorded Evaluation</i>
Superior	Superior	Superior
Superior	Satisfactory	Satisfactory
Satisfactory	Superior	Satisfactory
Satisfactory	Satisfactory	Satisfactory
Satisfactory	Unsatisfactory	Satisfactory
Unsatisfactory	Satisfactory	Satisfactory
Unsatisfactory	Unsatisfactory	Unsatisfactory

- F. The Department will provide the department chair and the dean with a copy of all Department's post-tenure review reports and any recommendations for development plans. The offices of the department chair and dean shall retain these reports and recommendations as permanent records.
- G. If the Department post-tenure review report assesses the faculty member’s overall performance as superior, or satisfactory, the Department shall provide the faculty member with a written summary of the Department post-tenure review report. The summary must provide specific evaluative information on the faculty member’s performance in the categories of teaching, and research/creative activities. The summary must be sufficiently detailed to aid the faculty member in professional growth and development.
- H. If the Department post-tenure review report assesses a faculty member’s overall performance as unsatisfactory, the Department shall provide the faculty member a copy of the unit post-tenure review report, redacted to remove references that would identify any external reviewers, along with any recommendations for a development plan. If the faculty member disagrees with the Department report’s unsatisfactory assessment of the faculty member’s overall performance or with any aspect of the Department’s recommendations for a development plan, the faculty member may appeal to the Department's tenure and promotion committee, or a subcommittee of the Department's tenure and promotion committee designated to hear issues arising in the post-tenure review process, by submitting a written statement of the faculty member’s basis for disagreeing with the report or recommendation. The findings of the Department's tenure and promotion committee, or subcommittee, together with its recommendations for action and any statement by the faculty member, will be forwarded to the dean through the department chair.”

## **VII. Guidelines for Faculty Hired Prior to January 1, 1995**

In no event shall any change in tenure and promotion regulations be made retroactive for faculty hired before January 1, 1995, unless the faculty member chooses otherwise (*Faculty Manual*, June 2000, p. 19). Therefore, for these faculty, the criteria used for post-tenure review shall be those in effect at the time of their hire, unless the faculty member chooses otherwise.

Faculty members hired into the tenure track after January 1, 1995, shall be responsible for meeting the unit's post-tenure criteria in effect at the time of their review.

*These guidelines were approved on November 2, 2016.*