

College of Arts and Sciences
Tenure and Promotion
Statement of Procedures and Criteria (2011 - 2012)

Achieving tenure and promotion at the University of South Alabama is a multi-step process that begins in the department and ends with the Board of Trustees. University policies pertaining to tenure and promotion are set forth in the *Faculty Handbook* (2011):

(<http://www.southalabama.edu/academicaffairs/facultyhandbook.pdf>) The present document describes the tenure and promotion procedures for the College of Arts and Sciences, and is maintained on the College's website (<http://www.southalabama.edu/artsandsci/policies.html>).

Tenure and Promotion Procedures

Peer review is required in arriving at both tenure and promotion decisions; departments and the college are required to indicate explicitly how recommendations evolved during the review process and must communicate these procedures to the candidates and to the administration.

Tenure

1. A candidate must submit all materials relevant to the tenure decision including materials produced throughout her/his academic career to the Department Chair.
2. The Department Chair, in turn, gives the candidate's materials to the Department Tenure Committee.
3. The Department Tenure Committee reviews the candidate's materials, makes a recommendation, and completes the Department Tenure Committee Recommendation Form. See: <http://www.southalabama.edu/artsandsci/policiespt.html>
4. The Department Tenure Committee forwards all materials relevant to the tenure decision to the Department Chair.
5. The Department Chair forwards all materials relevant to the tenure decision, including her/his recommendation to the Dean.
6. The Dean forwards all materials relevant to the tenure decision to the College Tenure Committee.
7. The College Tenure Committee forwards all materials relevant to the tenure decision to the Dean including their recommendation to the Dean.
8. The Dean forwards all materials relevant to the tenure decision and her/his recommendation to the Senior Vice President for Academic Affairs, who will forward her/his recommendation to the President for review.
9. All submitted materials relevant to tenure will be held until the Board of Trustees takes action on the tenure application.

Promotion

1. A candidate must submit all materials relevant to the promotion decision to the Department Chair.
2. The Department Chair, in turn, gives the candidate's materials to the Department Promotion Committee.

3. The Department Promotion Committee reviews the candidate's materials, makes a recommendation, and completes the Department Promotion Committee Recommendation Form. See: <http://www.southalabama.edu/artsandsci/policiespt.html>
4. The Department Promotion Committee forwards all materials relevant to the promotion decision to the Department Chair.
5. The Department Chair forwards all materials relevant to the promotion process, including her/ his recommendation to the Dean if either the Department Chair or the Department Promotion Committee recommends promotion, or if the candidate is applying for both tenure and promotion.
6. If a candidate is applying for promotion *only*, and if both the Department Promotion Committee and the Department Chair fail to recommend the candidate, then the Department Chair *must* inform the candidate.
7. The negative assessments and materials used to arrive at them need not be forwarded to the Dean unless the candidate requests in writing, no later than **January 5**, that this be done.
8. If the candidate requests in writing that the assessments and materials be forwarded to the Dean, then the candidate also has the right to include a rebuttal statement and summary argument.
9. The written request from the candidate, along with any rebuttal statement and/or summary argument by the candidate, must accompany the materials forwarded by the Department Chair to the Dean.
10. The Dean forwards all materials relevant to the promotion decision to the College Promotion Committee.
11. The College Promotion Committee forwards all materials relevant to the promotion decision to the Dean including their recommendation to the Dean.
12. The Dean forwards all materials relevant to the promotion decision and her/his recommendation to the Senior Vice President for Academic Affairs, who will forward her/his recommendation to the President for review.
13. All submitted materials relevant to promotion will be held until the Board of Trustees takes action on the promotion application.

Tenure and Promotion Criteria

Tenure

The parties involved in the tenure process at the Departmental, College, and University levels rely on the principles and criteria as defined in the *Faculty Handbook* (2011) (**Section 3.11 Tenure**). The criteria for tenure are the same as promotion plus the additional important consideration of collegiality of the candidate with her/his department. Absence of evidence and argument to the contrary will be considered evidence of the candidate's collegiality with the department.

Promotion

The parties involved in the promotion process at the Departmental, College, and University levels rely on the principles and criteria as defined in the *Faculty Handbook* (2011) (**Section 3.10: Promotion Policies and Procedures**). These criteria involve consideration of the quality of teaching, the level of scholarship judged by national standards, and the regular performance of duties including the ability to participate in a healthy learning environment. The degree of professional achievement is thereby evaluated in three broad areas: teaching, creative activity/research, and professional service to the Department, College, University, and where appropriate, to the Community.

Presentation of Material

General Guidelines

The candidate bears the primary responsibility for the presentation of material in support of her/ his tenure and/or promotion application. The Departmental committees, Department Chair, College committees, and Dean must, in turn, provide reasons and any appropriate additional information in support of their recommendations. All materials and comments should be structured according to specific criteria. Important dates associated with the tenure and/or promotion process are summarized at the end of this document.

Step One: External Reviewers

Candidate

1. Not later than **August 25** of the academic year during which a candidate will be considered for tenure and/or promotion, the candidate must submit three items to the Department Chair: 1) curriculum vitae, 2) a CD/DVD containing copies of publications, presentations, and/or creative activities, and 3) a list of at least five appropriate sources for external reviewers.
2. The curriculum vitae and the CD/DVD containing copies of publications, presentations, and/or creative activities should be in a format that may be easily reviewed by an external reviewer. Here and elsewhere, "appropriate sources for external review" must be reviewers of the appropriate rank: Associate or Full Professor for applicants for tenure and/or promotion to Associate Professor; Full Professor for applicants for promotion to Full Professor.
3. The list of appropriate sources may contain specific names of people or names of institutions comparable to the University of South Alabama.
 - a. The candidate should briefly describe relationships between themselves and each of the sources.
 - b. The majority of the external reviewers should not be a former teacher or personal friend of the candidate nor a co-worker in research, creative activities, and publication activities.
4. External reviewers are not required for promotion to Senior Instructor.

Tenure

1. Along with the list submitted by the candidate, a list of appropriate sources for external reviewers must be submitted by the chair of the Department Tenure Committee, and the Department's tenured faculty.
2. The Chair of the Department Tenure Committee will select at least one name from each of the three lists; at least three external reviewers must be selected. The names of the external reviewers must be disclosed to the candidate.

Promotion

1. Along with the list submitted by the candidate, a list of appropriate sources for external reviewers must be submitted by the chair of the Department Promotion Committee, and the Department's faculty of appropriate rank.
2. The Chair of the Department Promotion Committee will select at least one name from each of three lists; at least three external reviewers must be selected. The names of the external reviewers must be disclosed to the candidate.

Contacting External Reviewers

1. By **September 8**, the Chairs of the Department Tenure Committee/Department Promotion Committee should contact the sources and, without prejudice, determine their willingness to perform the external review.
2. By **September 15**, the Department Chair will send a standard letter to the selected external reviewers requesting a review of the candidate's research/creative activity credentials. This standard letter should contain language such as the following: "I ask that you only examine the enclosed materials and evaluate the quality and significance of the research and/or creative work." See a sample letter: <http://www.southalabama.edu/artsandsci/policiespt.html>
3. The external reviewers' comments should be returned to the Department Chair by **November 10**, and should be made available to the Department Tenure Committee/Department Promotion Committee.
4. The external reviewers' comments are confidential and are not shown to the candidate. These comments along with other materials are forwarded to the Dean by the Department Chair. **Caution:** External reviewers must provide an original signature on their letter/memorandum. Some reviewers have, in the past, used a script font to 'sign' their review, while others have emailed their review, neither of which is acceptable.

Step Two: Candidate's Responsibilities

Tenure

A candidate is required to submit a portfolio, which contains information stipulated in 'Seven Sections of the Portfolio', and supplementary materials on a CD/CVD which contains materials in support of teaching, creative activity and/or research activities, service, and collegiality. (Candidates may submit a hard copy of a book.) A candidate may include materials produced throughout an academic career. Due date: **October 14**.

Promotion

A candidate is required to submit a portfolio, which contains information stipulated in 'Seven Sections of the Portfolio', and supplementary materials on a CD/DVD, which contains materials in support of teaching, creative activity and/or research activities, and service. (Candidates may submit a hard copy of a book.) A candidate should clearly distinguish materials produced before and after the last promotion. Due date: **October 14**.

Portfolio

1. A candidate who is applying for both tenure and promotion should submit the same portfolio for both tenure and promotion.
2. A candidate applying for **tenure** or for both **tenure and promotion** should submit one original and ten copies of their portfolio.
3. A candidate applying for **promotion only** should submit one original and seven copies of their portfolio.
4. The 'original copy' of the portfolio contains documents with original signatures. Please indicate which portfolio is the original portfolio by labeling it 'Original '.
5. The candidate's portfolio should be organized in a loose-leaf binder, with 7 section-tabs, one for each of the 7 bold-faced sections. A tab should be provided for both Section 6 and Section 7 even though the candidate will not provide any material for those sections. The department chair is responsible for Section 6 and part of Section 7 as are other administrators.

Supplementary Materials

1. Candidates must submit copies of all scholarly presentations, publications and documentation of exhibits, productions, and performances as well as other documents evidencing teaching, and service during the years in rank or the probationary period. These supplementary materials must be submitted on a CD/DVD. Candidates may submit a hard copy of a book.
2. One copy of the C/DVD should accompany each portfolio submitted.

Seven Sections of the Portfolio

Do not skip any sub-section or renumber any sub-section. If you have nothing to itemize under a particular sub-section you should record 'none'.

Section 1: Application

- 1.1 Letter of Application.

Candidates must include a letter specifying what they are applying for (tenure and/or promotion), as well as a list of the materials submitted to the Department Chair and the Department Tenure Committee/Promotion Committee.

- 1.2 Curriculum Vitae.

A copy of the curriculum vitae sent to the external reviewers.

- 1.3 List of Creative Activities/Research Materials sent to the external reviewers. (Place copies of these materials on the Supplemental Materials CD/DVD).

Section 2: Biographical Information

- 2.1 Name.

- 2.2 Academic Rank.
- 2.3 Dates of Appointment to the University of South Alabama to Current Rank.
- 2.4 Educational Credentials.
 - 2.4.1 Baccalaureate degree earned, date conferred, granting institution, with area of specialization.
 - 2.4.2 Masters degree earned, date conferred, granting institution, with area of specialization.
 - 2.4.3 Doctorate degree earned, date conferred, granting institution, with area of specialization.
- 2.5 List professional designations/ licenses.
- 2.6 List other credit-earning higher education courses completed.
- 2.7 List other courses attended for professional development, including course title, date completed, organization / institution conducting course.

Section 3: Teaching

- 3.1 Teaching Self-Evaluation Statement.

The statement on teaching effectiveness should include what the candidate perceives as strengths and weaknesses in the classroom and in working with students.
- 3.2 Provide a short statement of your teaching philosophy and goals.
- 3.3 List all courses taught at the University of South Alabama during the probationary period or period since the last promotion.

Using a table and/or graph indicate which courses are required for the major, the number of students in each course, and the average number of preparations per semester. (Place examples of syllabi for courses on Supplementary Materials CD/DVD.)
- 3.4 List courses taught (both credit and non-credit) for other institutions indicating title, academic level, and year taught.
- 3.5 List, chronologically, all academic appointments at institutions of higher learning beginning with current academic appointment.
- 3.6 List representative handouts or supplementary materials you have prepared for class distribution. (Place copies on Supplementary Materials CD/DVD.)
- 3.7 List the innovative teaching methods you have devised or utilized.
- 3.8 List the audio-visual and/or online materials you have developed or utilized. (Place copies of examples on Supplementary Materials CD/DVD.)
- 3.9 List the new courses or new academic programs you have developed or have substantially changed while at USA.
- 3.10 List the laboratory experience/experiments or studio experiences you have devised, revised, or utilized. (Place copies of examples on Supplementary Materials CD/DVD.)
- 3.11 List academic advising assignments / activities.
- 3.12 List supervised research/creative activities such as Directed Studies, Honor's theses, Master's theses, and PhD. dissertations.

- 3.13 List guest lecturer presentations or performances along with time and place.
- 3.14 Summarize the results of student evaluations for all courses taught at USA using both a narrative and graphs. (Place copies of student evaluations for all courses on Supplementary Materials CD/DVD.)
- 3.15 List other teaching related activities not mentioned above.

Candidates have the option of choosing one of the following:

4a. Research Activities **or** **4b. Creative Activities**

Section 4a: Research Activities

4.1a Research Activities Self-Evaluation Statement

The self-evaluation of research and professional activity should include a summary of research activities, a judgment as to the relative worth of the research, and an assessment of the quality of the journals in which papers have been published. Candidates should indicate the area or areas in which they have engaged in sustained research and professional activity. They should also indicate what their major and original contributions have been in these areas and what they hope to achieve in the future.

- 4.2a List of manuscripts accepted for publication - include full bibliographic citations. (Place copies on Supplementary Materials CD/DVD.)
- 4.3a List manuscripts submitted for publication. (Place copies on Supplementary Materials CD/DVD.)
- 4.4a List grant and contract awards; grant and contract submissions. (Place copies on Supplementary Materials CD/DVD.)
- 4.5a List paper/poster presentations giving dates, places, and organization.
- 4.6a List other research activities (e.g., works in progress).
- 4.7a List participation in professional organizations (offices held, sessions chaired, etc.); indicate international, national, regional, state or local organizations and dates of service.
- 4.8a List activities as professional advisor, clinician, consultant, editor, workshop leaders, etc.
- 4.9a List honors and awards earned for professional publications, etc.
- 4.10a List participation in short courses, seminars, workshops, etc.
- 4.11a List any research activities not mentioned above.

Section 4b: Creative Activities

4.1b Creative Activities Self-Evaluation Statement.

The self-evaluation of creative activity and professional activity should include a summary of creative activities, a judgment as to the relative worth of the creative activity, and an assessment of the quality venues where the creative activity was exhibited or performed. Candidates should indicate the area or areas in which they have engaged in sustained creative activity and professional activity. They should also indicate what their major and original contributions have been in these areas and what they hope to achieve in the future.

- 4.2b List:
 Dramatic Art (productions, performances, and design executions) or
 Music (concerts, recitals, performances, and commissions) or
 Visual Arts (art exhibits, curatorial activities, design displays, and commissions).
 (Place copies/facsimiles on Supplementary Materials CD/DVD).
- 4.3b List creative materials (manuscripts, plays, scores) accepted for publication -include full bibliographic citations. (Place copies on Supplementary Materials CD/DVD.)
- 4.4b List creative materials submitted for publication. (Place copies on Supplementary Materials CD/DVD.)
- 4.5b List grant and contract awards; grant and contract submissions. (Place copies on Supplementary Materials CD/DVD.)
- 4.6b List research activities associated with creative activities. (Place copies on Supplementary Materials CD/DVD.)
- 4.7b List lecture demonstrations, master classes, and paper presentations given.
- 4.8b List participation in professional organizations (offices held, sessions chaired, etc.); indicate international, national, regional, state or local organizations and dates of service.
- 4.9b List activities as professional adjudicator, advisor, consultant, clinician, workshop leaders, editor, etc.
- 4.10b List honors and awards earned for professional exhibitions, performances, productions, etc.
- 4.11b List participation in master classes, seminars, short courses, workshops, etc.
- 4.12b List any creative activities not mentioned above.

Section 5: Service

- 5.1 Service Self-Evaluation Statement.
 The self-evaluation of service activity should include a summary of the candidate's service to the department, college, university, and the community. The candidate should indicate if the service is professional or non-professional, and if any offices are held.
- 5.2 List service on University committees.
- 5.3 List service on College-level committees.
- 5.4 List service on Departmental-level committees.
- 5.5 List University related extracurricular activities, such as student organization advisor.
- 5.6 List Community service which involves your field of expertise, such as adjudication, advisory boards, career guidance, expert testimony, etc.

Section 6: External Reviewers (Department Chair's Responsibility)

This section will be completed by the Department Chair after the candidate submits the portfolio.

- 6.1 Explain how each external reviewer was selected.
- 6.2 Describe the relationship between each external reviewer and the candidate.
- 6.3 Supply a sample of the letter sent to the external reviewers.
- 6.4 Copies of the external reviewers' recommendations. The Department Chair must ensure that the external reviewers' letters contain a signature, and that the letters with the original signatures are put in the portfolio marked 'Original'.

Section 7: Recommendations

- 7.1 Department Tenure Committee, Promotion Committee, and Department Chair Recommendations.
- 7.2 College Tenure Committee / Promotion Committee Recommendations
- 7.3 Dean's Recommendation

Step Three: The Department Tenure Committee / Promotion Committee Responsibilities

The members of the Department Tenure Committee and Promotion Committee are responsible for the strictest professionalism and confidentiality during and after the review process.

Committee Deliberations

1. The Department Tenure Committee/Promotion Committee review all material with the realization that evidence of continuing scholarly/creative productivity as well as teaching effectiveness are typically the essence of all tenure and promotion recommendations. In addition, collegiality is considered in the tenure evaluation.
2. Department Tenure Committee/Promotion Committees are expected to distinguish between scholarship and popularization and between creative activity/research for scholarly purposes and activities that are essentially service oriented. This requires a careful evaluation of the candidate's research creative objectives, contributions, publications, exhibitions, and an evaluation of any published commentaries on the candidate's work.
3. The Department Tenure Committee/Promotion Committee should include an assessment of the quality of the journals in which papers have been published and identify refereed and non-refereed journals. The discipline's and/or journal's practice in listing co-authored articles should also be clarified for the College Tenure Committee/College Promotion Committee.
4. The Department Tenure Committee/Promotion Committee in the Fine and Performing Arts should include an assessment of the quality of the venues where exhibits or performances are held as well as identifying juried or non-juried events.
5. A Department's recommendation(s) must also include evaluations of the candidate's work by the external reviewers.

6. A secret vote concerning the candidate is taken after the Department Tenure Committee/Promotion Committee has discussed the candidate.
7. Faculty members who participate in the peer review process at the Department level must abstain from participating in the review of the candidate and from voting at the College Tenure Committee/ College Promotion Committee when department colleagues are considered.

Committee Recommendations

1. The Department Tenure Committee/Promotion Committee recommendations, which are written in narrative form, must communicate the sense of their deliberations and decisions and should address teaching, creative activity and/or research activity, service, and in the case of tenure, collegiality.
2. Departments that have a written policy on expected standards of performance for tenure and promotion should include this information in their recommendation.
3. In the case of split decisions, the Department Tenure Committee/Promotion Committee recommendations must clearly represent both the majority and minority viewpoints.
4. Each member of the Department Tenure Committee/Promotion Committee must personally sign the Committees' recommendation.

Reporting Committee Recommendations

1. The Department Tenure Committee and the Department Promotion Committee are separate committees (even if there is overlapping membership); hence the recommendations from each committee (even about the same candidate) must be kept separate.
2. The Chairs of the Department Tenure/Promotion Committees must each submit to the Department Chair a recommendation, in the form of a narrative, for each candidate by **December 1**.
3. The Chair of the Department Tenure Committee and/or the Chair of the Department Promotion Committee must also complete the appropriate Tenure and/or Promotion Recommendation Form and forward it along with all supporting material to the Department Chair. (Forms are found: <http://www.southalabama.edu/artsandsci/policiespt.html>)
4. Each member of the Department Tenure Committee/Promotion Committee, including the Committee Chairs, must personally sign the Department Tenure Recommend Form and/or Department Promotion Recommendation Form.

Step Four: The Department Chair's Responsibilities

The Department Chair must provide the following materials for each reviewed faculty member:

1. The Chair's recommendations (promotion and/or tenure) and justification for the recommendations. This should be a carefully documented and considered statement assessing the candidate's strengths and weaknesses in teaching, creative activity or research, service, and when appropriate collegiality. The statement, which takes into account the Departmental Committee's report and external reviewers' comments, should address all relevant criteria and assess the extent to which the candidate meets them.
2. The Chair must provide information about the external reviewers and place this information as well as the External Reviewer's evaluations in Section 6 of the portfolio.
3. Negative Decision for **Promotion Only** Application:
 - a. The Department Chair is responsible for writing a letter informing a candidate, who has applied for

promotion only, that both the Department Chair and the Department Promotion Committee have made a negative recommendation. The deadline for informing the candidate is **December 15**.

- b. The Department Chair must inform the candidate who has received a negative decision by both the Department Chair and the Department Promotion Committee that he/she has until **January 5** to: a) make a written request that her/his materials be forwarded to the Dean, and b) submit any accompanying rebuttal statement and summary argument.
 - c. If the candidate does makes a written request by **January 5** that her/his materials be forwarded to the Dean, the Department Chair must report this request to the Dean that the candidate has submitted a written request that her/his materials be forwarded.
 - d. If the candidate has also submitted a rebuttal statement and summary argument with the written request, the Department Chair must add the rebuttal statement, summary argument, and written request to the Department Chair's report to the Dean.
4. The Department Chair is responsible for organizing and forwarding each candidate's portfolio and supplementary materials to the Dean of the College of Arts and Sciences by **January 12**.
 5. The Department Chair must submit one original and ten copies of the portfolio for candidates applying for tenure, or for both tenure and promotion; one original and seven copies of the portfolio for candidates applying for promotion only.

Summary of Tenure and Promotion Deadline Dates

Aug. 25	Candidate submits names and materials to Department Chair for external review.
Sept. 8	Tenure Committee Chair/Promotion Committee Chair contact external reviewers.
Sept. 14	Department Chair forwards letter and materials for review to external reviewers.
Oct. 15	Candidate must submit complete portfolio and supplementary materials to the Department Chair.
Nov. 10	External reviews received by Department Chair are distributed to the Department Tenure Committee/ Promotion Committee.
Dec. 1	Department Tenure Committee/Promotion Committee make recommendations to Department Chair.
Dec. 15	Deadline for informing the candidate applying for <u>promotion only</u> of a negative decision by both the Department Chair and Department Promotion Committee.
Jan. 5	Deadline for the candidate applying for <u>promotion only</u> who has been informed of a negative decision by both the Department Chair and the Department Promotion Committee to make a written request that her/his materials be forwarded to the Dean, along with submitting any accompanying rebuttal statement and summary argument.
Jan. 12	Department Chair's recommendation(s) and all material are submitted to the Dean.
Feb. 27	Dean's recommendation(s) and all material are submitted to Senior Vice President of Academic Affairs.

Appeal Procedures

Any challenge of promotion and/or tenure decisions must precede according to the University's Grievance Procedure, which is found in the *Faculty Handbook* (2011), Section 4.2 Faculty Grievance Procedures.

