

Department of Mathematics

University of South Carolina

CRITERIA AND PROCEDURES

regarding

PROMOTION AND TENURE

for

MATHEMATICS FACULTY

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Committee of Tenured Mathematics Faculty
at its Meeting of March 5, 1990*

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and Approved by the Latter Committee
at its Meeting of July 9, 1990*

CRITERIA AND PROCEDURES

REGARDING PROMOTION AND TENURE FOR MATHEMATICS FACULTY

I. INTRODUCTION

A. Responsibility for Formulation and Evaluation.

The primary responsibility for formulating criteria and procedures for promotion and tenure of mathematics faculty rests with the tenured mathematics faculty. The criteria and procedures shall be compatible with the rules and policies set by the Board of Trustees (see the University of South Carolina *Faculty Manual*) and by the Dean of the College of Science and Mathematics (see College of Science and Mathematics *Policies and Procedures D.4.011 - Promotion of Faculty Members* and *D.4.012 - Tenure of Faculty Members*). The tenured mathematics faculty also have the responsibility for the periodic evaluation of these criteria and procedures, and for implementing modifications as deemed necessary. In both the formulation and evaluation phases, input will be obtained from all tenured and tenure-track mathematics faculty. All faculty shall be informed of any modifications in the criteria or the procedures.

B. Utilization of Criteria and Procedures.

The recommendations of the tenured mathematics faculty regarding promotion and tenure shall be based on the criteria and will be made according to the procedures detailed in this document. The criteria for promotion and tenure will also be used by the appropriate tenured mathematics faculty as a basis for annual peer review. In addition, the criteria will serve as a basis for the annual faculty evaluation conducted by the Department Chairman. The criteria are intended to ensure that these recommendations and evaluations are made in an objective manner and are based solely on professional merit. In no event shall a negative decision on promotion or tenure be based upon discrimination resulting from the candidate's race, sex, religion, or national origin, the exercise by the candidate of his constitutional rights, or personal malice. Where appropriate, the use of any gender in this document shall be understood to include any other gender.

C. Standards and Goals.

The criteria for promotion and tenure reflect the mathematics faculty's goal of achieving excellence in its research and educational programs. The criteria are not only representative of the accomplishments of the current faculty, but are also an indication of their desire to make even greater progress in the future. The criteria have been formulated on the premise that each faculty member's performance can be subdivided into the areas of research, teaching, and service. Considerable variation is to be expected among the faculty in their performance in each of these areas, but it is recognized that each of these areas is an essential ingredient in the professional profile of a mathematician at the university level.

II. CRITERIA FOR PROMOTION AND TENURE

A. General Criteria.

Evaluation of a candidate for promotion or tenure will include assessments of the candidate's record in research, teaching, and service. The cumulative record includes documented evidence of the candidate's research, teaching, and service activities at the University, as well as at other universities and research organizations. Earlier assessments of these activities (such as the annual peer reviews of the candidate's progress toward promotion and/or tenure) are also considered part of the record. The basis of the review will be described in the paragraphs that follow.

In the paragraphs below "the committee" refers to the appropriate committee of tenured faculty which is fully described in Section III of this document.

Evaluation of research and scholarly activities is based primarily on quality, although evidence of sustained activity is also essential. Among the evidence considered in judging a candidate's record in research are refereed publications and other researchers' citations and reviews of them, external grant funding, invitations to conferences and symposia, colloquium invitations, research books and monographs, editing of journals or of research books, refereeing and reviewing activity, direction of theses, development of and participation in departmental seminars, and other indicators of scholarly achievements. Additionally, a candidate's research will be evaluated by recognized experts in his area from outside the University, and their confidential appraisals of his research will be weighed heavily. To the extent possible, a candidate's achievements in research and scholarship will be compared with the achievements of persons at other universities whose standing is comparable to that of the University of South Carolina in the national research community.

A candidate's record in teaching will be assessed in a variety of ways. Classroom instruction, supervision of undergraduate and graduate research, seminar presentations, curriculum development, and contributions made to qualifying and comprehensive examinations are important aspects of a candidate's record in teaching. His record in instruction will be assessed on the basis of his ability to communicate mathematical concepts effectively to different audiences at various levels, to organize the material into coherent courses, to motivate students, and to maintain reasonable standards in grading. The cumulative record of student teaching evaluations and all peer evaluations of the candidate's teaching on record with the Department faculty will be used to assess classroom performance. A candidate may submit additional documentation (examinations or syllabi, for example) as evidence for those aspects of teaching that may not be apparent in the classroom.

To assess a candidate's record in service, the committee will consider his efforts in committee work, student advising, curriculum development, administrative duties, recruiting, and other activities in support of the educational and research programs at the department, college, and university levels. A candidate's role in service outside the University such as service on editorial boards and review panels, participation in professional societies, and organization of conferences and symposia will also be considered. Similarly, those aspects of a candidate's public or community service which relate directly to his academic or scholarly responsibilities will be considered. In the overall evaluation of a candidate's record in service, such qualities as initiative, industry, reliability, and effectiveness will be considered.

B. Criteria for Promotion.

A candidate for promotion must have professorial rank and be in a tenure-track or tenured position. A person who does not already hold such a position may, however, be appointed to a tenure-track or tenured position with professorial rank.

1. Criteria for Promotion to Associate Professor.
 - a. A strong record in research and scholarly accomplishments.
 - b. A record of effective teaching.
 - c. A record of effective service.
An exceptionally strong record in research can compensate for a lesser but still good record in teaching and service.

2. Criteria for Promotion to Full Professor.
 - a. A very strong record in research and scholarly accomplishments with evidence of impact, recognized at the national and international levels, in the candidate's field.
 - b. A strong record of effective teaching, with evidence of major contributions to the undergraduate and graduate programs.
 - c. A strong record of effective service.
An exceptionally strong record in research may offset a lesser but still good record in teaching and service. An exceptionally strong record in teaching and service, exhibiting a major impact on the Department, can offset a lesser but still strong record in research.

C. Criteria for Tenure.

A candidate for tenure must have professorial rank and be in a tenure-track position. A person who does not satisfy these requirements may, however, be appointed to a tenure-track or tenured position with professorial rank. Recommendations for tenure are made on the basis of proven performance in research, teaching, and service.

1. Criteria for Tenure of an Associate or Full Professor.
 - a. A candidate must satisfy all of the criteria for promotion to his current rank.
 - b. A candidate's record must provide evidence of the consistency and durability of his performance in research, teaching, and service.

2. Criteria for Tenure of an Assistant Professor.
 - a. A candidate must satisfy all of the criteria for promotion to associate professor. In particular, an assistant professor will not be recommended for tenure unless he is simultaneously recommended for promotion.
 - b. A candidate's record must provide evidence of the consistency and durability of his performance in research, teaching, and service.

While length of service at the University can be a factor in determining the consistency and durability of a tenure candidate's performance, substantial prior experience or an exceptional record of accelerated contributions can play the same role.

D. Appointments with Tenure.

It is recognized that under certain circumstances, it may be in the Department's best long range interests to make an appointment with tenure. Such a decision must be based on an assessment of institutional needs and resources and evidence of a candidate's potential for contributing to these needs. An appointment with tenure will be made only at the rank of associate or full professor.

III. PROCEDURES FOR PROMOTION AND TENURE

Note: At each point in the procedures where a date is to be specified, the date is determined by the Tenure and Promotion Calendar for that year. Hereafter these dates will be referred to as "the current calendar dates." It is to be noted that those faculty with mid-year appointments will not have the same dates as those faculty whose appointments began with a fall semester. These mid-year dates are included in the Tenure and Promotion Calendar.

- A. Potential candidates for tenure and/or promotion will be advised in writing by the Department Chairman by April 15 concerning the timetable for the submission and consideration of tenure and/or promotion files for the coming academic year. This should provide each potential candidate with ample time to decide the question of candidacy and, for those electing candidacy, the opportunity to prepare a well-organized file.
- B. Each promotion committee will consist of all tenured members of the faculty of the Department who have higher rank than that of a potential candidate. Each tenure committee will consist of all tenured members of the faculty of the Department of equal or higher rank than that of a potential candidate. By the last day of the Spring semester classes, the Department Chairman will convene meetings of each committee for the purpose of electing chairmen to serve for the next academic year. These chairmen shall be nominated and elected by the appropriate committee, each member having one vote. The Department Chairman will report the names of those elected to chair the tenure and promotion committees to the Provost and to the Chairman of the University Committee on Tenure and Promotions by May 15.
- C. Each non-tenured faculty member who is in a tenure-track position but is not in the *last* year of a probationary appointment will be considered each academic year for tenure by the appropriate tenured faculty unless the faculty member requests that he not be considered. Each tenured or tenure-track non-full professor who is not in the *last* year of a probationary appointment will be considered each academic year for promotion to the next higher rank by the appropriate tenured faculty unless the faculty member requests that he not be considered. By the current calendar date the Department Chairman will notify in writing each eligible faculty member that he will be considered for promotion and/or tenure. An eligible faculty member who does not wish to be considered for promotion and/or

tenure must, by the current calendar date, so inform the Department Chairman in writing. For eligible faculty members not in the next to the last year of a probationary appointment this action shall not in any way prejudice future considerations of the faculty member for promotion and/or tenure.

Note: Hereafter, a faculty member who will be considered for promotion and/or tenure is called a "candidate."

The tenure and/or promotion procedures for candidates other than the Department Chairman are described in items D through O below. Item P describes how these procedures are to be modified, in the event that the Department Chairman is a candidate.

- D. By the current calendar date, each candidate for promotion and/or tenure must
- i) review and update his folder, and
 - ii) submit to the Department Chairman a list of mathematicians from outside the University who are qualified to judge the candidate's mathematical research. This list should include a sketch of the qualifications of these individuals. At least five outside evaluators should be listed by candidates for promotion to or tenure as associate professor and at least six should be listed by candidates for promotion to or tenure as professor. Of the outside evaluators listed, no more than two may have had a close professional relationship with the candidate (dissertation advisor or post-doctoral supervisor are examples of close professional relationships).
- E. In the event that any tenure or promotion committee has less than five members, the Department Chairman shall notify the Dean of the College of Science and Mathematics. The Dean will consult with the members of the committee, the Department Chairman, and the candidates themselves. After this consultation, the Dean shall appoint the necessary number of tenured faculty of appropriate ranks from within the College of Science and Mathematics to increase the size of the committee to five.

Note: Hereafter, the committees defined in Items C, D, or E will be referred to as the "appropriate tenured faculty."

- F. A candidate may place any material he deems appropriate in his folder at any time before the unit vote. The following are items normally included in the file. This list should not be construed as being exhaustive or as placing priorities on any of these items. This list is given merely as a guideline.
1. A current biography.
 2. A list of publications, papers accepted for publication, and papers submitted for publication.
 3. Reprints of publications and copies of manuscripts accepted or submitted for publication.
 4. A list of talks at professional meetings and colloquia presented at the University or other institutions.
 5. A list of courses taught.
 6. A list of graduate students who are receiving or have received thesis direction under the candidate.
 7. Teaching evaluations by students.
 8. Reports by faculty on classroom performance.

9. Information concerning refereeing and review assignments.
10. Information concerning other activities such as University or departmental committee work, student advisement, activities in professional societies, consulting, and other University and/or public service.

Apart from the items described explicitly in the paragraphs below or elsewhere in the University's procedures for promotion and tenure, only the candidate, the Department Chairman, and the Dean of the College of Science and Mathematics are permitted to insert material into the tenure or promotion file.

- G. At any time before his folder is forwarded to the Dean of the College of Science and Mathematics, a candidate may decline in writing to be considered further. For candidates not in the next to the last year of a probationary appointment this action shall not in any way prejudice further consideration of the faculty member for promotion and/or tenure.
- H. Lists of candidates for promotion and/or tenure are distributed by the Department Chairman to the appropriate tenured faculty and the Dean of the College by the current calendar date. The committee chairmen shall give timely prior notification of all pending meetings of their committees to the candidate, the Department Chairman, and the Dean of the College of Science and Mathematics.

2. The chairman of the appropriate committee will appoint a subcommittee to draft a summary and interpretation of the documented evidence of the candidate's teaching performance. The written report of this subcommittee will take into account all available student teaching evaluation summaries and all peer evaluations of the candidate's teaching on record with the Department. Prior to the preliminary vote, described in H(3) below, and with the written draft report of the subcommittee available, the appropriate committee of tenured faculty will adopt, by majority vote, a statement summarizing and interpreting the candidate's performance as a teacher. This statement will normally include judgments of the quality of the candidate's teaching; it will therefore be treated as a confidential letter of evaluation not to be disclosed to the candidate, and it will become part of the candidate's file at the time of the final unit vote.
3. The file of a candidate for promotion and/or tenure will be given a preliminary review by the appropriate tenured faculty, and by the current calendar date the appropriate tenured faculty will meet and vote by secret ballot on whether the candidate should be considered further. The chairman will inform the candidate of the vote count in writing.

If fewer than half of the votes cast by the appropriate tenured faculty are favorable (abstentions not counted), and the candidate is not in the next to last year of a probationary appointment, then the candidate will not be considered further for promotion and/or tenure at this time, unless he informs the chairman in writing that he requests a complete review. A candidate who is in the next to the last year of a probationary appointment will receive a complete review unless he informs the chairman in writing that he wishes to withdraw from further consideration.

4. By the current calendar date, for each candidate who is to be considered further, the chairman will write to the required number of evaluators outside the University soliciting evaluations of the candidate's record; the

chairman may also request a curriculum vita from each of these outside evaluators. At least three of these evaluators must come from the candidate's list. The other evaluators are to be selected by the chairman with consultations as necessary. A total of five evaluators is required for promotion to or tenure as an associate professor and a total of six is required for promotion to or tenure at the level of full professor. The replies, when received, are to be made available to the committee, and will be placed in the candidate's folder at the time of the unit vote by the chairman.

- I. 1. By the current calendar date, the appropriate tenured faculty, having reviewed each candidate's folder including the outside evaluations, will meet and vote by secret ballot on whether or not the candidate is to be recommended for promotion and/or tenure. A candidate is to be recommended if and only if at least 2/3 of the votes cast by the appropriate tenured faculty are favorable (abstentions not counted). The ballots will go into the candidate's file. In a timely fashion, the chairman will notify each candidate in writing of the decision of the appropriate tenured faculty.
2. A candidate may elect at this time to withdraw from further consideration for promotion and/or tenure; in this case, the faculty member must inform the chairman of his decision in writing within one week of his notification. If the candidate is not in the next to last year of a probationary appointment, this action shall in no way prejudice future consideration of the faculty member for promotion and/or tenure.
3. If the candidate is dissatisfied with the decision of the appropriate tenured faculty and wishes to appeal by the current calendar date he must notify the chairman in writing. By the current calendar date, the chairman will call a meeting of the appropriate tenured faculty to consider the candidate's appeal. A record of the deliberations of the appropriate tenured faculty will be placed in the candidate's folder.
4. After the unit has voted, only these items may be added to the file:
 - a. Unit vote justifications, and letters from the Department Chairman, the Dean and the Provost accompanying the file to the next steps of the procedure.
 - b. The votes and recommendations of the University Committee on Tenure and Promotions.
 - c. Material information arising as a consequence of actions taken prior to the unit vote, for example (i) letters from outside evaluators solicited before but received after the unit vote; (ii) notification of acceptance of a manuscript referred to in the file; (iii) publication of books or articles which had been accepted prior to the unit vote; and (iv) published reviews of the candidate's work which appeared after the unit vote.
 - d. Letters from faculty members of the unit. Each faculty member, whether or not authorized to vote, may write to the Department Chairman or to the Dean. Such letters will become part of the file at the addressee's level.

In order for new information to be included in the file, voting members of the unit, the Department Chairman, the Dean, and the Provost must be

informed of its existence and given a chance to assess it and reconsider their previous votes.

- J. By the current calendar date, either:
1. A letter indicating that the candidate is recommended by the appropriate tenured faculty will be placed in the folder of the candidate. The letter will be drafted by a subcommittee of at most three members of the appropriate tenured faculty and is subject to approval by the appropriate tenured faculty. The letter should include a statement of the rationale for supporting the candidate, summarized from the comments on the ballots and discussion during the meeting (see III.I.1), and a record (including abstentions) of the vote.

or,

 2. A letter indicating that the candidate is not recommended by the appropriate tenured faculty will be placed in the folder of the candidate. The letter will be drafted by a subcommittee of at most three members of the appropriate tenured faculty and is subject to approval by the appropriate tenured faculty. The letter should include a statement of the rationale for not supporting the candidate, summarized from the comments on the ballots and discussion during the meeting (see III.I.1), and a record (including abstentions) of the vote. The decision of the appropriate tenured faculty not to recommend the candidate shall in no way prejudice future consideration of the faculty member for promotion and/or tenure. A candidate will not be considered further for promotion and/or tenure at this time unless he informs the Department Chairman in writing that he requests that his folder be forwarded to the Dean.
- K. A final list of candidates, whose folders will be forwarded to the Dean of the College of Science and Mathematics, will be distributed by the Department Chairman to all faculty by the current calendar date.
- L. Each appropriate tenured faculty member must write a letter explaining his position concerning the promotion and/or tenure of those candidates whose folders will be forwarded to the Dean of the College of Science and Mathematics. These letters will be sent *directly* to the Dean of the College so that they are received by the Dean's office no later than the current calendar date.
- M. The Department Chairman will put in writing his recommendations concerning each candidate. In the event that the vote of the appropriate tenured faculty committee on any candidate was either favorable or unfavorable by a margin of one vote or less and the Department Chairman was a member of the appropriate tenured faculty committee, the Department Chairman must include this information in his recommendation. The Department Chairman's recommendation will be placed in the candidate's tenure and promotion file and from this point on no member of the Department, other than the Department Chairman, will read the file. By the current calendar date, the tenure and promotion file of each candidate will be submitted to the Dean of the College of Science and Mathematics.
- O. The procedures for hiring personnel with tenure will follow the guidelines set forth by the University policies and procedures.
- P. If a candidate being considered for promotion and/or tenure is currently the Chairman of the Department, the responsibilities assigned to the Chairman under

items B, H(4), and J shall be performed by the chairman of the appropriate tenured faculty committee. All other responsibilities assigned by the procedures above to the Department Chairman shall be carried out by him except item M. The file shall be submitted to the Dean of the College of Science and Mathematics by the committee chairman, by the current calendar date.