TENURE AND PROMOTION PROCEDURES AND CRITERIA FOR THE DEPARTMENT OF EARTH AND OCEAN SCIENCES

Approved by UCTP – December 5, 2012

The Department of Earth and Ocean Sciences (hereafter "Department") has established the following procedures and criteria that will be used in evaluation of a faculty member for promotion and/or tenure. Candidates are also referred to the University of South Carolina Policies and Procedures, the Faculty Manual, and the University Committee on Tenure and Promotion Guide to Criteria and Procedures for further information, including additional procedural guidelines, general qualifications for each rank, and the policy on nepotism. In the event of inconsistency between these unit procedures and criteria and the December 13, 2011 *Faculty Manual*, the *Faculty Manual* is to be considered the final authority.

I. PROCEDURES

A. Right of Faculty for Consideration for Tenure and/or Promotion

In accordance with University regulations, each year all faculty, except tenured full professors, will be considered for tenure or promotion or both, as appropriate. While the administration considers recommendations for tenure and promotion separately, the Department will recommend tenure for assistant professors only if they are also qualified for promotion. Therefore, the Department will consider simultaneously its recommendations for tenure and promotion of assistant professors.

Individuals may waive candidacy for tenure, promotion, or both. However, in order that the senior faculty may monitor the progress of their junior colleagues and formulate constructive criticism to help them achieve their career goals, the Department, in accordance with University policy, requires that a non-tenured faculty member submit a tenure and promotion file for an internal progress review (identical to the Preliminary review specified subsequently in this document) during the third year of service. If the candidate has waived the right to formal consideration for tenure or promotion or both, then an external review of the candidate will not be conducted, even though a Departmental internal review may still be required.

B. Composition of the Tenure and Promotion Committee

The Tenure and Promotion Committee will consist of all the tenured faculty of the Department acting as a committee of the whole. With regard to tenure recommendations, all tenure committee members of rank equal to, or higher than the candidate shall vote by secret ballot. For consideration of promotion, deliberations and voting will be restricted to tenured faculty of rank higher than that of the candidate. The Chair of the Tenure and Promotion Committee shall be a tenured full professor, to be selected by vote of the tenured faculty from candidate(s) nominated by the Department Chair or any member of

the Tenure and Promotion Committee, prior to April 15 each year; however, the Chair of the Department cannot serve as the Chair of the Tenure and Promotion

Committee. The Chair of the Tenure and Promotion Committee may appoint subcommittees to assist in performance of the Committee's work. Where possible, on matters other than consideration of a full professor for tenure or consideration of an associate professor for promotion to full professor, a subcommittee shall include both professors and associate professors. In the event that fewer than five tenured members are eligible to serve on the unit Tenure and Promotion Committee, additional members for the committee with appropriate rank will be selected in consultation with the Department Chair from tenured faculty at the USC Columbia campus.

C. Voting Procedures of the Tenure and Promotion Committee

The Chair of the Tenure and Promotion Committee shall give all appropriate faculty members at least seven days advance notice of any meeting of the Committee. On all procedural questions, a simple majority of members present will be sufficient to decide the issue. For purposes of discussion or procedural action on tenure and promotion matters, a quorum shall constitute 51 percent of all faculty eligible to vote on the matter under consideration. All eligible voters must vote ("yes", "no", or "abstain") on tenure and promotion recommendations. Abstentions will not be counted as either positive or negative votes, and will not be included in the determination of a majority vote. A majority vote will constitute 67% of all eligible voters. Abstentions, eligible faculty who fail to vote and those on leave who elected not to vote do not count as eligible voters.

The Department Chair shall be required to attend all meetings of the Tenure and Promotion Committee and may participate in discussions except when he/she is being considered for tenure and/or promotion. However, since the Chair's opinion is cast in the Chair's recommendation, he/she is not permitted to vote also as a member of the Tenure and Promotion Committee.

D. Timetable for Notification of Candidates Eligible for Tenure and/or Promotion

Each year by the first week in April (regular year) and first week in October (Mid-Year and Promotion to Professor), the Department Chair will (1) notify each untenured faculty member, regardless of rank, and each assistant and associate professor of impending tenure and promotion considerations, and (2) ask the candidates to prepare and submit a resume of professional activities and accomplishments, demonstrating how these satisfy the relevant criteria for tenure and/or promotion in Section II. A copy of such notification will also be sent to the Dean of the College of Arts and Sciences with a request for any information the Dean may wish to provide. The Department Chair will inform candidates of a timetable for submission and preliminary review of their files that is in accord with the University calendar for the Tenure and Promotion process. Should a candidate choose to waive consideration for promotion and/or tenure, the candidate must notify the Department Chair by letter prior to the date for submission of files (with a copy sent to the Chair of the Tenure and Promotion Committee).

E. Determining Criteria to Be Used for Tenure and Promotion Decisions

The Department shall maintain copies of all available versions of the unit criteria, along with a list indicating the date on which each became effective. The Department shall submit copies of all available versions of the unit's criteria and the list to the Provost's Office, which shall maintain a central repository of all available unit criteria, both current and historic. The provost shall maintain both electronic and hard copies of these materials.

At least two weeks before the date when files are due, the Dean and Department Chair shall notify the provost of each faculty member who intends to apply for tenure or promotion, the date on which the faculty member was hired, whether the faculty member has chosen to be considered under the current criteria or the criteria in effect at the time they were hired.

F. Review of Candidate's Tenure and Promotion File

1. Preliminary Review

The candidate shall submit his/her preliminary file to the Chair of the Tenure and Promotion Committee a minimum of three months prior to the submission date of the file as defined by the Provost's Tenure and Promotion calendar. The Tenure and Promotion Committee will study the material received. As a result of this preliminary review, the Committee may conclude that the candidate is not ready for tenure and/or promotion or it may decide to conduct a complete review. The Committee must complete the preliminary review, and the Chair of the Tenure and Promotion Committee, in consultation with the Department Chair, must notify the candidate by letter of the results of that review within two weeks of submission of the preliminary file. The Chair of the Tenure and Promotion Committee shall advise the candidate of the results of the Committee's discussions and the basis for its recommendations without compromising the confidentiality of these discussions. Should the Committee recommend against the candidate applying for tenure and/or promotion on the basis of the preliminary review, the candidate has a period of 7 calendar days after being formally notified of this recommendation during which he/she may request, in writing to the Chair of the Committee, a complete review. If so requested, the Committee will then proceed with a complete review.

2. Complete Review

a. External Reviewers. At least five evaluations of the candidate's research and scholarship must be obtained from 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 a 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. All evaluators must be asked to disclose any relationship or interaction with the applicant. The external reviewers will be selected by the members of Tenure and Promotion Committee. In instances of Faculty who hold Joint Appointments, each secondary unit must be provided with an opportunity to propose outside evaluators and to comment on evaluators proposed by the Department. At least one evaluator must be nominated and approved by each secondary unit.

It shall be the duty of the Chair of the Tenure and Promotion Committee to solicit these letters. Reviewers should be contacted 90 days prior to the submission date of the file to ensure their willingness to participate in the review. Each evaluator should be provided with a letter requesting the evaluation and informing the evaluator of the unit's relevant criteria for tenure or promotion. All external reviewers will be sent full versions of the candidate's file, excluding individual student teaching evaluations if these were included by the candidate. The evaluator will be asked to evaluate the quality of the research and scholarship, including the quality of publication venues. Where appropriate, the evaluator will be asked to evaluate the quantity of the candidate's research and scholarship. The complete criteria for tenure at associate professor and/or promotion to associate professor and promotion to full professor or tenure at the professorial rank are listed in Section II of this document. The external reviews will be included in the candidate's file. Within the legal limits, the names of all external reviewers shall not be revealed to the candidate.

A summary of the professional qualifications of each outside evaluator or a copy of each evaluator's curriculum vita must be included in the file, along with a copy of the letter sent to the evaluator.

b. Review by the Members of the Tenure and Promotion Committee. Following receipt of the complete set of external reviews, the members of the Tenure and Promotion Committee will have a period of at least one week in which to review the file of each candidate under consideration. Only faculty members eligible to vote or provide input on any Tenure and Promotion action shall have access to all portions of that file.

At a meeting approximately one week before the files are to be submitted to the Dean, the Committee will meet and discuss each candidate's file separately. Ballots will be distributed at this meeting. After this meeting, Committee Members will have three days in which to submit their vote by secret ballot on all required decisions. Each decision requires a separate ballot for each voting faculty member.

In accordance with University regulations, all ballots must contain a written justification of the vote. The voting privileges of faculty who are unable to be present at the committee meetings are defined below. The Chair of the Department Tenure and Promotion Committee shall collect the ballots and record the vote. This information will be placed in the candidate's file and the file forwarded to the Department Chair with the recommendations of the Tenure and Promotion Committee.

c. Voting Privilege of Faculty Who are Unable to Be Present at Committee Meetings. Any faculty member who will be on leave during the proceedings of the Tenure and Promotion Committee and who notifies the Department Chair about the desire to vote before the beginning of the leave may

request access to a complete copy of the candidate's file. If appropriate, ballots identical in nature to those used by other members of the Tenure and Promotion Committee at the preliminary review and the complete review will also be provided. The faculty member on sabbatical leave may respond in writing in any manner he/she wishes. That member may vote and will be counted as part of the voting faculty providing the member's written ballot is received prior to the deadline set by the Chair of the Tenure and Promotion Committee. If the member on sabbatical does not wish to vote or if that member's vote is not available by the deadline, then that member will not be counted among the faculty eligible to vote. For any other faculty member who must be absent from a Tenure and Promotion Committee meeting for a legitimate reason, a ballot identical in nature to those used by other members of the Tenure and Promotion Committee will be provided for his/her use. All ballots submitted by absent faculty members must be provided to the Chair of the Tenure and Promotion Committee, who will include them with all other ballots. Any ballot from an absent faculty member (other than one on sabbatical leave) received after the published voting deadline will be counted as an abstention. In no case will an oral vote be counted.

G. Action Following Vote by Tenure and Promotion Committee

The Tenure and Promotion Committee Chair shall inform the candidate by letter of the action of the Committee. In the case of a decision not to recommend tenure and/or promotion, the Tenure and Promotion Committee Chair will review with the candidate the reasons for this decision and provide the candidate with a written summary of the discussion by the tenured faculty and will provide specific constructive suggestions for improvement of the candidate's performance when appropriate. At this point, the candidate may request in writing that his/her complete file be forwarded through administrative channels even though it lacks the positive recommendation of the Tenure and Promotion Committee. In the case of a favorable vote from the Tenure and Promotion Committee or an appeal by the candidate of an unfavorable vote of same, the Tenure and Promotion Committee Chair will forward the file to the Department Chair.

The Department Chair shall forward the recommendations of the Tenure and Promotion Committee to the Dean. The Chair will report to the Dean the results of the vote, including the total number of faculty eligible to vote, and will explain the absence of votes from any eligible faculty members due to sabbatical leave or other excused absence. The Chair will also include his/her own recommendation. The Department Chair will forward to the Dean a list of those faculty members who decline candidacy for tenure and/or promotion. Individuals not recommended for tenure and/or promotion, except those in their final year of evaluation or already notified of termination, will be reviewed in subsequent years without prejudice. For a probationary appointment, the final year of evaluation is defined as the year immediately preceding the final year of the appointment.

H. Procedures for Faculty Holding Joint Appointments with a Secondary Unit

The Department supports and participates in ventures that include Jointly

Appointed Faculty. All scholarly, teaching and service work carried out by these faculty members in their secondary unit are fully recognized for tenure and promotion within the Department, as per the Individual Memorandum of Understanding (MOU) between the primary and secondary units. This MOU must delineate the duties and responsibilities of the faculty within those two units, as discussed in the *Faculty Manual.* For faculty with Joint Appointments under consideration for tenure and/or promotion, the Tenure and Promotion Committee Chair must also request a letter from secondary unit Chairs or Directors that addresses the faculty member's teaching and service contributions to the secondary unit for inclusion in the main body of the Tenure and Promotion file. The Department must make the candidate's file available to eligible faculty of each secondary unit; and obtain formal input from the eligible faculty of each secondary unit and place it in the candidate's file at least five working days prior to the Department's vote on the nomination package.

I. Procedures for inclusion of Peer Review of Teaching Reports

For the purposes of this document, a faculty "peer" is any faculty member at the University of South Carolina-Columbia who holds a terminal degree in their field and holds tenure in their unit. A "Peer Review of Teaching" may be conducted by any faculty peer of equal or higher rank than the faculty member under review. Only Peer Reviews conducted at the request of the Department Chair of the tenure-granting unit or the Chair or Director of the department/program in which a course is being taught may be included in the file.

J. Movement of Faculty between Tenure and Non-tenure Tracks

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. For purposes of this section, a tenure-track faculty member who achieves tenure is referred to as a tenured faculty member. See also University Policy ACAF 1.18 Change of Status to and from Tenure-Track Faculty.

K. Tenure on Appointment

Candidates for faculty appointments may be recommended for tenure on appointment by a favorable vote of the tenured faculty of equal or higher rank in the unit. Because consistency and durability of performance are relevant factors in evaluating faculty for tenure; the length of service which a faculty member has completed in a given rank is a valid consideration in formulating a tenure recommendation. The secondary unit would participate in the same manner in which they would on a tenure decision for a current faculty member.

II. CRITERIA

A. Tenure at Associate Professor and/or Promotion to Associate Professor

1. General

The Department is striving to enhance its national and international reputation in research. Therefore, it is essential that research excellence in junior faculty be stressed. In consideration for tenure and/or promotion to associate professor, greater weight must be assigned to the research record of the faculty member relative to teaching or service. The candidate for tenure and/or promotion should demonstrate evidence of excellence in research, accompanied by a good record in teaching and service, and evidence of progress toward establishing a national or international reputation in the field. Tenure at any rank requires evidence of consistency and durability of performance.

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. 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 the University of South Carolina. Faculty members appointed at the rank of associate professor or 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 third year at the University of South Carolina. There is no difference between the standards applied to faculty who apply for tenure in the penultimate year of the probationary period and those who apply for tenure prior to the penultimate year. Evaluation will be based on the candidate's entire professional record but will emphasize performance since being hired at USC as a tenure track faculty member.

2. Research and Productive Scholarship

Knowledge is generated through original research and productive scholarship. Original research is defined as expanding the understanding of nature through observation and experimentation. Productive scholarship is defined as the systemization of knowledge and the construction of theory. Candidates for tenure and/or promotion to associate professor in the Department are expected to be skilled as researchers and productive scholars. The candidate must demonstrate a commitment to continued scholarship as evidenced by a research program that is based on the candidate's own initiative and that has advanced significantly beyond, or is independent of, dissertation and postdoctoral research accomplishments. Excellence in research and productive scholarship is measured by the contribution made to the body of scientific knowledge and is defined as meeting the following required criteria.

Required Criteria:

1. The candidate must present a record of original research or scholarship in recognized, peer-reviewed publications of national or international scope. Evaluation will be based on the candidate's entire professional record but will emphasize performance since being hired at USC as a tenure track faculty member. Most importantly, the research publication record will be judged by quality, and not necessarily on the number of articles. An average publication rate of two or more peer-reviewed publications per year over the previous five years is encouraged for candidates for tenure and/or promotion to associate professor, with the understanding that this may vary by discipline. A minimum publication rate of one peer-reviewed publication per year is acceptable if the external reviewers judge the quality of the publications as sufficiently high.
2. There must be an independent assessment of the significance and quality of the published research. This is obtained through external peer review letters. The overall external review must be construed as positive. Other relevant information may supplement this assessment.
3. The candidate must demonstrate the ability to sustain a high quality research program. Research programs require effective management, appropriate personnel and material resources. While these factors may vary depending upon the nature of the research, a record of consistently securing funding through external grants or contracts from government, industrial, or private sources, in amounts sufficient to support the faculty member's research activities is expected.

Additional, but not requisite, evidence of research and scholarly activity:

1. Publications in books and articles in regional journals, proceedings of meetings or elsewhere, as well as maps and field guides.
2. Presentations at scientific or professional meetings, and the publication of abstracts and reports.
3. Presentation of research seminars,
4. Research-related activities such as reviewing grants, refereeing papers, organizing symposia, etc.
5. Editorships of journals, participation in steering committees and/or review panels of national or international scientific organizations, societies, or funding agencies, and other activities that are evidence of a respected research program.
6. Supervision of graduate students in research-related activities as PhD dissertation advisor and/or MS thesis advisor, or supervision of post-doctoral fellows.

3. Teaching and Educational Activity

The transmission of knowledge in a university is accomplished through formal teaching and other means of communication. Candidates for tenure and/or promotion to associate professor are expected to have taught effectively in at least two of these three instructional areas: 1) Introductory courses (100-200

level); 2) Courses for undergraduate science majors (300-600 level); and 3) Courses for graduate students (500-800 level). Both peer and student evaluations must be considered in the evaluation of teaching. A good record of teaching is defined as meeting the following required criteria.

Required Criteria:

1. Evaluation of Teaching. Procedures for the evaluation of classroom teaching must require peer and student evaluations, conducted periodically throughout the faculty member's tenure-track or tenured appointment at the university. The Chair of the Department Tenure and Promotion Committee shall provide a summary and evaluation of the faculty member's classroom teaching, based on clearly specified criteria, which must be included in the faculty member's promotion and/or tenure file. This summary should give context to student evaluations of the faculty member's classroom teaching by noting, e.g., whether evaluations of a particular class historically have been low; in a multi-section course, how the faculty member's evaluation scores compare with those in the other sections; or whether poor evaluation scores are correlated to a faculty member's strict grading standards. Continued efforts to improve teaching effectiveness are essential.
2. Candidates must be effectively involved in student research training (at any level).

Additional but not requisite, evidence of instruction-related activity include:

1. Participation in course organization and curriculum development.
2. Organization of programs to improve the quality of undergraduate and/or graduate instruction, particularly when externally funded.
3. Authorship or development of instructional books, manuals, audio/visual aids, Internet-based and/or computer-based instructional materials, etc.
4. Membership on MS thesis and PhD dissertation committees.
5. Organization of and/or participation in formal and informal departmental seminars, student clubs or field trips, etc.
6. Direction of undergraduate independent study, senior thesis, or research.
7. Organization of and/or participation in outreach efforts.
8. Contributions to the South Carolina Honors College educational activities.

4. Service

Certain administrative and community service functions are essential in any academic setting. Faculty are expected to have a good service record, that is, to serve effectively in these activities as necessary and as requested. Among these activities are service on departmental and/or secondary unit college and University committees, service on the faculty senate, participation in student

advisement, presentation of professional talks and other services in the community. While these activities are of secondary importance in the overall performance of junior faculty, willing and effective service contributes to a positive recommendation for tenure and/or promotion.

B. Promotion to Full Professor or Tenure at the Professorial Rank

1. General

The rank of professor in the Department is awarded to those faculty who have achieved academic stature and accomplishment worthy of general acknowledgment among professional peers at the national and international level. A professor is expected to have the respect of colleagues in a specific discipline and to be an active leader in his/her field of research. The full professor, by virtue of his/her experience and skill, will be evaluated on the basis of a combined record in the areas of research accomplishment, teaching effectiveness and service performance. The candidate must demonstrate evidence of excellence in research and teaching, accompanied by evidence of national or international stature in a field. His/her performance in service must be at least good. Evaluation of the candidate will be on the entire professional record, but will emphasize performance since promotion to (or appointment at) associate professor.

2. Research and Productive Scholarship

The candidate for promotion to full professor is expected to demonstrate excellence in research and productive scholarship by meeting the following criteria:

1. The candidate must present a record of original research or scholarship in recognized, peer-reviewed publications of national or international scope. An average publication rate of two or more peer-reviewed publications per year over the previous five years is encouraged for candidates for tenure at and/or promotion to full professor, with the understanding this may vary by discipline. Most importantly, the research publication record will be judged by quality, and not necessarily on the number of articles. A minimum publication rate of one peer-reviewed publication per year is acceptable if the external reviewers rate the publication quality as sufficiently high.
2. There must be an independent assessment of the significance and quality of the published research. This is obtained through external peer review letters. The overall external review must be construed as positive. Other relevant information may supplement this assessment.
3. The candidate must demonstrate the ability to sustain a high quality externally-funded research program. Evidence should include a continuous, consistent, record of seeking and obtaining external funding in amounts sufficient to support the faculty member's research activities.

Additionally, the candidate is expected to have attained national and/or international recognition and a favorable reputation among peers within a special area of research and scholarship. From among the following evidences of

research recognition, at least three should be offered by the candidate. Other evidences may also be provided.

1. Invitations to present special seminars, lectures or addresses.
2. Invitations to contribute to symposia.
3. Authorship of review articles.
4. Authorship and/or editorship of books or monographs.
5. Invitations to referee or review professional literature or grant proposals.
6. Awards or special recognition for research accomplishments.
7. Receipt of career development awards, senior faculty fellowships or grants.
8. Invitations to serve on grant review panels.
9. Supervision of post-doctoral fellows.

3. Teaching and Educational Activity

Attainment of full professor rank assumes evidence of excellence in teaching at the university level. Candidates for promotion to full professor are expected to have taught effectively in at least two of these three instructional areas: 1) Introductory courses (100-200 level); 2) Courses for undergraduate science majors (300-600 level); and 3) Courses for graduate students (500-800 level). Both peer and student evaluations must be considered in the evaluation of teaching. In order to demonstrate excellence in teaching, the candidate must offer evidence of at least three of the following, or similar, achievements:

1. Evaluation by current and former students. Letters from former students and teaching portfolios may be used as evidence. Student evaluation of teaching should be considered relative to other courses of similar size, level, and audience taught by other departmental faculty.
2. Evaluation by faculty peers. Demonstration of teaching effectiveness via regular review by faculty of equal or higher rank.
3. A consistent record of successfully directing graduate students, particularly at the Ph.D. level.
4. Development of textbooks or other published instructional materials, Internet-based and/or computer-based instructional materials.
5. A consistent record of successfully directing undergraduate student research.
6. Organization of training programs to improve the quality of K-12 teaching, particularly when externally funded.
7. Organization of programs to improve the quality of undergraduate and/or graduate instruction, particularly when externally funded.
8. Receipt of awards or recognition for teaching excellence.

4. Service

The senior faculty membership is expected to provide leadership through service within the university, the state and local community, and the scientific community at large. The candidate for promotion to professorial rank should present a record of service that demonstrates a willingness and ability to consistently and effectively contribute expertise in the university, community and scientific realms. Appropriate examples of good service commensurate with professorial rank are:

Within the University...

1. Appointments or elections to chair or other offices of university-wide committees or service in the Faculty Senate.
2. Active leadership within the department and/or secondary unit such as heading search committees, engaging in special projects, undertaking administrative functions, organizing professional meetings, and conducting in-depth studies.
3. Appointment to and effective performance in both compensated and non compensated administrative posts within the department, college or university. However, in no instance will promotion to full professorship be based primarily upon administrative service or position.

Within the community...

1. Service on public advisory panels, boards or workshops.
2. Election to office or other special recognition by civic organizations.
3. Consulting service, whether compensated or not.
4. Professional service to media as a scientific consultant, or broadcast or telecast participant.
5. Public educational activities.

Within the scientific community...

1. Editorship of journals.
2. Officerships in professional organizations.
3. Service on grant panels or editorial review boards.
4. Organization of symposia, conferences, etc.
5. Consultation.

Approved by the tenured faculty of the
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