



COLLEGE OF EDUCATION
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 Education, and is maintained on the College's website (<http://www.southalabama.edu/coe/forms/coep&t.pdf>).

GENERAL REVIEW POLICIES

REVIEW COMMITTEES

The Departmental Tenure Review Committee is normally comprised of all tenured faculty members in the Department, excluding the Department Chair. The Departmental Promotion Review Committee is normally comprised of all those faculty members, except Assistant Professors, senior in rank to the Candidate, excluding the Department Chair.

The College of Education Promotion, Evaluation, and Review Committee is appointed each year by the Dean with respect to achieving a balance of disciplines. Membership on this Committee shall be limited to tenured associate and full professors. The Committee reviews all departmental recommendations for both tenure and promotion. The Committee reports the results of their reviews directly to the Dean. Recommendations are only a part of a larger process in which the Candidates, Departments, Department Chairs, the Dean, the Senior Vice-President for Academic Affairs, the University President, and the Board of Trustees participate.

The Review Committees implement rather than make policy. Deliberations are, therefore, guided by University policies already in place.

TENURE

Eligibility for tenure as defined in the *Faculty Handbook* (Section 3.11)

PROMOTION

Procedures, criteria, and the application of criteria as stipulated in *Faculty Handbook* (Section 3.10)

GENERAL PROCEDURES

Peer review is required in arriving at both tenure and promotion decisions; therefore, each Department is required to indicate explicitly how recommendations evolved during the review process and must communicate these procedures to the Candidates and to the administration.

REVIEW and RECOMMENDATIONS

1. The Candidate for tenure and/or promotion must submit all materials relevant to the tenure and/or promotion decision(s) to the Department Chair
2. The Department Chair, in turn, gives the Candidate's materials and external letters of reference to the Departmental Review Committees.

3. The Departmental Committees review all materials received from the Department Chair relevant to the tenure and/or promotion decision(s) and make their recommendation(s).
4. The Chair of the Departmental Review Committees, returns all materials received from the Department Chair relevant to the tenure and/or promotion decision(s), including a narrative report of the Committee's recommendations signed by all members of the Committee, to the Department Chair.
5. The Department Chair reviews all materials received from the Departmental Review Committees relevant to the tenure and/or promotion decision(s), and forwards these materials including his/her written recommendation(s) to the Dean.
6. The Dean forwards all materials received from the Department Chair relevant to the tenure and/or promotion decision(s) to the College Promotion, Evaluation, and Review Committee.
7. The College Committee reviews all materials received from the Dean relevant to the tenure and/or promotion decision(s), including departmental recommendations, and makes its own recommendation(s) to the Dean.
8. The Chair of the College Review Committee returns all materials received from the Dean relevant to the tenure and/or promotion decision(s) to the Dean, including a written report of the Committee's recommendation(s). The Committee's recommendation(s) shall be signed by all members present for each recommendation. Signing will indicate participation in the voting process and attest to the accuracy of the outcome of the vote tally, including abstentions. Proxy votes are not permitted.
9. The Dean reviews the recommendations of the Departmental Review Committees, the Department Chair, the College Review Committee, and all materials received from the College Review Committee relevant to the tenure and/or promotion decision(s), and forwards these materials including his/her written recommendation(s) to the Senior Vice President for Academic Affairs, who will forward her/his recommendation(s) to the President for review.
10. All submitted materials relevant to tenure and/or promotion will be held until the Board of Trustees takes action on the tenure and/or promotion application(s).

CRITERIA**Tenure**

The review process for awarding tenure is conducted during the faculty member's final year of probationary service. The process begins in the Department and includes administrative and peer recommendations at both the Departmental and College levels. 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). The criteria are the same as for promotion plus the additional important consideration of *collegiality* with the Candidate's department. Absence of evidence and argument to the contrary will be considered evidence of the Candidate's collegiality with the department. The Review Committees require evidence of adequate performance in all areas. To be adequate, the Candidate must provide evidence of creative and scholarly productivity already achieved with evidence of potential for continued achievement in this area.

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). 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 effectiveness*, *professional development*, and *professional service* to the Department, College, University, and where appropriate, the Community.

PRESENTATION OF MATERIAL

The University Guidelines for Promotion/Tenure Portfolio Presentations should be used to organize the Candidate's materials. These guidelines are included in the text of this document (see below in section "Information Required from Candidate").

GENERAL GUIDELINES

The Candidate bears the primary responsibility for the presentation of material in support of tenure and/or promotion. The Departmental Review Committees, Department Chair, College Review Committee, 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.

Submission of Materials

Not later than August 25th of the academic year during which the Candidate will be considered for tenure and/or promotion, the Candidate must submit three items to the Department Chair: (1) a curriculum vitae (see "portfolio," item 3 below); (2) copies of publications, presentations, and/or creative activities; and, (3) a list of appropriate sources for external review. The curriculum vitae and the copies of publications, presentations, and/or creative activities should be in a format that may be easily reviewed by an external reviewer.

EXTERNAL REVIEWS

An external review of the Candidate's scholarship will be included in all tenure and/or promotion applications except that external reviewers are not required for promotion to Senior Instructor. Obtaining the reviews will be the responsibility of the Department Chair in accordance with the following procedures:

LISTS OF APPROPRIATE SOURCES

The Candidate should prepare a list of one or more appropriate sources for external review to be submitted to the Department Chair. 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. This list may contain specific names of people or names of institutions comparable to the University of South Alabama. External reviewers should not normally be a former teacher, nor a personal friend of the Candidate, nor a co-worker in research and publication activities. Candidates should confirm that their nominees are willing to serve as External Reviewers prior to submitting their list to the Chair of the Departmental Review Committee. In addition, Candidates should briefly describe relationships between themselves and the sources on their list of potential External Reviewers.

In addition to the list submitted by the Candidate, a list of appropriate sources for external review must be submitted by the Departmental Review Committees and by their Chairperson.

The Chair of the Departmental Review Committees will select at least one name from each list:

1. from the Candidate's list,
2. from the Departmental Review Committees' list,

3. from the Committee Chair's list, and
4. from the Department Chair's list if one has been submitted.

Additional names may be added from the Candidate's list. The Candidate must be notified of the names of those selected to serve as referees. The external review will then be included in the Candidate's portfolio and will be a component of all levels of the review process.

REQUEST FOR REVIEW BY EXTERNAL REFERENCES

The Chair of the Departmental Review Committees will send a standard letter to the selected sources requesting a review of the Candidate's scholarship credentials. Letters sent to external reviewers should include the following information:

1. Introductory statement about the Candidate and the tenure and/or promotion process at the University of South Alabama (USA).
2. Background information on USA and the College of Education and a brief description of the Candidate's department and its mission.
3. The Candidate's curriculum vitae and other pertinent information from the Candidate's file.
4. Samples of published works or similar evidence of the quality of the Candidate's scholarship. Each evaluator should be provided with the same representative set of the Candidate's scholarly or artistic materials.
5. A request that external reviewers:
 - a. State the nature of their acquaintance with the Candidate;
 - b. An assessment of the significance and quality of the Candidate's scholarly and/or creative works and other professional accomplishments; and
 - c. Comment on the Candidate's recognition or standing among peers and the likelihood that the Candidate will emerge as a scholar whose work is known and respected by leaders in the field.
6. A statement that letters from external reviewers are treated as confidential and that the Candidate will not be shown external letters as part of the promotion and tenure process.
7. The deadline for receipt of the letter from the reviewer.
8. The solicitation letter should be signed by and should request return to the Chair of the Departmental Review Committee.
9. The solicitation letter should not request support for a recommendation of promotion; the evaluator should not be asked to assess whether the Candidate should be promoted (an evaluator may, of course, volunteer such an opinion). The outside evaluation usually focuses on scholarly or artistic achievements and the decision to promote depends on more than these factors.

SUBMISSION OF WRITTEN REPORTS

The Departmental Review Committees shall submit written reports to the Department Chair.

The Department Chair shall submit a written report to the Dean along with the report of the Departmental Review Committees and the Candidate's supporting documents. When the recommendation is submitted to the Dean's Office, one sample of the solicitation letter and a statement describing the qualifications of all those individuals solicited to serve as evaluators, the manner in which they were chosen, the reasons for the choices, the names of those who submitted reviews, and their relationship (if any) with the Candidate.

The Dean shall submit a written report to the Senior Vice President for Academic Affairs along with the reports of the Departmental Review Committees, Department Chair, and College Review Committee, recommendations by External Reviewers, and the Candidate's supporting documents.

INFORMATION REQUIRED FROM CANDIDATE**TENURE**

A Candidate may list materials produced throughout an academic career.

PROMOTION

Candidates should clearly distinguish materials produced before and after the last promotion.

PORTFOLIO

Candidates must submit a *portfolio*, which contains information stipulated in the “Table of Contents” below, and *supplementary materials* on a CD/DVD. A candidate who is applying for both tenure and promotion should submit the same portfolio for both. Candidates should submit one original of the portfolio and one copy of the CD/DVD, and should retain copies of both for themselves.

The Candidate’s portfolio should be organized in a loose-leaf binder, with eight (8) section-tabs, one for each of the 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. Section 8 should contain a pocket into which the CD/DVD of supplementary materials is placed. 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.”

Table of Contents. A paginated table of contents should be the first entry in the portfolio.

1. **Letter of Application.** Candidates must include a letter specifying for what they are applying (tenure and/or promotion) that includes a list of the materials to be found on the Supplemental Materials CD/DVD submitted to the Department Chair.
2. **Letter of Eligibility from the Department Chair.** Include a copy of the letter that specifies whether the Candidate is eligible for tenure or promotion or both. If the Candidate is eligible for promotion, the appropriate rank should be specified. The Dean's office will verify in an accompanying memo to the Promotion and Tenure Committee that the individual is eligible.
3. **Promotion and/or Tenure Criteria.** A copy of the Department or College’s promotion and/or tenure criteria should be included.
4. **Curriculum Vitae** covering the Candidate's entire career (not just since last promotion), including:
 - I. **Biographical Data**
 - A. Name
 - B. Academic Rank
 - C. Date of Appointment to Current Rank at the University of South Alabama
 - D. Reverse Chronology of Academic Appointments at all institutions of higher learning beginning with current academic appointment.
 - E. Educational Credentials
 1. Baccalaureate degree earned, date conferred, granting institution, and area of specialization
 2. Master’s degree earned, date conferred, granting institution, and area of specialization

3. Doctorate earned, date conferred, granting institution, with area of specialization
- F. Professional designations/licenses
- G. Other credit-earning higher education courses completed
- H. Other courses attended for professional development, including course title, date completed, organization/institution conducting course.

II. Self-Evaluation Statement. Include a formal 3 to 5 page statement of the Candidate's professional interests and achievements in:

A. Teaching

The area of teaching effectiveness includes classroom and laboratory performance, academic advising and counseling, availability to students, supervision of students' independent research or study, course and curriculum development, and guest lectures to classes. The statement on teaching effectiveness should include what the Candidate perceives as strengths and weaknesses in the classroom and in working with students. Supporting information concerning teaching could include, for the probationary period or period since the last promotion, courses taught and whether they are required, the number of students in each course, the average number of preparations per semester, and examples of materials such as syllabi and tests, summaries of student opinions of instruction and/or peer evaluation of teaching, and student advising activities.

B. Professional Development

The area of Professional Development includes scholarship in all its manifestations-service on editorial and advisory boards, offices held in professional organizations, participation in professional institutes and workshops, research, publications, exhibitions, performances, professional awards, grants and fellowships, presentations to professional organizations and lecture appointments. The self-evaluation statement should include a summary of research and creative activities, a judgment as to the relative worth of the research or creative product, and, where appropriate, 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.

C. Service

The area of university-related service includes committee and administrative work at any level of the University, assisting in student activities and university-related community and clinical services rendered in a professional capacity. The statement on service should be addressed to the quality of contributions to the University, professional service to the Department, the College, the University, and where appropriate, the Community.

III. Teaching.

- A. List of Undergraduate and Graduate Courses taught at USA and number of students enrolled in each course.
- B. Student Evaluation Summaries, including the Chair's summary, comparative data, and the annual departmental performance evaluation for comparisons.
- C. Academic Advising Assignments/Activities

- D. Supervision of Student Research, including theses, dissertations, and independent research
- E. Guest Lecturer/Presentations
- F. Other appropriate indicators of teaching effectiveness applicable to your field, such as: new courses or academic programs developed since last review; a list of course syllabi developed or substantially revised; a list of representative handouts, audio-visual materials, laboratory experiences/experiments, and/or curricular materials developed; innovative teaching methods devised; contributions to building the library collection in your discipline.

IV. Professional Development.

- A. Publications and Manuscripts Accepted for Publication (include full bibliographic citations, and identify if invited or refereed)
- B. Manuscripts Submitted for Publication (include full bibliographic citations, and identify if invited or refereed)
- C. Grant and Contract Awards/Grant and Contract Submission, including role (e.g., PI, Co-PI, participant, consultant etc) project title, organization making the award, amount of any award, and inclusive dates of grant or contract
- D. Research Activities
- E. Paper Presentations (include full bibliographic citation)
- F. Concerts, recital; art shows, design displays, performances, productions, etc.
- G. Participation in Professional Organizations (e.g., offices held, sessions chaired, etc), indicating national, regional, state, or local organization and dates of service
- H. Professional Activities as advisor, consultant, clinician, workshop leaders, editor, etc.
- I. Honors and Awards earned for professional publications, performances, etc.
- J. Participation in short courses, workshops, etc.

V. Service.

- A. University committees (e.g., Faculty Senate), including committee name, offices held/role, and dates of service
 - B. College (e.g., Promotion and Tenure), including committee name, offices held/role, and dates of service
 - C. Department (e.g., Academic Program), including committee name, offices held/role, and dates of service
 - D. Extracurricular Activities (e.g. Student Organization), including organization name, offices held/role, and dates of service
 - E. University-related community services that involve field of expertise (e.g., advisory board, expert testimony, career, guidance, consultation,
5. **Letters of Support.** Candidates may include statements of support from university and professional colleagues, students, and others who can provide substantive evaluations of the merits of the Candidate's professional activities and achievements.
 6. **Letters from External Reviewers** are to be added by the Department Chair after the Candidate submits the portfolio. Include an explanation for how each external reviewer was selected, describe the relationship between each external reviewer and the candidate, supply a sample of the letter sent to the external reviewers along with the signed original letter of recommendation from the external reviewers.
 7. **Reports** signed by the Departmental Review Committees, Department Chair, College Review Committee, and the Dean are added at appropriate stages after the portfolio is submitted.

- 8. Supplementary Materials.** 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 in support of teaching, research /creative activities, service, and collegiality. The Candidate may submit a hard copy of a book separately.

In addition, Candidates for tenure should include copies of the letters from the Department Mid-Tenure Review Committee and Department Chair, from their Mid-Tenure Review, including the Department Chairperson's written summary.

DEPARTMENTAL REVIEW COMMITTEES

The members of the faculty charged with review and evaluation of their colleagues' applications for tenure and/or promotion are responsible for the strictest professionalism and confidentiality during and after the review process. Department and College Review Committees reach their decisions by discussion and secret written vote concerning each Candidate. *Faculty members who participate in the peer review process at both the department and college level must abstain from voting at the College Committee when one or more Department colleagues are considered.*

The Departmental Tenure Review Committee and the Departmental Promotion Review Committee are actually separate entities (even if there is overlapping membership). With the exception of the review of Candidate's seeking promotion from Instructor to Senior Instructor, membership on the two Department Review Committees is identical and may be combined for the purposes of the reviews under a single Chairperson.

The Departmental Review Committees review all material with the realization that evidence of continuing scholarly/creative productivity as well as teaching effectiveness are typically the essence of all promotion and tenure recommendations. The Departmental Review Committees are expected to distinguish between scholarship and popularization and also between research for scholarly purposes and activity that is essentially service oriented. This distinction requires a careful evaluation by the reviewers of the Candidate's research objectives, contributions, and publications and an evaluation of any published commentaries on the Candidate's work. The Departmental Review Committees 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 Committee.

The Chair of the Departmental Review Committees, on behalf of the Committees, must submit to the Department Chair a narrative letter reporting the sense of the deliberations and the decisions of the Committees (including a tally of all votes as "ayes," "nays," and "abstain") that specifically addresses teaching, research and creative activity, service, and in the case of tenure, collegiality. In the case of split decisions, the recommendations must clearly represent the majority and minority viewpoints. A Department recommendation must include evaluation of this work by the members of the Committee and by recognized experts in the field. A vote is not enough information. Every member of the Departmental Review Committees (whether voting or abstaining), including the Committee Chair, must sign this letter. A minority report may be submitted from any Review Committee. Because the Tenure and Promotion Review Committees are separate, the reports from each Committee (even about the same Candidate) must be kept separate. The Chair of the Departmental Review Committees must complete separate tenure and/or promotion reports, as appropriate, and forward them along with all supporting materials to the Department Chair.

INFORMATION REQUIRED FROM THE DEPARTMENT CHAIR

For each faculty member to be reviewed, the Department Chair prepares a written report covering the following points:

1. Annotated guide to supporting documents.
2. Chair's recommendations (promotion and/ or tenure) and justification for the recommendations. The recommendations should be carefully documented and provide a considered statement assessing the Candidate's strengths and weaknesses in teaching, research and creativity activities, and service and, when appropriate, collegiality. The statement should address all relevant criteria and assess the extent to which the Candidate meets them. If the Chair concurs with the Departmental Review Committees and is willing to vouch for its appropriateness with respect to adherence to relevant procedures and criteria, the peer review evaluation may serve as the "justification" statement.
3. Outside peer review evaluations accompanied by a statement of relationship of reviewers to the applicant and how the reviewers were selected, and a copy of the letter sent to each of the reviewers soliciting their reviews.
4. For each faculty member reviewed, the Department Chair is responsible for organizing and forwarding the portfolio (including letters from external reviewers and the reports of the Committees and the Department Chair) and any supplementary materials to the Dean.

TIMETABLE FOR PROMOTION AND TENURE

- July 1 Candidate notified of eligibility for tenure and/or promotion by the Dean.
- Aug 25 Candidate provides the Department Chair with sample materials describing the Candidate's research performance activities and a list of appropriate sources for external review. Department Chair appoints Chair of Departmental Review Committees and schedules meeting with Dean to review evaluation procedures.
- Sep 1 Lists are provided by the Departmental Review Committees and the Committee Chair. A list may also be provided by the Department Chair. The Chair of the Departmental Review Committees will select one name from each list. Additional names may be selected from the Candidate's list.
- Sep 7 The Chair of the Departmental Review Committees forwards a letter and materials for review to External Reviewers.
- Oct 22 Candidate provides the Department Chair with a complete promotion and/or tenure portfolio along with a CD/DVD containing supplementary materials. The Department Chair forwards the portfolio to the Chair of the Departmental Review Committees, who adds the letters from External Reviewers to the portfolio, and schedules a meeting of the members of the Departmental Review Committees. The Dean appoints the College Review Committee and appoints its Chair.
- Nov 15 Departmental Review Committees complete their evaluations of the portfolio and forward the portfolio and the Committee Chair's written report and recommendations with necessary documentation to the Department Chair.

- Dec 1 Department Chair forwards the portfolio, necessary documentation, the recommendations of the Departmental Review Committees, and the recommendation of the Department Chair to the Dean.
- Dec 8 The Dean charges the College Review Committee and forwards the portfolio, necessary documentation, the recommendation of the Departmental Review Committees, and the recommendation of the Department Chair to the College Review Committee.
- Jan 15 College Review Committee completes its evaluation of the portfolio and forwards the portfolio and the Committee Chair's written report and recommendations with necessary documentation to the Dean.
- Feb 15 The Dean submits a written report with recommendations to the Senior Vice President for Academic Affairs along with the reports of the Departmental Review Committees, Department Chair, and College Review Committee, recommendations by External Reviewers, and the Candidate's supporting documents. **Deadline is Mar 1.**
- Mar/Apr Senior Vice President for Academic Affairs forwards his/her recommendations to the University President who forwards his/her recommendations to the University Board of Trustees.
- Jun University Board of Trustees formally approves those Candidates recommended for promotion and/or tenure. All Candidates are notified of the actions taken by the Board of Trustees.
- Aug 15 Promotions and tenure become effective*.

*A faculty member appointed as instructor may receive a mid-year promotion if the letter of appointment provides for promotion upon completion of the terminal degree; the requirements for the terminal degree are met before Jan 01; and documentation of the completion of the terminal degree is provided to the Senior Vice President of Academic Affairs along with the recommendation for promotion, by Jan 15.

APPEAL PROCEDURES

Any challenge of promotion and/or tenure decisions must proceed according to the University's Grievance Procedure (see *Faculty Handbook*, Section 4.2).

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