

College of Social Work
Tenure and Promotion Procedures and Criteria
Approved by COSW Tenure and Promotion Committee October, 2015
Approved by the University Committee on Tenure and Promotion on November 11, 2015

Though *The Faculty Manual* provides guidelines for department and college policy, it is the responsibility of each college to formulate specific procedures and criteria for tenure and promotion. This document details the procedures and criteria to be used by the College of Social Work to implement University guidelines. These procedures and criteria are consistent with the Faculty Manual in force at the time of their approval by the University Committee on Tenure and Promotions (UCTP).

The College of Social Work is committed to the policy and practice of affirmative action and equal opportunity in education and employment for all qualified persons regardless of race, color, religion, gender, national origin, age, disability, veteran status, or sexual orientation.

**Procedures for Tenure and Promotion, Third Year Reviews
and Post Tenure Reviews**

I. Right to Be Considered

Untenured faculty members Each year all untenured faculty members are considered for tenure and all faculty members below the full professor rank for promotion unless the candidate waives this right. A candidate may waive the right to consideration by submitting to the dean in writing his/her desire not to be considered. See ACAF 1.18 in the University of South Carolina Columbia *Faculty Manual* for more details on this process.

Before the end of a faculty member's probationary period a decision will be made to grant or deny tenure. If the decision is to deny tenure, notice will be given by letter dated and postmarked before the end of the penultimate year of the maximum probationary period. For faculty with a nine-month appointment with a tenure start date of August 16, the penultimate year ends on May 15. For faculty with a nine-month appointment with a tenure start date of January 1, the penultimate year ends on December 31. For faculty with a twelve-month appointment, the penultimate year ends on August 15. If notice is not given in the time and manner stated above, the appointment of the faculty member will thereafter be a continuous (or tenured) appointment. Non-reappointment in conjunction with denial of tenure in the penultimate year may be grounds for a grievance under the full provisions of the Academic Grievance Procedures.

Faculty members with joint appointments. At the time of appointment, any faculty member with joint appointments in two or more academic units should have a memorandum of understanding (MOU) in accordance with the USC Faculty Manual guidelines. The MOU should be included in the candidate's file when applying for tenure and/or promotion. The criteria for granting tenure or promotion shall be those of the primary unit. When the College of Social Work is the primary unit, the Chair of any secondary unit's Tenure and Promotion Committee shall be asked to propose external reviewers and comment on those that are selected. A copy of the candidate's full file will be available to all faculty in the secondary unit(s) who are eligible to

vote on the file. They shall be asked to submit ballots at least five days before the College of Social Work Committee meets to vote on the file. Ballots of the secondary unit(s) will be included in the file. Notice of the COSW T&P Committee meeting to consider the file shall also be given to the appropriate administrator of the secondary unit, who shall have the right to attend the meeting and participate in discussion of the candidate, but not the right to vote. If the administrator of the secondary department or program is not of a rank equal to or higher than the candidate, the administrator will designate a faculty member of such rank to attend the meeting.

Faculty members who are hired after serving on faculty at another institution. Faculty members from another institution who are hired into an Assistant Professor faculty position must serve at least 1 year at the College of Social Work before being considered for tenure or promotion.

Faculty members appointed with tenure. Faculty members from another institution who are hired into an Associate or Full Professor faculty position may be recommended for tenure at the time of appointment if the file demonstrates performance that meets the criteria in all areas (scholarship, teaching, and service) for the rank in which they are being hired. The recommendation for tenure shall be made by a vote of faculty members of a rank equal to or higher than the candidate. Ballots shall be reported to the dean and the vote recorded.

Transfer among positions. The following actions may not be taken without approval of the tenured and tenure-track faculty of the College of Social Work: (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.

Administrative Appointments

When a person originally appointed to an administrative or other non-tenure track position is subsequently moved to a tenure-track faculty position, the time served in the administrative or non-tenure track position is not considered part of the probationary period for tenure consideration. A full-time administrator later appointed to a position as an assistant professor, associate professor, or professor is not excused from the unit criteria for tenure and/or promotions. When a person originally appointed to a tenure-track faculty position is assigned administrative duties or appointed to an administrative position, the administrative assignment does not prevent the running of the probationary period unless an extension of the probationary period is obtained pursuant to applicable university policy.

II. Calculation of Probationary Period

Leave. Time during which the faculty member is on leave, either with or without pay, will not be counted as part of the probationary period.

Extensions. Non-tenured faculty members will be automatically granted an extension of the probationary period in the event of the birth or adoption of a child, or the death of the faculty member's spouse/partner or child if notice is provided in accordance with applicable university

policy. An extension of the probationary period may also be granted upon request in the case of serious illness or death of a spouse/partner, child or close family member, the placement of a foster child or other circumstances or commitments creating a need for additional time for the faculty member to demonstrate fully his or her professional qualifications for reappointment or tenure. Notification and documentation are required for both automatic and requested extensions. Complete procedures for obtaining an extension are set forth in University Policy ACAF 1.31, *Extension of Faculty Tenure-Track Probationary Period and Post-Tenure Review* issued by the Provost's Office.

In cases where faculty members have been in probationary status for more than their normal probationary period due to an extension or extension(s) of the probationary period pursuant to University Policy ACAF 1.31 *Extension of Faculty Tenure-Track Probationary Period and Post-Tenure Review*, they shall be evaluated as if they had been in probationary status for the normal probationary period, not longer.

Only full-time faculty members holding the rank of assistant professor, associate professor, and professor are eligible for tenure.

Service during appointments to all other faculty ranks is not considered part of a probationary period for tenure consideration.

III. Tenure Progress Review of Faculty: Third Year Review

1. In the third year after appointment, all untenured tenure-track faculty members must be given a written comprehensive evaluation of their progress toward tenure and promotion.
2. This evaluation will be performed by the unit tenure and promotions committee or as otherwise provided by unit procedures. If not performed by the unit tenure and promotions committee, the evaluation will be reviewed by the unit tenure and promotion committee. The tenure and promotion committee will recommend to the dean whether or not the untenured faculty member should be retained.

Also see University Policy ACAF 1.05 Tenure Progress Review of Faculty: Third Year Review

IV. Post Tenure Review

The primary function of post-tenure review is faculty development. Post-tenure review is not a process to reevaluate the award of tenure. Moreover, although the failure of a faculty member to make substantial progress toward meeting the goals of a development plan established through the post-tenure review process may be evidence of "incompetence and/or habitual neglect of duty," the post-tenure review process may not be used to shift the burden of proof in a proceeding to terminate a tenured faculty member for cause.

Each tenured faculty member, regardless of rank and including those in departmental administrative positions, shall be reviewed every six years unless, during the previous six-year period, the faculty member is reviewed and advanced to or retained in a higher position (e.g.,

dean, a chaired professorship, promotion to a higher professorial rank). However, post-tenure review will be waived for any faculty member who notifies the unit chair in writing prior to the next scheduled review, of plans for retirement within three years after the review would have been scheduled. The College of Social Work Post-Tenure Review Committee will be composed of all tenured full professors.

Tenured faculty members who hold joint appointments will undergo post-tenure review according to the criteria, by tenured full professors, of the primary unit. Input from appropriate evaluators (e.g. faculty, chair, dean) of the secondary unit including performance reviews, teaching evaluations, service and research evaluation must be solicited by the primary unit in reaching their determination. Also see, Appendix A for post-tenure review general standards and procedures.

V. Nepotism

The rules of conduct for public employees contained in the South Carolina Ethics, Government Accountability, and Campaign Reform Act prohibit a public employee from causing the employment, appointment, promotion, transfer, or advancement of a family member to a state or local office or position supervised or managed by the public employee. In addition, a public employee may not participate in an action relating to the discipline of the public employee's family member. See also University Policy HR 1.27 Nepotism.

VI. Tenure and Promotion Committee Composition

The College has a tenure and promotion committee of the whole comprised of all tenured faculty members of the College. All tenured faculty of a rank equal to or higher than that of the candidate will comprise the tenure and promotion committee to evaluate faculty members for tenure. All tenured faculty members of higher rank than the candidate will comprise the tenure and promotion committee to evaluate faculty members for promotion.

No committee may have fewer than five members. The College will add members of appropriate rank and tenure from other academic units of the University when this minimum number is unavailable from its own faculty. The dean of the College shall not serve as a member of the committee.

By April 15 of each year, the tenure and promotions committee will elect a chair and secretary for the upcoming year and report the chair's name to the provost and Faculty Senate office. Both must be tenured full professors. If the chairperson is unable to fulfill his/her duties, the secretary will do so.

VII. Duties of the Chairperson and Secretary

The chairperson is responsible for the following duties:

1. Call meetings as necessary to conduct committee business.
2. For candidates who request this, appoint a committee member to assist in preparing their files.

3. Select a senior committee member to summarize candidates' teaching evaluations and write the teaching summary to be included in the candidate's file. Details on the content of the required teaching summary are provided in the Teaching Section of the *Criteria for Tenure and Promotion* section presented below.
4. Maintain the security of files.
5. In a timely manner, oversee selection of referees and secure letters from candidates' referees. In addition, include copies of the invitation letters sent to referees and review letters received from referees to candidates' files.
6. Make electronic files of the candidates available to all eligible faculty for examination. Require T&P committee members (both COSW faculty as well as any externally appointed members) to initial a written statement indicating that they have reviewed candidates' files. Faculty complete this statement during the T&P meeting, before any candidates files are discussed. The completed form is then provided to the dean's administrative assistant.
7. Conduct the voting meeting prior to the deadline mandated by the University calendar.
8. Arrange for any absentee voting.
9. Forward completed files and ballots to the dean.
10. Promptly notify candidates of committee decisions, whether positive or negative.
11. If the committee vote is negative, upon request by the candidate, the committee chairperson will provide (without attributions) a synopsis of the discussion and an indication of the distribution of the vote of the committee.
12. If the committee vote is negative, notify the candidate that s/he can request in writing to the chair of the T&P committee for the file to go forward through all appropriate channels.
13. If the committee vote is positive, notify College faculty and invite them to submit letters before a candidate's file goes forward.
14. Keep adequate files of the tenure and promotion committee, including past and current minutes, criteria and procedures, information on referees, University documents related to tenure and promotion, and letters. In addition, assure that any letters or other materials that must remain confidential are filed in a manner and place that ensures confidentiality.

The secretary is responsible for the following duties:

1. Record minutes at meetings.
2. Count ballots.
3. Serve as the chair if the chair is unable to fulfill duties.

VIII. Assembling the File

It is the responsibility of the candidate to assemble his/her file in accordance with University Tenure and Promotion Guide to Criteria and Procedures. The committee chair shall appoint a committee member to be available to assist the candidate in preparing his /her file according to the correct format. The candidate should submit the file to the committee chair for review before the final submission.

In addition to the material required by the *UCTP Guidelines for Units: Preparing Criteria and Files (March 26, 2014)*, the file may include:

1. personal statement, which COSW requires
2. supporting documentation
3. letters of reference
4. creative works
5. annual progress toward tenure and promotion reviews
6. annual administrative reviews
7. letters of appointment, memoranda of understanding, or other documentation of administrative appointment or workload (with salary redacted)
8. any additional information the candidate chooses to include

In addition to the complete file, the candidate will prepare five sets of documents pertaining to scholarship for review by external referees. The set of documents must include:

1. criteria under which the candidate is to be reviewed
2. current curriculum vitae
3. personal statement
4. copies of publications and other scholarly efforts as determined by the candidate

The candidate must deliver one complete set of electronic files for external referees to the Office of the Dean by the due date specified by the College Tenure and Promotion Committee. The chairperson of the College Tenure and Promotion Committee should be notified by the candidate that this has been done.

The candidate may not insert additional materials in the file after the due date, but may provide productivity updates about work referenced on the curriculum vitae, such as acceptance of manuscripts under review. The chair shall add the updates to the file.

It is the responsibility of the chairperson of the College Tenure and Promotion Committee to add letters from external referees and the candidate's teaching summary to the primary file before it is reviewed by the Committee. In addition, material information arising as a consequence of actions taken prior to the unit vote (e.g., notification of acceptance or publication of a manuscript referred to in the file, late arriving letters from referees) may be added.

Any other letters not supplied by the candidate are to be added to the file by the dean.

IX. Selection of Referees and Obtaining Letters

Early in the spring semester (fall semester for mid-year considerations) preceding consideration of tenure or promotion, committee members will begin to generate a list of appropriate external referees for each candidate. Suggested referees should be recognized scholars in relevant areas from peer institutions of high merit. Normally, referees will be a tenured faculty member of a graduate school of social work and of a rank equal to or higher than that of the candidate. Referees should be as objective and as independent of the candidate as possible. To avoid any

conflict of interest, referees should not include the candidate's former instructors, dissertation directors, fellow students, colleagues with whom the candidate has served at other institutions, co-authors, or co-investigators. In addition, in accordance with the *Faculty Manual*, during the referee selection process, reviewers will be asked to state their relationship with the candidate (i.e., never met, know from conferences, know of his/her work, etc.). Referees will also be required to indicate their relationship with the candidate in their written letters.

Five referees will be chosen by the committee to review the files of each candidate. If the initial five requests do not result in five referees agreeing to serve, the chairperson will request new names from the committee, and the process will be repeated until five referees are obtained. Approval of any referees will require a majority (at least 51%) vote of the committee.

The chairperson will send materials to referees for their review. These shall include at least

1. Criteria under which the candidate is to be reviewed
2. Current curriculum vitae
3. Personal statement
4. Copies of publications and other scholarly efforts as determined by the candidate

The role of the referee will be to review and evaluate the candidate's scholarship and research.

X. Consideration of and Voting on Files

The tenure and promotion committee will meet to consider and discuss files in the fall before the deadline date for unit vote, based on the appropriate University tenure and promotion calendar. It is the responsibility of each committee member to carefully review the candidate's file before the meeting and to indicate so by initialing the log.

Voting

Discussion of each candidate's file will be followed by a secret-ballot vote by all committee members of higher rank than the candidate. Any eligible faculty member who has a conflict of interest or a family or other close personal relationship with the candidate that could affect his or her objectivity shall not vote or otherwise participate in the process.

Committee members (without conflict of interest) may vote "yes," "no," or "abstain" on each candidate presented. In addition, faculty are required to give written rationale, specifically related to the criteria, to support their votes. Written rationales are to be turned in to the secretary or other appointed committee member at the meeting or as soon as reasonably possible thereafter.

Proxy votes are not allowed. Votes received after the meeting will be counted as abstentions. Oral votes and votes of faculty absent from the meeting and not voting absentee will not be counted.

Absentee Voting

Any faculty member who will be on official leave (sabbatical leave, maternity leave, short term disability or LWOP) during the proceedings of the tenure and promotion committee retains the right to vote if he/she notified the chair in writing before beginning the leave and is familiar with the evidence.

For other absences, a legitimate reason must be presented and as stated under *Duties of the Chairperson and Secretary (Section VII)*, all faculty members must initial a written statement indicating that they have reviewed candidates' files. In such cases, sealed absentee ballots delivered in advance of the meeting to the chairperson will be allowed.

Tallying the Vote

Votes will be counted by the secretary (or, in the absence of the secretary, a committee member appointed by the chairperson) and one other member. Abstentions will be recorded but not counted in the total number of votes in determining if the candidate has a majority.

A favorable recommendation for tenure or promotion requires a positive vote from at least a 51% majority of eligible voters, exclusive of those not voting or abstaining. A negative recommendation for tenure or promotion does not prejudice subsequent consideration.

XI. Post-Meeting Activities

Following the meeting in which a vote is taken, the candidate's file and ballots will be forwarded to the Dean by the date specified in the appropriate T&P Calendar.

The T&P chair will notify candidates in writing of the recommendation of the committee. If the recommendation is favorable for tenure and/or promotion, the T&P Chair will also notify in writing all faculty and will invite them to submit letters for inclusion in the candidate's file. If the vote is negative, the T&P Chair will notify the candidate that she or he can make a written request to the T&P Chair that the file go forward through all appropriate channels.

The Dean adds his/her recommendation and then will forward the file, including ballots, to the Provost's Office.

A candidate who receives notice of denial of tenure and promotion may seek relief by taking the steps outlined in the *Faculty Manual*.

XII. Time Lines

At the time specified by the University Tenure and Promotion Calendar, the Dean will notify all eligible faculty in writing asking them to notify him/her in writing within two weeks whether or not they will request tenure and/or promotion during the coming academic year. Upon notification by faculty, the Dean immediately notifies in writing the College Tenure and Promotion Chair.

“Eligible faculty” means all tenure track faculty who are not tenured (eligible for tenure) and all faculty below the rank of full professor (eligible for promotion).

As soon as candidates have been determined, a memo will go out to all committee members eligible to vote on the candidate, asking that they consider potential referees. Faculty will be asked to provide name, academic institution, rank, and area of expertise of each person they suggest.

For faculty on the regular tenure and promotion cycle, the committee will meet at least one month before the end of the spring semester to select five referees (and alternates) for each candidate. This will allow the Chair to begin contacting referees before the end of the spring semester.

For faculty on the mid-year tenure and promotion cycle, the committee will meet in September to identify and select five referees (and alternates) for each candidate. This will allow the Chair to begin contacting referees before the end of the fall semester.

See the University’s annual tenure and promotion calendar (<http://www.sc.edu/tenure>) for additional dates.

XIII. Safeguarding Information

All deliberations, records, letters, and individual votes in relation to tenure and or promotion decisions are highly confidential. To ensure confidentiality:

1. committee members shall not divulge, orally or in writing, any information outside the tenure and promotion committee meeting regarding individuals’ files, deliberations, or decisions;
2. votes of individual committee members need not be signed; and
3. any written record of deliberations will be kept in a locked file.

See *UCTP Guidelines for Units: Preparing Criteria and Files* and the *USC Columbia Faculty Manual* for additional information.

Criteria for Tenure and Promotion

The College of Social Work is committed to achievement in research and scholarship, teaching and service. The evaluation of candidates for tenure and/or promotion is based on their performance in three areas: (1) research and scholarship; (2) teaching; and (3) service. Research and scholarship and teaching are weighed most heavily in tenure and promotion decisions. Service is necessary but not sufficient for tenure and promotion.

The candidate's performance should be consistent with that of faculty members of comparable rank at major research universities. The College recognizes that individual candidates will exhibit different strengths and does not expect each candidate to demonstrate outstanding achievement in all three of these areas. All candidates for tenure and/or promotion should have a record of consistent and durable accomplishment indicative of continuing development of the faculty member in research, teaching, and service. This record should provide evidence of a coherent and unique body of work integrating teaching, research and scholarship, and service which is consistent with the performance of other social work faculty in peer universities.

All tenured and tenure-track faculty are expected to adhere to the current Code of Ethics of the National Association of Social Workers. The *Code of Ethics of the National Association of Social Workers* (<http://www.naswdc.org/pubs/code/default.asp>) sets forth values, ethical principles, and ethical standards upon which the profession is based, to which social workers aspire and by which their actions can be judged. Professional ethics are at the core of social work. These core values and accompanying ethical principles, embraced by social workers throughout the profession's history, are the foundation of social work's unique purpose and perspective:

1. *Service*: Social workers' primary goal is to help people in need and to address social problem by elevating service to others above self-interest;
2. *Social Justice*: Social workers challenge social injustice and pursue social change;
3. *Dignity and Worth of the Person*: Social workers respect the inherent dignity and worth of the person by promoting clients' socially responsible self-determination while being mindful of individual differences and cultural and ethnic diversity.
4. *Importance of Human Relationships*: Social workers recognize the centrality of human relationships by engaging with people as partners in pursuit of social change.
5. *Integrity*: Social workers behave in a trustworthy manner, by acting honestly and responsibly and promote ethical practices on the part of the organizations with which they are affiliated.
6. *Competence*: Social workers practice within their areas of competence, develop and enhance their professional expertise, and aspire to contribute to the knowledge base of the profession.

This constellation of core values reflects what is unique to the social work profession. Core values, and the principles that flow from them, must be balanced within the context and complexity of the human experience.

Work performed during the time on tenure track at the University of South Carolina will be given priority consideration in tenure and promotion review; productivity in research, teaching, and service, prior to coming to USC, will be given secondary consideration.

Consistency and durability are relevant factors in evaluating faculty members for tenure and promotion. Thus, length of service which a faculty member has completed at a given rank is a valid consideration in making recommendations.

The College does not offer tenure at the level of assistant professor. Requirements for tenure at the level of associate or full professor are the same as for promotion to those ranks.

Promotion to and/or Tenure at Associate Professor. The candidate for promotion to and/or tenure at the rank of associate professor must demonstrate **excellent** performance in the areas of teaching and scholarship and good performance in service. The candidate must show evidence of progress toward establishing a national or international reputation in a field. The candidate must demonstrate strong potential for further development as a teacher and scholar.

Promotion to and/or Tenure at Professor. The candidate for promotion to and/or tenure at the rank of professor must demonstrate **outstanding** performance in scholarship and one other area, either teaching or service, with at least **excellent** performance in the other area (teaching or service). The candidate must show evidence of an established national or international reputation in a field.

Outstanding and excellent performance in scholarship and teaching are operationalized below (good does not apply to scholarship or teaching). Outstanding, excellent, and good performance in service are also operationalized below.

Research and Scholarship

Candidates for tenure and/or promotion are expected to have developed a sustained program of research and scholarship that is guided by a significant set of theoretical or substantive issues in her/his special field or interdisciplinary area and that promotes social welfare and the mission of social work. As a professional school, the College values as scholarship both the generation of new knowledge and the dissemination of existing knowledge in ways that significantly inform and shape professional practice. The generation of new knowledge is defined as expanding the understanding of social problems and effective solutions through observation and experimentation. The dissemination of existing knowledge is defined as expanding the understanding of social problems and effective solutions through the translation of innovative ideas from social work and other professions or disciplines for diverse audiences. Whether through development of new knowledge or dissemination of existing knowledge, the impact of scholarship on the profession is considered fundamental.

The college values leadership and independent thought in scholarly productivity. The candidate should demonstrate development of a clearly focused original research agenda. Collaborative and solo scholarship are both highly valued. When a candidate produces work collaboratively, the

percentage and unique nature of the contribution made by the candidate to the work should be indicated in the research and scholarship section of the primary file.

To receive an **excellent** rating in research and scholarship, a candidate is expected to show a sustained program of research as demonstrated through either a focus in the primary category or spread across the primary and secondary categories with stronger representation in the primary category. In either category, quantity and quality of the work are both important, with quality emphasized. The candidate's body of work as a whole must demonstrate evidence of importance in her/his field of specialization or interdisciplinary area and show promise of increasing significance. It should be evident that the candidate can achieve a national/international reputation in her/his field. Applications for and receipt of external or internal funding are recognized as important criteria, however they are neither necessary nor sufficient for receiving a rating of "excellent."

To receive an **outstanding** rating in research and scholarship, a candidate must meet the criteria for **excellent** scholarship, maintain a continuing record of peer-reviewed scholarly activity predominantly in the primary category, demonstrate evidence of national or international stature in the candidate's field, and have a clearly defined focus for scholarship that has brought recognition as an expert.

The following items (not in order of significance) are evidence of research and/or scholarship. Candidacy need not be supported by all items listed:

Primary

1. articles in refereed journals viewed as significant publication outlets in social work or the candidate's specialty area
2. authored books or monographs that show evidence of reconceptualization or original work
3. book chapters that show evidence of reconceptualization or original work
4. extramural competitively funded research grants
5. edited books that show evidence of reconceptualization or original work

Secondary

1. monographs
2. all other funded research grants and contracts
3. grant submissions
4. presentations at national and/or international professional and scholarly meetings
5. colloquium presentations at universities
6. published book reviews
7. technical reports of research
8. editorship of a professional or scholarly journal
9. serving as a reviewer or editorial board member for a professional or scholarly journal
10. serving as a reviewer for professional or scholarly book manuscripts
11. research-related activities at the regional or national level such as reviewing grants, conference abstracts, and manuscripts, and organizing symposia

12. original training curricula and educational materials
13. translational products (e.g., print or electronic products, audio-visual media, posters) that communicate scientific findings in ways that are useful for practice or action

Teaching

A record of sustained excellent performance in the area of teaching is required of all tenure and promotion candidates. The College values teaching in the classroom (on-site with students and through electronic media), in practice settings (known as field), through research supervision, and through mentoring students. Faculty members are expected to teach at least two different courses of the curriculum. Faculty may teach at the undergraduate, master's, and/or doctoral levels. The College values the ability to translate knowledge to practice through diverse teaching methods that produce demonstrable student competencies. Faculty members are expected to demonstrate increasing leadership in curriculum development and delivery methods as they gain teaching experience.

Teaching includes a full range of activities engaged in by the faculty member. The following activities fall within this area. (The list is not exhaustive; candidacy need not be supported by all items listed.)

1. teaching of undergraduate courses
2. teaching of graduate courses
3. serving as field liaison and/or field supervisor
4. supervising dissertations
5. supervising comprehensive research projects (other than research practica)
6. supervising independent study projects
7. establishing and maintaining effective relationships with students, including effective student advisement and maintaining adequate office hours or appointment opportunities for students
8. participating in course development, which includes innovative teaching, preparation of new courses, and participating in course organization
9. developing and appropriately using technology in the classroom and otherwise supporting teaching through course management software, web sites, and other state-of-the-art technological advances
10. engaging in planned activities to improve teaching effectiveness

To receive an **excellent** rating for teaching, a candidate is expected to receive overall positive teaching evaluations from peers and students, and to show evidence of growth and development as an educator. In addition, the candidate is expected to have made a consistent contribution to development and evaluation of the curriculum, sequences, and courses. Finally, the candidate is expected to have contributed to individual student development through activities such as advisement, mentoring, supervision of student research, and participation in doctoral committees.

To receive an **outstanding** rating for teaching, a candidate must meet the criteria for excellent teaching, maintain a continuing record of growth as an educator, and demonstrate leadership in curriculum development, innovation, and evaluation, and mentoring of other educators.

The following items are evidence of teaching performance required of all candidates:

1. statement of teaching philosophy
2. documentation of teaching activities (as defined above)
3. peer evaluations, required annually for all faculty members conducted periodically throughout the faculty member's tenure-track or tenured appointment. (at least one per year)
4. student evaluations (for all course sections taught)

Primary evidence of teaching performance may include the following (not in order of significance). Candidacy need not be supported by all items listed:

1. number and quality of completed dissertations chaired
2. supervision of research practica and teaching practica
3. other research projects supervised
4. receipt of teaching awards
5. evidence of contributions to curriculum, sequence and/or course innovation, development, implementation, and/or evaluation
6. contributions to certificate programs and other specialized courses of study
7. contributions to inter-professional education programs and/or curriculum materials
8. contributions to the college or university community of continuous learning

Secondary evidence:

1. advising students
2. mentoring students
3. written statements from former students regarding significant contribution to their professional development
4. documentation of participation in activities designed to improve teaching effectiveness

Teaching Summary

The Tenure and Promotion Committee prepares a narrative summary and evaluation of the faculty member's classroom teaching, based on clearly specified criteria (see above), which is included in the faculty member's promotion and/or tenure file. This summary will provide information about the typical teaching load in the unit and a summary of peer evaluation of teaching.

If the candidate's teaching load deviates significantly from that which is typical, an explanation should be given. The teaching summary will also give context to student evaluations of the faculty member's classroom teaching (e.g. by noting 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.) ; or if it is thought that the student evaluations do not accurately portray the quality of the candidate's teaching. Also included are a complete explanation of numerical ratings when numerical ratings are used, the meaning of the numbers must be clear; and finally, information about instructional responsibilities to undergraduate and graduate students and the number of PhD students supervised by the candidate. If the candidate's supervision of PhD students is less than might be expected, an explanation should be given.

Service

A record of sustained, good performance in the area of service is required of all tenure and promotion candidates. Providing good service is a fundamental act of community building and an essential part of being a social worker and a faculty member. The College encourages an increasing level of responsibility and leadership with increasing rank. Service includes contributions to the College, the University, the profession, and the larger society (at the community, state, national and/or international levels).

To receive a **Good** rating for service, a candidate must demonstrate active, sustained, and productive involvement in service to the College and also the University, profession, or the larger society.

To receive an **Excellent** rating for service, a candidate must meet the criteria for **good** service and, in addition, must demonstrate productive and sustained leadership in service to the College, University, profession, or larger society.

To receive an **Outstanding** rating for service, a candidate must meet criteria for excellent service and, in addition, demonstrate participation or leadership at the national or international level.

Examples of service activities are provided below. (The list is not exhaustive; candidacy need not be supported by all items listed.)

College and University Service

1. participating on or chairing a College committee
2. participating on or chairing a University committee
3. directing or otherwise contributing to a College initiative, program, clinic, center, lab, or institute
4. directing or otherwise contributing to a University initiative, program, clinic, center, or institute
5. providing significant formal and informal support and assistance to faculty colleagues, the College or University
6. mentoring faculty colleagues

Professional, Community, or Societal Service

1. providing consultation to local, state, federal, or international agencies
2. making a presentation to a community group
3. serving on an agency board of directors, community task force, and/or committee
4. serving on a national or state professional task force or committee
5. engaging in professional practice in the community which advances the candidate's teaching and scholarly competence
6. serving as an officer of international, national, regional, or state professional organizations or associations
7. serving as a committee chair or member of international, national, or state professional associations
8. providing leadership in a professional conference or institute
9. making a presentation that disseminates knowledge and represents a contribution to the profession or community (e.g., conference proceedings)
10. providing administrative work on a journal editorial board
11. providing administrative work on a research review panel
12. providing external review of a faculty candidate at another university

Appendix A:

COLLEGE OF SOCIAL WORK
POST-TENURE REVIEW

The University of South Carolina post-tenure review policy was passed by the general faculty during 1998 and approved by the Board of Trustees. It may be found on the Provost's Home Page under *Faculty Manual*.

I. Purpose

The University of South Carolina's mission as a major teaching and research institution is founded on the teaching, research (including creative activities), and service efforts of the strong and dedicated faculty. Affirming its commitment to tenure as essential to its mission, the University supports faculty in reaching their maximum professional development and assuring their full contribution to the academic life of the institution.

To further these goals, the University adopts annual performance review and post-tenure review policies to recognize and reward faculty for superior achievement, and to assure that each faculty member's contribution to the University through teaching, research/creative activities, and service is at a satisfactory level of performance (*Faculty Manual*).

II. GENERAL STANDARDS AND PROCEDURES

The Post-Tenure Review **standards and procedures** of the College of Social Work conform with and build upon those specified in the latest University of South Carolina *Faculty Manual*.

1. Each tenured faculty member, regardless of rank, will be reviewed every six years unless, during the previous six year period, the faculty member is reviewed and advanced to or retained in a higher position (e.g., dean or a chaired professorship).

A post-tenure review also will be conducted for all tenured faculties in administrative positions by the Dean of the College of Social Work in consultation with the College's Post-Tenure Review Committee. The Committee will provide a post-tenure review summary statement that will be forwarded to the Dean. However, post-tenure review will be waived for any faculty member who notifies the unit chair in writing of retirement within three years of the next scheduled review.

2. The post-tenure review will include peer and student evaluations of classroom teaching; research/creative activities evaluated by peers outside the unit (although not necessarily outside the University); and service. Refereed publications or other reviewed research/creative exercises will be considered as having been peer-reviewed outside the unit. The post-tenure review will include detailed information about the outcomes of any sabbatical leave awarded during the pre-review period.

3. The post-tenure review will incorporate annual performance reviews accumulated since the initial tenure review or since the last post-tenure review.
4. Upon completion of post-tenure review, the faculty member will receive a written statement that provides specific evaluative information of the faculty member's performance in the categories of teaching, research/creative activities, and service. The review will be sufficiently detailed to aid the faculty member in professional growth and development.
5. The process will not only identify those faculty members whose performance is unsatisfactory, but also those faculty members whose performance is excellent or outstanding,

III. THE POST-TENURE REVIEW COMMITTEE

The College of Social Work Post-Tenure Review Committee (the Committee) will be composed of all tenured full professors. Tenured full professors who are in the process of post-tenure review will be excluded from Committee membership that year. The chairperson of the Tenure and Promotion Committee will serve as Chair of the Committee. If the Chair of the College Tenure and Promotion Committee is being evaluated for post-tenure review, the Committee will elect a new chair for that year. If there are fewer than five College faculty members eligible to serve on the Committee, the Dean will identify and appoint additional faculty members from other academic units of the University who are eligible to bring the committee composition to the level of five voting members.

IV. COMMITTEE PROCEDURES

1. The Chair will assume responsibility for planning and carrying out the post-tenure review meetings.
2. The committee will meet as a whole to carry out the review process, including completion of **Post-Tenure Review Performance Forms**.

The forms will be used for rating the faculty member's performance in each of three areas: teaching, scholarship, and service. Faculty performance in each area, according to University policy will be rated superior, satisfactory, or unsatisfactory. Space will be available for committee members to provide written explanations of their ratings, including recommendations for performance improvement.

For purposes of post-tenure review, the Committee will utilize the performance indicators already incorporated in the College of Social Work Tenure and Promotion Criteria. In order to achieve a rating of “outstanding” for post-tenure review the Faculty member must meet the criteria in two of the three performance areas and indicate outstanding superior performance in at least one area. To achieve “excellent”, the faculty member must meet the unit’s criteria in all three- performance areas. If the faculty member fails to meet the criteria in one of the performance areas he/she will be rated as “unsatisfactory.”

3. Following completion of Post-Tenure Review Performance Forms, the Committee Chair and Secretary will review and tally the ratings in each of the three performance areas, using the categories of “outstanding”, “excellent”, and “unsatisfactory”. A majority performance rating is achieved when fifty-one percent of committee members have cast a ballot with the same rating. If a majority of committee members do not rate the performance of the faculty member the same in a given area, the Committee report will give a performance rating of “excellent, lacking majority opinion”. When there is an even split in the vote the Committee report will give a performance rating of “excellent, lacking majority opinion.”
4. Following completion of performance rating forms and announcement of results to the Committee, the Secretary will forward the minutes of the meeting to the Dean. The Chair will appoint a subcommittee of 2-3 persons to draft a Performance Review report, to include a summary of findings in each performance area, comments and suggested actions that may serve as a basis for the faculty member’s further growth and development. Individual rating counts in each performance area will not be revealed. The written Performance Review will be forwarded to the Dean for use in further performance evaluations.
5. If the performance reviews for each performance area of the faculty member is either “superior” or “satisfactory”, the evaluation is concluded following distribution of the final report. If the committee determines that the performance in teaching, scholarship, or service is “unsatisfactory”, the Chair of the committee, in consultation with and concurrence of the faculty member, will appoint a **Development Committee to assist the faculty member in restoring performance to a satisfactory level.**

The Development Committee’s main functions will be to mentor the faculty member in establishing a **development plan and improvement timetable**. The timetable will extend to the next annual Performance Review and may be reconsidered on a yearly basis up to three years. Additionally, members of the Development Committee will consult with the faculty members of the larger committee around those performance areas requiring improvement. The development plan will form the basis for future evaluation of

the faculty member until satisfactory performance is restored. Non-agreement by the faculty member to the development plan will be addressed by the Dean of the College of Social Work.

6. A copy of the committee's Performance Report will be forwarded to the faculty member and to the Dean of the College of Social Work for inclusion in the faculty member's personnel file. Should the Performance Review result in an unsatisfactory review, a copy of the committee report and development plan also must be sent to the Provost.
7. Prior to the next annual Performance Review meeting, the Chair of the College of Social Work Tenure and Promotion Committee will convene the faculty member's Development Committee in order that they may make an assessment of his/her progress toward satisfactory performance. Their assessment will be summarized in writing and provided to the Tenure and Promotion Committee. The Development Committee's assessment will be reviewed by the Tenure and Promotion Committee and it will provide in writing a summary of its concurrence or dissent, in general or in any particular, pertaining to the progress of the faculty member in achieving satisfactory performance. This summary and the written evaluation of the Development Committee will be forwarded to the Dean and a copy provided to the faculty member. The Dean will make the final determination on the progress or lack thereof, and whether or not to further measures may be necessary.
8. Failure of the faculty member to make sustained progress in meeting the performance improvement plan may result in termination proceedings.
9. A faculty member who receives an unsatisfactory Post-Tenure Review and disagrees with the evaluation or any aspect of the recommendations may appeal to the College of Social Work Tenure and Promotions Committee in general or in any particular. The findings of the Committee, together with its recommendations for action and a statement by the faculty member, will be forwarded to the Dean for final determination of the evaluation.
10. A faculty member, who further disagrees with his/her Performance Review, subsequent development plan, and Dean's final action, may extend an appeal to the Provost.

V. OUTCOMES IN POST-TENURE REVIEW

The College of Social Work adheres to the following **Outcomes in Post-Tenure Reviews** as specified in the University's *Faculty Manual*.

1. An Outstanding Review

An outstanding evaluation by the College of Social Work Tenure and Promotion Committee or Subcommittee will be noted in the faculty member's personnel file. Any faculty member who receives an outstanding evaluation in a post-tenure review may receive a permanent merit increase to base pay as determined by the Provost, in addition to any annual raise.

2. An Excellent Review

An excellent evaluation will be noted in the faculty member's personnel file

3. An Unsatisfactory Review

An unsatisfactory review will be noted in the faculty member's personnel file and forwarded to the Dean, together with **recommendations for restoring performance to the excellent level.**

4. Summary of Outcome of Post –Tenure Review

In summary the matrix of outcomes for post-tenure review assessment is as follows:

Unit's Assessment	Dean's Assessment	Recorded Evaluation
Outstanding	Outstanding	Outstanding
Outstanding	Excellent	Excellent
Excellent	Outstanding	Excellent
Excellent	Excellent	Excellent
Excellent	Unsatisfactory	Excellent
Unsatisfactory	Excellent	Excellent
Unsatisfactory	Unsatisfactory	Unsatisfactory

Any College of Social Work tenure track faculty members participating in multidisciplinary programs such as a virtual college are assured that they will receive a comprehensive annual review in terms of progress toward tenure and promotion. The review process will be a collaborative effort between the faculty member's academic unit and the multidisciplinary program.

VI. POST-TENURE REVIEW FILE PREPARATION

The College of Social Work post-Tenure review process will follow the calendar determined by the Office of the Provost.

It is the responsibility of each faculty member undergoing post-tenure review to assemble and submit a post-tenure review file to the Committee according to the announced schedule. The following items must be included:

1. **Teaching:** a listing of all courses taught in the previous five years; all evaluations of teaching performance during the past five years; copies of peer review summaries of teaching (must have a minimum of 3 during the previous 5 years).

In addition, the faculty member will provide a **personal statement describing the full range of teaching activities engaged in since receiving tenure.** The full list of teaching activities in the College of Social Work *Criteria for Tenure and Promotion* may be used as a framework for the personal statement.

2. **Research and Scholarship:** a listing of all scholarly activities as outlined in the College of Social Work *Criteria for Tenure and Promotion*, including copies of scholarly materials completed during the past five years.

In addition, the faculty member will provide a **personal statement describing the focus and scope of his/her scholarly agenda/plan and achievements during the past five years.**

3. **Service:** a listing of all service activities engaged in during the past five years as outlined in the College of Social Work *Criteria for Tenure and Promotion*.

In addition, the Faculty member will provide a **personal statement describing the focus and scope of his/her service contributions during the past five years.**

4. A copy of each annual performance evaluation conducted by the Dean during the last five years since being awarded tenure.
5. A copy of each report of sabbatical activities previously forwarded to the Provost's office.
6. A current curriculum vita.

VII. ADDITIONAL POST-TENURE REVIEW CONSIDERATIONS

In light of various changes that have emerged in relation to faculty performance at the University of South Carolina during the past several years, additional identification of faculty work roles is particularly relevant in any consideration of Post-Tenure Review. Indeed, the Post-Tenure Review process in social work education requires recognition of the different and evolving academic career paths of faculty in a major teaching and research university. Social work faculty continue to meet a variety of role and performance expectations in more traditional areas – teaching; research, publication, and other forms of scholarship; and university, community, and professional service.

Additionally, university expectations and subsequent performance review must be extended to consider such faculty work as leadership in curriculum development and other committees; multidisciplinary and dual degree program development and administration; distance and continuing education; development of electronic technologies in social work education; faculty mentoring; grant and contract development; social agency-based evaluation research, consultation, and staff training; assistance to neighborhood, local, state, national or international organizations; field work liaison; and various administrative and leadership roles within child, family, and gerontology centers and institutes.