

Promotion and Tenure: Criteria and Procedures

*Department of Educational Leadership and Policies
College of Education*

OVERVIEW

Four criteria will be considered by the Department of Educational Leadership and Policies in decisions regarding promotion. These criteria are 1) time in rank, 2) teaching, 3) scholarship, and 4) professional service - both within and outside the University. A fifth criterion, overall contributions and commitment to the Department and its students, will be included when making tenure decisions.

Promotion Criteria

Faculty members in tenure-track positions must hold an earned doctorate in education or a field supportive of education. In addition, to be considered for promotion, a faculty member must have been in a tenure-track position in the Department for a minimum of four years before applying. Time served in a visiting role normally will not count as time in rank. However, time in service at another institution may be credited.

Performance standards to be met or exceeded for promotion are described below.

Promotion to Associate Professor: Criteria

For promotion to the rank of associate professor, a candidate must:

- 1) be at least in his or her fifth year at USC and
- 2) have a record of effective performance in teaching, scholarship, and service and demonstrate strong potential for further development as a teacher and scholar.

Scholarship

The discipline of educational leadership has adopted the view that contributions faculty members make to knowledge and practice take precedence over whether or not a particular piece of scholarship is published in any particular journal. The ultimate criterion for judging the value of scholarship is the extent to which a particular idea or concept is put into practice. Therefore, in addition to publications in refereed journals, the Department values publications in significant (as measured by the number and status of the readers) non-refereed journals in educational leadership. This is not to suggest that the Department attaches equal value to all publications. Published articles are stronger evidence of scholarship than are submitted manuscripts or presented papers. Books favorably reviewed are stronger evidence than are books simply written.

To demonstrate effective performance in scholarship, faculty members seeking promotion to associate professor must have a continuing and regular history of:

1. publications in professional journals, and
2. professional papers delivered at state, national, and/or international conferences in the field.

In addition to publications and professional presentations, the candidate's file must document evidence of at least one of the following:

3. books, contributions to books or monographs published by major national or international publishers, professional associations or governmental agencies, or
4. funded grants of financial and/or professional consequence of which the candidate is principal or co-principal investigator.

Teaching

Candidates seeking promotion to associate professor must have a record of effective performance in teaching, advisement, and dissertation direction. The candidate must:

1. generally perform at or above the College mean on College-prepared student evaluations,
2. receive positive evaluations on the majority of peer observations required by the Department,
3. receive positive evaluations from a majority of former students randomly surveyed by the Department (At least 10 student evaluations must be received.),
4. receive a majority of positive evaluations from former doctoral students for whom the candidate served as chair, and
5. serve as the major advisor for students at the masters, educational specialist and/or doctoral degree levels.

Service

Candidates seeking promotion to associate professor must have a record of effective professional service. The candidate might include documentation that he or she has:

1. been an active member of professional associations or organizations germane to the candidate's field of study,
2. conducted workshops or seminars,
3. served as a member of an editorial board for a professional journal,
4. served as a member of or consultant to a task force, committee or commission, and/or
5. conducted studies and/or prepared technical reports for professional, governmental or other agencies associated with his or her field.

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Promotion to Full Professor

For promotion to the rank of professor, a candidate must:

1. have at least nine years of effective and relevant service or be at least in his or her fifth year at USC at the rank of associate professor, and
2. have a record of outstanding performance normally involving both teaching and scholarship.

Although the entire files of candidates seeking promotion to full professor will be reviewed, major emphasis will be placed on the candidate's performance since he or she was tenured and/or promoted.

Scholarship

The discipline of educational leadership has adopted the view that contributions faculty members make to knowledge and practice take precedence over whether or not a particular piece of scholarship is published in any particular journal. The ultimate criterion for judging the value of scholarship is the extent to which a particular idea or concept is put into practice. Therefore, in addition to publications in refereed journals, the Department values publications in significant (as measured by the number and status of the readers) non-refereed journals in educational leadership. This is not to suggest that the Department attaches equal value to all publications. Published articles are stronger evidence of scholarship than are submitted manuscripts or presented papers. Books favorably reviewed are stronger evidence than are books simply written.

Faculty members seeking promotion to the rank of professor must have a record of outstanding performance in scholarship. Candidates must:

1. serve as principal investigators of research studies or other funded projects or secure funding needed to advance their areas of interest,
2. publish books with quality publishing companies,
3. publish a series of papers or articles on a single topic or issue in high quality journals, and
4. be recognized as leaders in their field of expertise (e.g., being cited by others, being invited to contribute manuscripts or to make professional presentations).

Teaching

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Candidates seeking promotion to professor must have a record of outstanding performance in teaching, advisement, and dissertation direction. The candidate must:

1. consistently perform at or above the College mean on College-prepared student evaluations,
2. receive positive evaluations from faculty members the candidate has mentored (if the candidate has served as a mentor),
3. receive overall positive evaluations from former students randomly surveyed by the Department (At least 10 student evaluations must be received),
4. receive overall positive evaluations from former doctoral students whose committees the candidate has chaired, and
5. serve as the major advisor for students at the masters, educational specialist, and/or doctoral degree levels.

Service

Candidates seeking promotion to professor must have a record of leadership in providing professional service. The candidate might include documentation that he or she has:

1. recently served as an officer or in other leadership roles (task force chair, standing committee chair, etc) in professional organizations in the candidate's field,
2. recently served as an editor of a professional journal,
3. regularly conducted studies and/or prepared technical reports for professional, governmental or other agencies associated with the candidate's field, and/or
4. provided extensive, long-term consultative services to selected organizations, institutions, and agencies.

Tenure Criteria

For tenure at the rank of associate professor or professor, a candidate must:

1. be in at least his or her fifth year at USC,
2. meet fully the expectations established for scholarship, teaching, and service at the rank of associate professor or professor as described in the "Promotion Criteria" section of this document, and
3. show evidence of continuous and positive contributions and commitment to the University, Department and its students.

Procedures

Notification, Eligibility and Application for Tenure and/or Promotion

Each year all non-tenured, but tenure-track, faculty members of the Department of Educational Leadership and Policies shall be eligible for tenure, and all faculty members below the rank of full professor shall be eligible for promotion.

Faculty members contemplating applying for either tenure or promotion are encouraged to notify and meet with the Chairperson of the Departmental Tenure and Promotion Committee as soon as possible (even as early as a semester or two before they plan to apply for tenure and/or promotion). In this way, useful information can be given to the prospective candidate that may aid in the decision to apply and/or in the preparation of materials.

Each year the Department Chairperson shall notify each faculty member eligible for promotion or tenure asking if he or she wishes to be considered for tenure or promotion. The notification shall be in writing and shall specify the date by which the faculty members are expected to respond.

All faculty members eligible for tenure or promotion must notify the Department Chairperson in writing of their intention by the specified date.

Faculty members intending to apply for promotion or tenure will receive a copy of the forms and of the time line of activities and decisions from the Chair of the departmental Tenure and Promotion Committee. Deadlines included in the time line will be strictly followed.

Faculty members intending to apply for promotion or tenure will adhere to the process and time line published by the Provost's office. In preparing the tenure and promotion file, the candidate shall organize evidence in reverse chronological order to the extent possible.

Tenure and Promotion File

Faculty members being considered for promotion and/or tenure are responsible for furnishing the Chairperson of the Tenure and Promotion Committee (or his or her designee) a complete vita and appropriate evidence of contributions relative to each of the departmental tenure and promotion criteria. In addition, the candidate will include his or her departmental annual performance evaluation letter for at least each of the past four years.

It is the candidate's responsibility to be aware of and to use University policies, procedures, and forms and documentation governing tenure and promotion at the University.

A faculty member applying simultaneously for promotion to and tenure at a rank must have met fully the standards for both promotion and tenure of the rank sought.

Requirements Related to Documentation for Promotion to Associate or Full Professor

Scholarship Documentation

Candidates' files will provide evidence to the Departmental Tenure and Promotion committee to substantiate that the candidate has met the criteria under scholarship for promotion to associate or full professor. In addition, the T&P Chair will seek written statements from at least five outside referees knowledgeable of the candidate's scholarly field. Letters from these referees will be added to the candidate's file. Candidates are to submit names, mailing addresses, and telephone numbers of at least five(5) potential referees to the Chairperson of the Departmental Tenure and Promotion Committee. The Chairperson of the Tenure and Promotion Committee will then solicit letters of support from two (2) of the five (5) referees recommended by the faculty member. In addition, the T&P Chair, in consultation with the tenured full professors of the Department, will seek at least three (3) additional outside referees who are knowledgeable in the candidate's area(s) of expertise. Outside referees should be persons who have had no current or previous professional relationship or personal knowledge of the candidate. For example, dissertation advisors, co-authors, and co-principal investigators should be eliminated from consideration.

Teaching Documentation

As part of providing evidence to the Departmental Tenure and Promotion Committee on the extent and quality of a candidate's teaching, the Department will provide summaries of College-prepared student evaluations for all courses taught by the candidate while at his or her current rank. If College- prepared student evaluations are not available, the candidate will provide an explanation as to why formal evaluations were not done. For courses for which college-prepared summaries are not provided, the candidate should provide summaries of student responses to a department-approved evaluation instrument. In addition, the candidate will provide the T&P Chair with a list of students enrolled in his or her courses for the past three academic years. From these lists, the Chair of the T&P Committee will select at least 25 students at random and write each requesting them to complete a form evaluating the candidate's teaching effectiveness. The T & P Chair will continue to solicit student responses until at least 10 evaluations have been received. In addition, candidates will provide the T&P Chair with a list of all doctoral graduates for which the candidate has served as major advisor at USC or at another institution. The T & P chair will write to each of the students and ask them to complete a form evaluating the quality of the candidate's doctoral advisement and dissertation direction.

The Department requires each first-year faculty member to be observed by a tenured faculty member at least twice during his or her first year. The reports of these observations must be included in the file of candidates seeking promotion to associate professor. Candidates seeking promotion to full professor must

include letters from faculty they have mentored. To document advisement and dissertation direction, the candidate should include in his or her tenure and promotion file a list of 1) graduates of the masters and educational specialists programs for which the candidate was the major advisor; 2) doctoral graduates, their dissertation titles, and dates of graduation for which the candidate was the major advisor; and 3) students on whose doctoral committees the candidate has served.

Service Documentation

Candidates' files will provide evidence to substantiate that the candidate has met the criteria for service for promotion to associate of full professor. In addition, candidates' files will contain written statements from five referees knowledgeable of the candidate's service. Candidates are to submit names, mailing addresses, and telephone numbers of the five (5) potential service referees to the Chairperson of the Departmental Tenure and Promotion Committee. The T&P Chair will contact the five potential service referees and ask that each address in writing the candidate's service accomplishments.

Requirements Related to Documentation for Tenure

Candidates applying for tenure will provide evidence related to scholarship, teaching, and service required for promotion. In addition, however, they will also provide evidence of continuous and positive contributions and commitment to the Department and its students. To this end, the candidate will provide: 1) a list of departmental committees on which the candidate has actively served and the role the candidate assumed on each committee, and 2) a detailed statement by the candidate of his or her contributions to the various levels of the Department.

Departmental Tenure and Promotion Committee

All tenured members of the Department (with the exception of the Department Chair) comprise the Tenured Faculty (Committee of the Whole). Emeritus faculty are not considered tenured members of the Department. A chairperson and a chairperson elect, elected by the tenured professors, will serve as officers of the Tenured Faculty. Both officers will be full professors. The chairperson-elect will serve a one-year term in that office and subsequently a one-year term as chairperson.

Tenured associate and tenured full professors review and vote on candidates applying for promotion and/or tenure at the rank of associate professor. Tenured full professors review and vote on candidates applying for promotion and/or tenure at any rank.

A faculty member on leave who desires to vote must notify the T & P Chair of his or her desire to do so at least two weeks prior to the vote.

Committee Membership Responsibilities, Including the T&P Chair

Each member of the Tenured Faculty who is eligible to vote on a candidate will review all evidence submitted by the candidate. Based on this evidence, each eligible Tenured Faculty member will assess each candidate's performance relative to each of the criteria established in the "Promotion Criteria" and/or "Tenure Criteria" sections of this document. The assessment is to be based on the match between the evidence submitted by the candidate and the expectations established by the Tenured Faculty for promotion to or tenure at the rank to which the candidate is aspiring.

Each faculty member eligible to vote on a candidate's tenure and/or promotion shall in writing on a form prescribed by the Departmental Tenure and Promotion Committee tentatively indicate whether the candidate has met the prescribed criteria, provide a summative assessment of whether the candidate should be promoted and/or tenured, and provide a rationale for that assessment.

The Chairperson of the Committee will prepare a summary of the tentative assessments conducted by the members of the Tenure and Promotion Committee for each candidate and call a meeting of the Tenured Faculty. At that meeting, the members of the Tenured Faculty eligible to vote on a candidate will have an opportunity to discuss the candidate's file. This meeting may have two sub-components. Sub-component one will include the entire committee on applications for tenure and/or promotion to the rank of associate professor. Sub-component two will include only the tenured full professors of the department when the candidate is applying for promotion and/or tenure at the rank of full professor.

Subsequent to that meeting, each faculty member will complete and return to the T&P Chair a final, formal written ballot for each candidate on which she or he is eligible to vote. If the candidate is seeking tenure and promotion, two separate ballots will be used. Faculty will vote "yes" or "no" to the question of tenure or promotion and provide a written justification for that vote to accompany the ballot.

Abstentions may be used only when a Tenured Faculty member feels he or she has insufficient knowledge of the candidate to cast a vote of "yes" or "no." A written justification for a vote of "abstain" must be provided by the faculty member eligible to vote who exercises this option.

By vote of the Board of Trustees, ballot justifications (including abstentions) are mandatory. Votes without justification are invalid and will not count.

Individual ballots and accompanying justifications are intended to be confidential and not to be discussed with candidates or others outside the tenure and promotion process.

A "yes" vote by a two-thirds majority of the Tenured Faculty who are eligible to vote on the candidate, AND who submit a written ballot by the established deadline date AND who choose not to abstain, will constitute a favorable recommendation by the Departmental faculty. When a candidate receives a two-thirds "yes" vote, the T&P Chair shall in his or her letter to the Department Chair indicate that the Department faculty as a body support the candidate's promotion and/or tenure. If the vote is less than two-thirds, the T&P Chair will indicate in his or her letter to the Department Chair that the faculty as a body does not support the candidate's application. Abstentions or ballots not returned on time do not count in determining whether a two-thirds majority has been obtained. "Two-thirds" will be defined mathematically as .66 or higher.

Following the vote, the Chairperson of the committee will record all votes, notify the Departmental T&P faculty of the vote, and forward the overall vote along with a letter detailing the candidate's strengths and/or weaknesses relative to each of the criteria specified in the "Promotion Criteria" and/or "Tenure Criteria" sections of this document to the Chairperson of the Department.

Department Chair's Role in the Tenure/Promotion Decision

The Department Chairperson will inform the candidate if the vote of the T & P Committee was positive or negative. The actual vote will not be revealed. The Department chair will then forward to the Dean of the College his or her separate recommendation on the candidate, along with the complete results of the faculty vote, including abstentions, and all recommendations, statements, and other pertinent evidence.

Appeals

A negative recommendation for tenure or promotion is without prejudice to subsequent consideration. In the event of a negative recommendation, the faculty member shall have the right to appeal. Any such appeal, which must be made in accordance with all applicable University rules, is initiated by the appellant, and presented to the Chairperson of the Department Tenured Faculty. The T&P Chairperson will distribute the notice of appeal and any statement provided by the appellant to all members of the Tenured Faculty who voted on the appellant. All documentation related to the appeal will be forwarded to the Department Chairperson who will forward the documents along with the other documents specified above through appropriate administrative channels.

Confidentiality

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All statements and committee discussions concerning promotion and tenure as well as the vote thereon shall be absolutely confidential, with the exception of communicating the results of the deliberation and vote to appropriate higher University authority or the University Grievance Committee.

Precedence

In any matters not identified specifically herein, the University tenure and promotion procedures and any other applicable rules and policies included in the Faculty Manual will be followed. In any case of conflict, University regulations take precedence.