

A photograph of a university campus. In the foreground, there is a stone monument with a circular emblem on its base. The background is filled with lush green trees, and a bright sun is shining through the foliage, creating a lens flare effect. The overall scene is bright and serene.

**UNIVERSITY COMMITTEE ON
TENURE AND PROMOTION**

Maximizing the Success of T&P Files from Your Unit

Advice to Unit T&P Chairs

Richard Hunt
USC School of Medicine



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

Electronic Submission

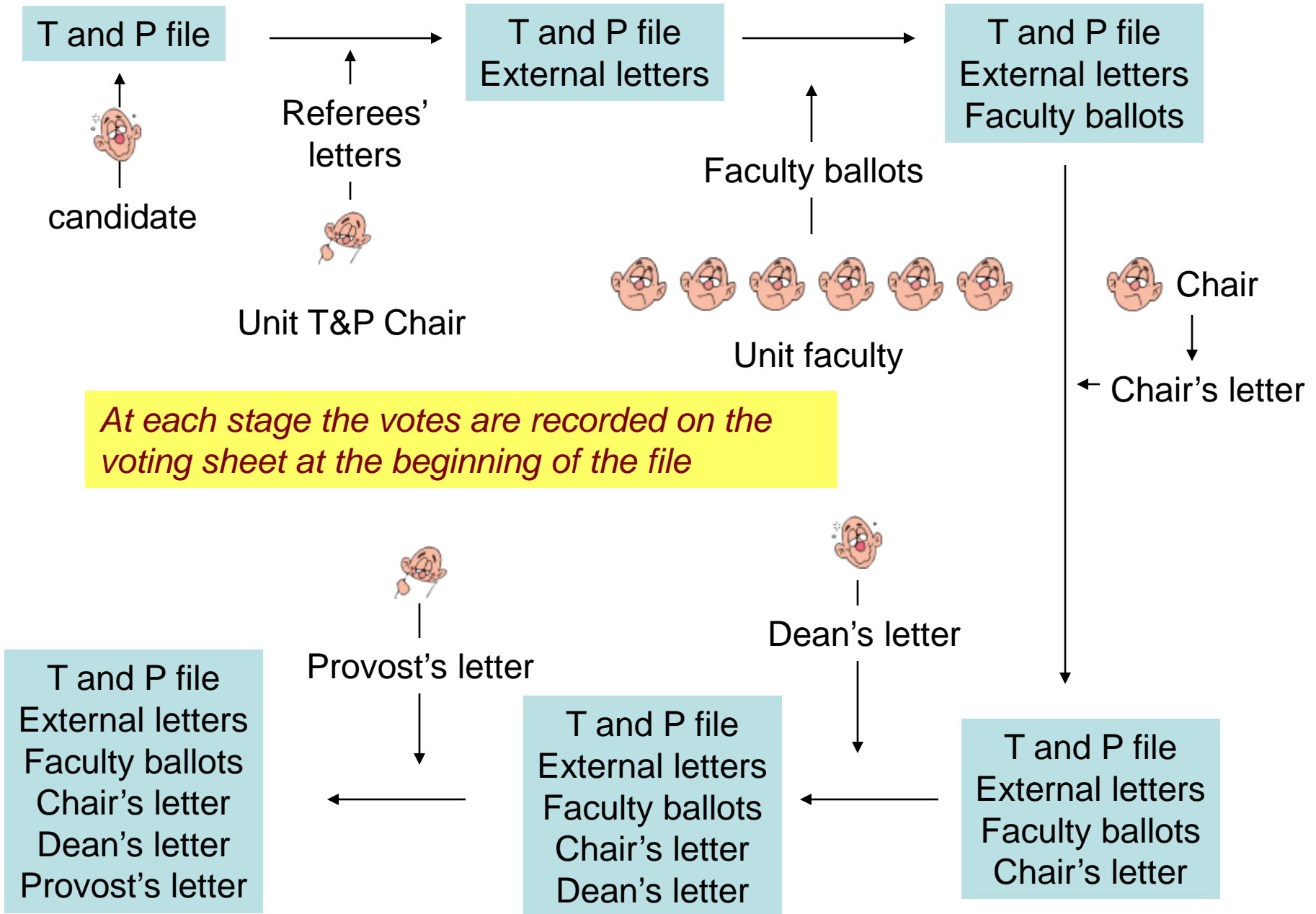
- 2009 Phase 3 (fully electronic submission and processing) – Only College of Engineering & Computing
- All others submit a paper file using phase 2 forms on T and P web site
- 2010 – If all goes well, all units will use phase 3 paperless submission

A photograph of a university campus. In the foreground, there is a stone monument with a circular emblem on its base. The background is filled with lush green trees, and the sun is shining brightly through the foliage, creating a hazy, sun-drenched atmosphere. The overall scene is peaceful and academic.

UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

**What happens to a T and P file
after the candidate has sent it
to the unit T and P chair?**

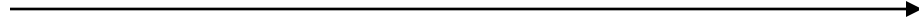
Flow of Tenure and Promotion Files



Now the T and P file is almost complete

T and P file
External letters
Faculty ballots
Chair's letter
Dean's letter
Provost's letter

T and P file
External letters
Faculty ballots
Chair's letter
Dean's letter
Provost's letter
UCTP ballots

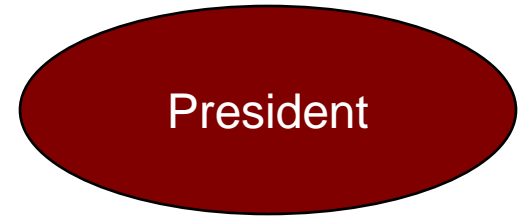
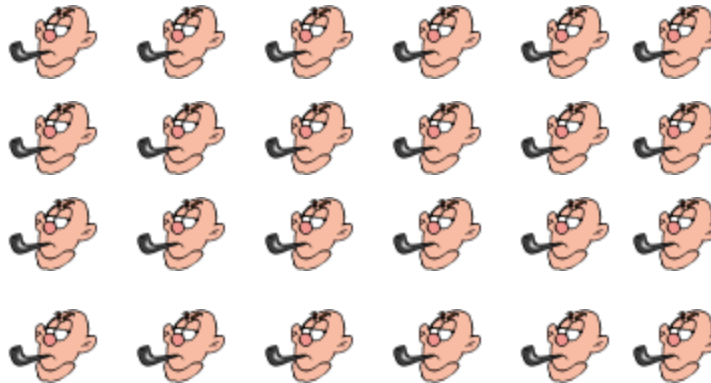


↑
Ballots

↓
Read and discuss every file

University Committee on Tenure and Promotion

24 full professors
from all over USC



Any UCTP member who has voted on a file previously cannot be a party to the UCTP discussion of that file

A photograph of a university campus. In the foreground, there is a stone monument with a circular emblem on its base. The background is filled with lush green trees, and a bright sun is shining through the foliage, creating a lens flare effect. The overall scene is bright and serene.

UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

Function of the UCTP

Ensure that the candidate has been treated fairly in the whole process

i.e. Ensure that the criteria have been fairly applied

We make recommendations to the President

We also scrutinize and approve the units' revised criteria



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

Positives and Negatives of UCTP

• Role of Committee

- Independent review of file merits relative to unit criteria for candidate

• Committee Strengths

- Independent and impartial review minimizes likelihood that rogue elements in process control outcome
- Ability to focus on “difficult” cases and relate the criteria to merits of file and fairness of the process

• Committee Limitations

- Time available to review files
- Difficulty interpreting some unit criteria, especially relative to Faculty Manual requirements
- Assessing quality of external reviews in highly focused research areas



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

What makes a successful T&P file?

- USC values teaching and scholarship
- Service is expected but to a much lesser extent

This is especially the case at the Assistant Professor level

The file needs to make the best case for the retention and/or promotion of the candidate



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

The centrality of the criteria

- The candidate needs to show that he or she has met or exceeded the unit's criteria
- The responsibility rests with the candidate
- **Your unit criteria are central to the whole process**



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

In tenure and promotion decisions, the candidate must meet the unit's criteria but.....

Unit criteria and the procedures used to judge the file **must** conform to:

- The Goldenrod book (UCTP Guide to Criteria and Procedures)
- The Faculty Manual

*If there are discrepancies between the Goldenrod, the criteria and the Faculty Manual
The Faculty Manual rules!*

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Faculty Manual:

The university is committed to achievement in research (including scholarship, visual arts, and performing arts), teaching, and service.

Collectively, the faculty profile of the university and of any academic unit should reflect performance consistent with that of major research universities.

A photograph of a university campus. In the foreground, there is a stone monument with a circular emblem on top. The background is filled with lush green trees and a bright sun filtering through the leaves, creating a soft, hazy atmosphere. The overall scene is peaceful and academic.

UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

MAXIMISING SUCCESS

There is no substitute for a good record in

- Research and Productive Scholarship (may include performance)
- Teaching
- Service

And there is no substitute for a well put together file



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

The Centrality of the Criteria

Suggestion: Read the criteria!

- This needs to be done by everyone who will judge the file
- Especially the candidate and the unit T and P chair!

The candidate will be judged at all levels by how well the criteria have been met

Remember: The first thing that the Provost and UCTP will do will be to read the criteria



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

Which criteria???

Suggestion: Make sure that the correct criteria are used
They will be included at the front of the file and are an **essential** part of it

If you have the wrong criteria, the file is likely be returned

- Delays
- Possibly an extra year
- Bad for the candidate

Remember: The external referees are asked to comment on the candidate's achievements with reference to the criteria
How well does the candidate meet the criteria?
If you send the wrong criteria New Letters!!



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Which criteria???

For tenure and promotion to Associate Professor

Faculty Manual: The criteria in effect when the candidate was hired *must* be used

For promotion independent of tenure e.g. Associate to Full Professor

Faculty Manual: The criteria in effect at the time promotion is sought *must* be used

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Exception:

People hired to the tenure track before January 1, 1995, *may* choose to be considered under pre -1995 criteria

These are associate to full professor promotions

+School of Medicine

Many c

-School of Music



July 2006 Tenure & Promotion Criteria and Procedures



April 1999 Tenure & Promotion Criteria and Procedures



Post-Tenure Criteria and Procedures



UNIVERSITY COMMITTEE ON TENURE AND PROMOTION

How do I determine which criteria were in effect when the candidate was hired?

Suggestion

When a new faculty member is hired to a tenure track position, he/she should get a set of the criteria in effect and keep them!

Dean's offices **cannot** be relied upon to give the correct criteria when a candidate meets the deadline

Look at dates of approval of criteria and compare with hire date



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Suggestion:

Make sure that the criteria were approved by UCTP

- Noted with date on the paper copy
- Check the UCTP web site (presently only the current criteria are there)
- Only criteria approved by UCTP are official criteria and only official criteria may be used
- Unit may have submitted criteria to UCTP before the candidate was hired but they were approved after. These **do not** apply to the candidate!



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When was the candidate hired?

Two important dates:

- January 1 Mid-Year files
- August 16 Regular cycle

Both are submitted at the same time in the early fall but mid-year files are considered in the fall semester by UCTP

Regular cycle files are considered in the spring

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The file

All forms are available on the Tenure and Promotion web site

- Departmental Section - For use by Unit T&P Committee Chairs, Department Chairs and/or Deans
- Candidate:
 - Everyone except Engineering:
PHASE 2 FORMS
- Engineering will use **PHASE 3** electronic submission forms



USC - COLUMBIA

CANDIDATE'S NAME: _____

COLLEGE: _____

DEPARTMENT: _____

ACTION REQUESTED BY CANDIDATE: _____
(I.E., TENURE; PROMOTION TO A GIVEN RANK)

THIS SIGNED SHEET IS TO BE BOUND INTO THE TENURE/PROMOTION

FILE IMMEDIATELY BEFORE "TP-1"

Included inside the front cover of this file is a copy of the unit criteria for tenure and promotion approved by the University Committee on Tenure and Promotion. The candidate's signature below indicates acceptance of these criteria, waiver of any right to the application of other approved unit criteria, and understanding that the criteria herein will serve as the bases for evaluation of the evidence in and accompanying this file. Vote justifications (required) and other recommendations must also be made with reference to these criteria.














Candidate (Signature)

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Candidate may download templates from the web site after using USC Network log-in

The forms should be printed out by the candidate and submitted to the unit T and P chair as a bound file

(Except in some schools such as the SOM where the forms go to the department chair before the T&P chair)

University of South Carolina South Carolina's Flagship University				
TENURE & PROMOTION				
LOGOUT				
TP-Main				
TP #	Name	Updated	Last Update	Templates
TP00	Cover Sheet			
TP01	I.A. Voting Form and Recommendations			
TP02	I.B. Supporting Material Submitted by the Candidate			
TP03	II.A. Curriculum Vitae / Personal Data (History)			
TP04	II.A. Curriculum Vitae / Personal Data (Honors and Awards, Professional Affiliations)			
TP05	II.B.1. Teaching Summary / Courses			
TP06	II.B.2. Teaching Summary / Scholarly and Creative Activities Summary			N/A
TP07	II.B.3. Teaching Summary / Service Activities Summary			
TP08a	II.C. Teaching History / Research Supervision (1) - Post-doctoral Research Programs			
TP08b	II.C. Teaching History / Research Supervision (1) - Supervision of Doctoral Programs			
TP08c	II.C. Teaching History / Research Supervision (1) - Supervision of Masters Research Programs			
TP09	II.C. Teaching History / Research Supervision (1) - Undergraduate Student and Other Research Supervision			
TP10	II.C.2 Teacher Evaluation			
TP11	II.D. Scholarly and Professional Publications (1)			



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Candidate and T&P chair are responsible for the correct assembly of the file

- Correct order of documents (follow numbered sections on web site)
- Correct tabs
- Even if a page is not applicable, it should be inserted and noted as not applicable
- T and P chair adds outside referees letters

- *Make sure that all parts are indeed present in the file*

T and P chair fills in vote record (with explanation of absences) and appends the ballots

VOTES MUST BE JUSTIFIED!



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OUTSIDE REFEREES EVALUATING CANDIDATE'S RECORD

- CANDIDATE MAY SUBMIT A LIST TO YOU
- AT LEAST FIVE – MAY BE MORE
- MAJORITY ***MUST BE*** FROM THE UNIT'S AND NOT FROM THE CANDIDATE'S LIST
- USUALLY TWO ***MAY BE*** FROM LIST GIVEN BY CANDIDATE (***INDICATED IN FILE – LESS WEIGHT***)
- FROM FACULTY AT PEER AND ASPIRANT INSTITUTIONS (***USUALLY***)
- RANK EQUAL TO OR HIGHER THAN THE RANK TO WHICH CANDIDATE ASPIRES
- FROM NATIONAL/INTERNATIONAL RATHER THAN REGIONAL BASE (***USUALLY***)



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OUTSIDE REFEREES EVALUATING CANDIDATE'S RECORD

- ONE PAGE CV OF EACH REFEREE – IF LARGER, PLEASE PUT AT END OF REFEREE LETTERS SECTION (Separated by colored sheets)
- **VERY IMPORTANT:** Persons with close personal or professional ties to the candidate *MUST* not be used as referees.
- Examples: the candidate's dissertation adviser, co-authors, former professors, classmates, or colleagues with whom the candidate served at other institutions.
IF REFEREES ARE TOO CLOSE, THE FILE MAY BE REMANDED BACK
- Referees should be asked to state relationship to candidate



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OUTSIDE REFEREES EVALUATING CANDIDATE'S RECORD

- INSERT A SAMPLE OF THE REQUEST LETTER AT THE APPROPRIATE PLACE IN THE FILE
- PEOPLE OFTEN FOCUS ON THE NEGATIVE:
 - **DO NOT ASK REFEREES TO COMMENT ON THE “STRENGTHS AND WEAKNESSES OF THE CANDIDATE”**
- FACULTY BALLOTS, CHAIRS ETC. SHOULD REBUT ANY NEGATIVE COMMENTS BY REFEREES IF THEY FEEL THEY ARE NOT JUSTIFIED – **IMPORTANT!!!**



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**Remember to send the correct things to outside referees
These may be listed in your criteria**

They usually include:

- Candidate's cv
- Candidate's personal statement
- Samples work by the candidate (papers, books, book chapters, proofs, CD)
- **THE CRITERIA WITH THE LEVELS OF SUCCESS
THAT THE CANDIDATE MUST MEET**



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TEACHING DOCUMENTATION

Summary to be included:

- **MUST BE** A SUMMARY BY SENIOR FACULTY MEMBER WHICH ADDRESSES:
 - THE STUDENT AND FACULTY EVALUATIONS
 - WHERE THE CANDIDATE STANDS IN COMPARISON TO THE FACULTY IN SIMILAR COURSES AND PERHAPS THE DEPARTMENT OR COLLEGE AS A WHOLE – *MAKE SURE YOU IDENTIFY THE GROUP TO WHICH YOU COMPARE THE CANDIDATE*
- SUMMARY SHOULD ASSESS THE TEACHING IN RELATION TO THE CRITERIA – IF YOUR CRITERIA SAY THAT THE CANDIDATE MUST BE SUPERIOR, SAY WHY THE CRITERIA ARE MET OR NOT MET



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IF THERE ARE NUMERICAL RATINGS - EXPLAIN WHAT THEY MEAN

IF YOU THINK STUDENT COMMENTS DO NOT FAIRLY DESCRIBE THE
CANDIDATE: **SAY WHY!** – *High expectations, hard exams, survey course*

COMPARE THE TEACHING LOAD OF CANDIDATE TO OTHERS IN UNIT

IF YOUR UNIT TEACHES PHD STUDENTS, DESCRIBE YOUR EXPECTATIONS
AND WHY THE CANDIDATE MAY DEVIATE FROM EXPECTATIONS
– E.G. NUMBER GRADUATED

INCLUDE A COPY OF THE ASSESSMENT INSTRUMENT GIVEN TO STUDENTS
IN YOUR DEPARTMENT



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The Unit Vote

- Must be justified – but please be concise!
- Ballots must address the criteria using the correct terminology found in the criteria
- Should try to address any perceived weaknesses such as in student evaluations or referees letters
- **Remember:** This file will be read by people *outside* your area and unit:

Ballots should address:

- The unit and discipline culture e.g.
 - Is collaborative work expected?
 - Is teaching of doctoral students expected?
 - Are outside grants expected? Are they difficult to obtain?
 - If so, how big are grants in your area?
 - What are the traditions concerning senior authorship? First author? Last author? Publish with graduate students? Alphabetical listing?



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The number voting

The file *must* be voted on at the unit level by **at least 5 faculty**.

If your unit has fewer than 5 eligible faculty or if less than 5 will be able to vote, you must recruit appropriate faculty from other units to make up a voting total of 5

A photograph of a university campus. In the foreground, there is a stone monument with a circular emblem on its base. The background is filled with lush green trees, and the sun is shining brightly through the foliage, creating a hazy, sun-drenched atmosphere. The text "UNIVERSITY COMMITTEE ON TENURE AND PROMOTION" is overlaid in white, bold, sans-serif font across the middle of the image.

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Organization of the File

To assist reviewers in finding information in the file, please see that tabs are used to identify the material in each section.

The tabs should contain descriptive words, in addition to the section numbers.

The Provost's Office has a model file with such tabs.



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A word about the personal statement:

- It is stated (TP-20) as “optional”. It would be *very unwise* to omit it
- It is the chance for the candidate to explain the case to people who do not know the discipline
- It is a chance to address any perceived potential problems (area traditions etc).
- Perhaps the criteria cannot be met—say why
- Be concise. If you write 20 pages full of differential equations, people’s eyes will glaze over



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PLEASE:

- Do not send in a badly organized file
- Run the spell checker!
- Make sure all parts are there
- Make sure they are in the correct order
- Correct tabs make things easy to find

A photograph of a university campus. In the foreground, there is a stone monument with a circular emblem on its base. The background is filled with lush green trees, and the sun is shining brightly through the foliage, creating a hazy, sun-drenched atmosphere. The overall scene is peaceful and academic.

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REMEMBER:

- This file will be read by people who will be reading about 70 files each of more than 200 pages
- Many people who read these files know nothing about your discipline or research area
- It is up to the candidate to explain why he/she should be promoted and/or tenured

A photograph of a university campus. In the foreground, a stone monument with a circular relief is visible. The background is filled with lush green trees, and the sun is shining brightly through the foliage, creating a lens flare effect. The overall scene is bright and sunny.

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QUESTIONS