

SPANISH, ITALIAN AND PORTUGUESE

**IV. CRITERIA AND PROCEDURES FOR RETENTION, TENURE, PROMOTION,
AND ANNUAL FACULTY PERFORMANCE REVIEW**

A. Retention, Tenure and Promotion Committee

The Select Retention, Tenure and Promotion Committee, hereinafter referred to as the RT/P Committee, will consist of five tenured faculty members, one of whom must be a Full Professor, elected by the tenured faculty in April. The responsibilities of the committee are the following:

1. Review all policies and procedures for retention, reappointment, tenure, promotion and post-tenure review (PTR), as needed.
2. Recommend changes, additions or deletions for RT/P and PTR policies and procedures to the entire tenured faculty or the full faculty, as deemed appropriate.
3. Advise the DSIP Chair on matters of RT/P and PTR.
4. Advise candidates in matters of RT/P and PTR, as assigned by the Chair of RT/P.

The Department Chair is ineligible to serve on this Committee. The members of the RT/P Committee will elect an RT/P Chair (who shall be a Full Professor). All RT/P meetings will be open to the appropriate tenured faculty members of the DSIP.

For each candidate presenting a dossier for Tenure and/or Promotion, the committee will assign one of its members (at a rank superior to that of the candidate), to supervise the preparation of the dossier. Should the candidate be a full professor this supervisor should be a full professor. The Chair of the Committee will be solely responsible for collecting the RT/P ballots, presenting them to the Department Chair, and assisting the Chair with the official vote tabulation. In addition, the Chair of the Departmental RT/P Committee will be solely responsible for collecting the various Faculty Performance Review ballots and presenting a complete and accurate summary of them to the Department Chair.

B. The Process of Tenure and Promotion

1. Initiation of the Process

It is primarily the responsibility of the candidate to construct the file that shall be used by the department in deciding on the candidate's application. Relevant data to be included in the file are those providing evidence that the candidate has satisfied the criteria for tenure or promotion as set forth in the departmental criteria and in the Faculty Manual.

Each year all tenure-track, non-tenured faculty will automatically be considered for tenure, and all tenure-track faculty members below the rank of Full Professor will be considered for promotion, unless they state otherwise in writing. On or about April 1, the Department Chair will invite prospective Fall candidates for tenure and/or promotion to declare their intentions to the RT/P Committee. Those wishing to be considered for tenure and/or promotion at all ranks will formally notify the RT/P Committee of their intentions by April 15. There will be a meeting of the prospective candidates with the RT/P Committee later that month for a question and answer session. Packets will, if possible, be sent out to referees in May.

The RT/P Committee will provide the full faculty with the names of individuals who have expressed a desire to be considered for tenure and/or promotion as soon as the names are known to the committee. The faculty will be invited to send letters regarding the candidate to the RT/P Committee for inclusion in the appropriate section of the dossier.

Notice in writing regarding such consideration and meetings related thereto will be provided to the entire faculty of the Department at least one month prior to the date when the tenure and promotion file must be submitted. The Dean of the College of Liberal Arts will also receive such notice.

2. Selection of Outside Referees

Five Out-side Referees will be asked to evaluate the files of all candidates for tenure and promotion. Normally, an Outside Referee will hold a rank equal to or greater than that of the local candidate.

The selection of scholars to serve as evaluators of a candidate's file will be made by the RT/P Committee in consultation with appropriate faculty in the candidate's discipline. The candidate may offer the name of one specialist to serve as qualified Outside Referee. The remaining four will be chosen from a pool of qualified specialists in the field selected by the RT/P Committee. The deadline each year for the selection of Outside Referees will be May 1. The identity of the chosen referees will remain confidential.

The RT/P Committee will send to those scholars who have agreed to evaluate the candidate's record a packet containing the candidate's curriculum vitae as well as offprints, books and/or other relevant materials to be assessed. This packet will be accompanied by a copy of the departmental criteria and a letter from the Chair of the RT/P Committee which (a) stresses the importance of the criteria in judging the work of the candidate and (b) clearly states that it is the principal task of the evaluator to assess the packet of materials. The packet of materials will be mailed to the Outside Referees no later than the end of May of the year in which the candidate's file is to be considered. The Chair of the DSIP is authorized to offer an honorarium up to \$100 to outside referees for each external review of the research and publication of DSIP candidates for tenure and/or promotion. These amounts are to be paid from departmental funds. [Approved by tenured faculty: 8/31/99]

3. General Procedures for Tenure and Promotion

The RT/P Committee will assemble information regarding each person to be considered, as provided above.

Concerning tenure decisions, the RT/P Committee will receive the complete dossier from the candidate(s) seeking tenure and/or promotion and make it available to tenured faculty members whose academic rank is equal to or higher than that of the candidate. Concerning promotion decisions, the dossier will be provided to those tenured faculty members of higher academic rank than the individuals concerned.

The RT/P Committee will arrange for a meeting of all tenured faculty members at the appropriate ranks to meet for the purpose of discussion of the dossier of the candidate(s). The Chair of such meetings will be the Chair of the RT/P Committee. Only persons allowed to vote on a candidate for tenure and/or promotion may participate in the discussion of that candidate.

Student evaluations (all fall and spring courses of each year) from all previous years at U.S.C. will be included in the dossier of all candidates for tenure and/or promotion. Peer evaluations (one per year) from all previous years at U.S.C. will be included. These are to be conducted by colleagues at a higher rank than the candidate.

4. Procedures for Voting on Tenure and Promotion

Only eligible tenured members of the DSIP faculty, or the appropriate designated tenured faculty members outside the DSIP in cases where fewer than the required number of DSIP faculty are available, are eligible to vote. They will have the responsibility of thoroughly examining the file of that candidate, including the examination of those publications written in a language known by the examiner of the file, and will initial the file to indicate that this responsibility has been met.

For each case being voted on, one ballot for tenure and one ballot for promotion will be provided to each tenured faculty member eligible to vote in the appropriate category. In cases where the tenured faculty member is at the same rank as the untenured candidate seeking tenure, only the ballot for tenure will be provided.

Each ballot will provide for a "Yes," "No," or "Abstain" vote and space for the optional signature and required justification.

Ballots concerning tenure and promotion will be secret and will be forwarded, along with all pertinent documents, to the Chair of the Department by the Chair of the RT/P Committee.

The Department Chair is not eligible to vote as a tenured member of the faculty, but rather, s/he will write a separate recommendation concerning the candidate's case.

In the event that there should not be five faculty members eligible to vote on a given candidate, the Tenure and Promotion Committee will select an appropriate number of willing tenured faculty of a rank higher than the candidate's from departments of similar disciplines or other appropriate disciplines to complete the RT/P Committee minimum of five (5). The Chair of the RT/P Committee will inform the DSIP Chair and the Dean of Liberal Arts as to the names of the individuals recommended to serve from outside the department.

The votes will be counted by the Chair of the RT/P Committee (or a designated member of the RT/P Committee)

and two other members of the RT/P Committee. Any member of the tenured faculty who participated in the vote may choose to be present when the count is made. The RT/P Chair will then send the vote tally and all ballots to the DSIP Chair.

Upon request, all tenured faculty who participated in the vote on a given candidate may be informed orally of the outcome of the vote.

Abstentions will not be counted in the total number of votes required to send the file forward.

A two-thirds majority of those voting "yes" or "no" will be required to send the file forward.

The Department Chair will forward through proper channels, according to University regulations, the recommendations of the RT/P Committee and all relevant documents, together with his/her own recommendation, to the Dean. The Department Chair will also forward a list of all persons considered but not recommended. Failure to recommend favorably at the particular time is without prejudice to the candidate for tenure and/or promotion.

The file of any person dissatisfied with a negative decision, upon request to the Chair of the Tenure and Promotion Committee, shall be sent through all appropriate channels to the President for appropriate action. The University Grievance Committee hears appeals from any person dissatisfied with decisions regarding tenure and promotion.

5. General Criteria for Tenure and Promotion

The Department of Spanish, Italian, and Portuguese recognizes three levels of achievement in the areas of teaching, scholarship, and service. The descriptions of these levels are intended to serve as guidelines in considerations involving retention, merit salary increases, and tenure and promotion.

Tenure and promotion will be granted according to a number of profiles, which express combined strengths in the various areas. These profiles are given here as a general orientation for the reader. Please refer to them as necessary when reading the descriptions of performance given for each area.

a. Performance Profiles

Explanation of the abbreviations used:

T1 (Level 1 in Teaching)
Sch2 (Level 2 in Scholarship)
S3 (Level 3 in Service)

b. Requirements* for Tenure at and for Promotion to the Various Ranks:

Tenure only

	T2	Sch2	S1
Promotion to the rank of Associate Professor:			
	T1	Sch2	S2
or	T2	Sch2	S1
Promotion to the rank of Professor:			
	T2	Sch3	S2
or	T3	Sch2	S3

*(N.B. These profiles represent the basic requirements for tenure and promotion at the various ranks. In other words, T1 implies "Teaching at Level 1 or above." All three categories, Scholarship, Teaching, and Service, contain a rating of zero (0) as an indication that candidate performance does not come up to the minimal performance profile of Level 1.)

c. Areas of Performance

1. TEACHING

Teaching as defined in this document refers not only to classroom performance but also covers a broad range of activities involving instruction and guidance. Three basic aspects of teaching are planning (determining objectives and organizing course syllabi), classroom instruction, and the evaluation of student performance. Teaching may also involve the creation of original teaching materials and the design of innovative courses and curricula. The following list, although not all-inclusive, contains a number of activities that will normally be considered in the teaching area:

Types of activity included in the teaching area

- number, type, and level of courses taught
- development or significant restructuring of courses and design of new curricula -development of materials and courses, especially those that incorporate new technologies (Such materials, when published nationally, will be considered in the area of scholarship.)
- development of syllabi, tests, and original materials used in multi-section course coordination
- development of departmental placement and exit examinations
- participation in design/scoring of national standardized examinations
- receipt of grants for the development of innovative courses, materials or curricula, especially those funded from sources outside the university
- attendance at lectures, seminars, and workshops devoted to the improvement of teaching skills
- special, sustained training in a certain aspect of teaching such as that required for certification as an ACTFL oral proficiency tester

(The above list is not all-inclusive, and no hierarchy is implied by the order in which items are listed.)

Evidence of quality in the teaching area

The determination of the level of performance in the teaching area will be based on primarily upon quality rather than quantity. For this reason, candidates should provide evidence of the kinds suggested below. (No candidate is expected to supply all types of evidence; this list is to serve as a guide

only.)

- student and peer evaluations
- unsolicited letters from students and peers
- awards or other recognition based primarily or exclusively on teaching
- reliability and validity data for tests developed
- use by other institutions of tests or materials developed by candidate
- impact of course or curricular design on department's teaching mission
- invitations to teach in other departments and programs in the university
- invitations to lead workshops on teaching or to serve as consultants for other institutions
- invitations to teach in special national or international institutes or programs
- accomplishments of present or former students who credit the candidate with playing a major role in the student's development
- invitations to serve on accreditation teams
- number of students electing to take subsequent courses in the department or to major in the candidate's discipline and performance of these students
- invitations to serve on panels to judge proposals for grants or contracts related to teaching
- range of courses taught
- directing theses or dissertations (The above list is not all-inclusive, and no hierarchy is implied by the order in which items are listed.)

Levels of performance in the teaching area

Candidates for tenure and promotion may present evidence of their accomplishments in this area at three levels. Since allowance for individual differences must be made, these levels are to serve as guidelines and should not be rigidly interpreted. Where the words 'normally,' 'usually,' or 'it is possible that' occur, the intent is to provide a rare exception to the stated general rule. In such a case, a justification for the departure from precedent will be sent forward with the file. *Each of the higher levels assumes that the candidate has met the **criteria** for the level or levels below.*

Level 1 - In order to receive a promotion, the candidate may satisfy the criteria with *consistently good teaching*. At this level, the candidate should provide evidence that he or she is an accomplished and versatile teacher capable of teaching a variety of courses, including graduate courses when available. (The candidate may also participate in graduate or honors programs through the direction of theses and/or dissertations.) Attendance at lectures, seminars, and workshops devoted to the improvement of teaching skills will be considered as evidence of the candidate's commitment to good classroom teaching.

Level 2 - In order to receive tenure, the candidate must satisfy Level 2 criteria in teaching. This level represents a substantial contribution to the teaching mission of the department. Candidates *meeting the requirements for the preceding level* who (1) use their pedagogical skills to influence the department's teaching mission beyond the confines of their classroom OR (2) have created original courses or course materials may submit evidence of excellence in the teaching area. Such evidence may include innovative materials or courses that have had a significant impact on the department's curriculum or on that of another department or program. These materials or courses may, but do not necessarily, incorporate new technologies such as video and computers. (Such materials if published nationally will be considered in the area of scholarship.) Evidence of Level 2 in the teaching area may also include the design of entire curricula and the development of placement tests, exit exams, and materials for use in

the coordination of courses. Courses or other special training taken to improve or expand the candidate's pedagogical skills will be considered favorably.

Level 3 - The candidate *satisfies the requirements of the previous levels*, and his or her ability as a teacher is recognized both within and beyond the department. The candidate is frequently invited to give lectures and courses in other departments and programs and may be asked to serve as a consultant, to conduct workshops on teaching, to teach in special national or international

institutes or programs, and has received grants to undertake innovative teaching projects.

2. SCHOLARSHIP

The professorial role involves not only the transmission of present knowledge through teaching but also the creation of new knowledge to be shared with students and colleagues through papers, presentations, and especially published scholarship in the form of refereed articles and books. The Department of Spanish, Italian, and Portuguese recognizes the importance of both those investigations that preserve and extend traditional scholarship and those that explore new areas of thought and span different fields. Because it values quality over quantity, the Department, in evaluating scholarship, will examine the corpus of a candidate's scholarly work for evidence of erudition, method, originality, and independence.

Types of activity included in the scholarship area

- refereed articles and book chapters
- books and monographs (critical books, scholarly editions, translations, biographies, textbooks, bibliographies) published by reputable journals, presses and publishing houses that accept works only after rigorous refereeing by peers in the discipline
- technology-based productions such as interactive video or computer-assisted materials or films
- contributions to encyclopedias, Festschriften, etc.
- reviews and review essays
- notes
- papers and presentations at professional conferences (local, state, national, international) and
- receipt of competitive grants for the development or execution of research projects
- participation in nationally-competitive institutes or seminars of a scholarly nature
- creative writing

(The above list is not all-inclusive, and no hierarchy is implied by the order in which items are listed. In general, books are considered more important than articles and single-authored works more important than multi-authored ones, but the fields represented by members of this department are too diverse for this order of importance to be applied in every case.)

Evidence of quality in the area of scholarship

The Department of Spanish, Italian and Portuguese will use, in addition to the professional judgment of its members, evidence such as that found in the following list in the determination of the professional stature of the candidate and the quality of the candidate's work, (No candidate is expected to supply all types of evidence; this list is to serve as a guide only.)

- reputation of publishing house or journal in which a given contribution was published
- peer evaluation in the form of published reviews of the works in question (or solicited expert opinion when no reviews are available)
- awards or other recognition for a given item or for the corpus of the individual's scholarly work
- references to the individual's work by other scholars
- selection of work for reprinting or translation
- unsolicited letters from colleagues and/or requests for offprints
- manuscripts reviewed or refereed as a service to the profession (e.g., as an active member of an editorial board or at the invitation of a scholarly journal, publisher, or professional organization)
- invitations to speak at prestigious conferences or to contribute to highly regarded scholarly publications
- external fellowships and grants based largely on proposals to expand upon already published work
- invitations to judge grant proposals for an agency other than this university or to serve as a consultant for groups engaged in scholarly endeavors
- awards of special fellowships for research activities or selection for residency at special institutes for advanced study

- letters from outside reviewers of file
- reading a thesis or dissertation
- directing a thesis or dissertation

(The above list is not all-inclusive, and no hierarchy is implied by the order in which items are listed.)

Levels of performance in the area of scholarship

Candidates for tenure and promotion may present evidence of their accomplishments in this area at three levels. Since allowance for individual differences must be made, these levels are to serve as guidelines and should not be rigidly interpreted. Where the words “normally”, “usually”, or “it is possible that” occur, the intent is to provide a rare exception to the stated general rule. In such a case, a justification for the departure from precedent will be sent forward with the file.

Each of the higher levels assumes that the candidate has met the criteria for the level or levels below.

Level 1 - The candidate has published his/her dissertation, as well as reviews, notes, refereed articles or book chapters in high-quality publications with a national or international audience. He or she has attended professional conferences beyond the local and state levels and participated in these conferences by presenting papers, serving on panels and/or organizing, and chairing sessions. In addition, the candidate has begun to explore new avenues of research as evidenced by papers and/or articles unrelated to the dissertation topic. At this level, the candidate will have begun to serve as a reader on theses or dissertations at USC.

Level 2 - In order to meet the expectations of this level, a candidate must have demonstrated significant achievement in the area of scholarship. He or she exceeds the profile of the Level 1 candidate in both quantity and quality of publication and other scholarly activity. Normally, the candidate's record will include a number of refereed publications, at least one of which has gone beyond the doctoral dissertation. Invitations to speak at major conferences, to contribute to significant scholarly publications and/or to serve as a referee for leading journals and presses attest to the national reputation of the candidate. Additional evidence of high-quality achievement in the form of reviews and citations of the candidate's work is desirable. At this level, the candidate will have begun to serve as a thesis or dissertation director.

Level 3 - The candidate exceeds the criteria of the previous categories. He or she has a firmly established national reputation based primarily on a consistent record of high quality published scholarship, which will normally include a number of articles published in the leading scholarly journals of his or her area of specialization and at least one full-length refereed book or monograph from a reputable press. Both the candidate's individual achievements and his or her stature in the field emerge as distinguished when measured against the types of evidence of quality outlined above.

3. SERVICE

This area includes service to scholarly and professional organizations and to the community (in cases where community service involves the candidate's professional expertise) as well as to the Department, the College, and the University. While recognizing that high-quality service in these areas is an important contribution to the functioning of the university and the profession, the Department of Spanish, Italian, and Portuguese discourages candidates for tenure or promotion from becoming excessively involved in service activities to the detriment of their teaching and scholarship.

Even extraordinary service will be recognized only when accompanied by satisfactory levels of scholarship and teaching as outlined in these criteria. Nevertheless, since a minimal amount of service on the part of every member is necessary to the functioning of the department, failure to

complete assigned service tasks efficiently and effectively will have an adverse effect on promotion and tenure decisions.

Types of activity included in the service area

- advisement
- course coordination and program direction (even if compensated by released time)
- special assignments within the department such as directing the Tutoring Center or coordinating audiovisual materials
- major administrative duties within the department such as Chair, Graduate Director, Director of Undergraduate Courses, Director of Basic Courses
- chairing or serving on departmental and interdepartmental committees
- participation in various levels of college or university governance (committees, faculty senate, etc.)
- participation in state, regional, national and/or international professional organizations
- service to scholarly journals and presses
- service to the public schools
- translating, interpreting and other profession-related service to the community

(The above list is not all-inclusive and the order in which an item appears on the list does not indicate its position in a hierarchy.)

Evidence of quality in the service area

The Department of Spanish, Italian, and Portuguese will use, in addition to the professional judgment of its members, evidence such as that found in the following list in the determination of the effectiveness of the candidate's service contributions. (No candidate is expected to supply all types of evidence; this list is to serve as a guide only.)

- descriptions of the contribution (in terms of time invested, reliability, and initiative) of the candidate to a given service assignment
- letters commending the candidate's service
- honors and other recognition for service activities
- selection for membership on prestigious committees
- election as chair of a prestigious committee
- election to office of a professional organization
- impact of the type of service engaged in on the functioning of the department, college or university

(The above list is not all-inclusive and the order in which an item appears on the list does not indicate its position in a hierarchy.)

Levels of performance in the area of service

The Department of Spanish, Italian, and Portuguese recognizes three levels of service, *each of which subsumes the level, or levels, below it*. In order to receive tenure or promotion, the candidate's service record must at least meet the department's definition of Level 1. Since allowance for individual differences must be made, these levels are to serve as guidelines and should not be rigidly interpreted. Where the words 'normally,' 'usually,' or 'it is possible that' occur, the intent is to provide a rare exception to the stated general rule. In such a case, a justification for the departure from precedent will be sent forward with the file.

Level 1 - In order to attain this level, the candidate must have a record of reliable and efficient performance of responsibilities assigned by the Chair, or by the faculty in the case of election to

positions and committees at a level beyond the department. Generally, this will involve at least one specific area of responsibility and service on several permanent or ad hoc committees.

Level 2 - The candidate who attains this level will have shown initiative in service by the assumption of tasks beyond those assigned or by effectively carrying out assigned duties of great responsibility. Service on major university committees, the development of new service techniques (such as improved advisement systems, more efficient course coordination, etc.) and the initiation of new directions in service will be considered favorably in the determination of Level 2 service; however, it is not the mere performance of the task but the effectiveness of the service that will be the determining factor. Additionally, the candidate may have begun a record of professional service to regional, national and/or international associations.

Level 3 - The candidate who attains this level will present a consistent record of high quality service, which will include a number of major contributions to the life of the Department, College, University, community and/or profession. While the Department encourages high-level service of this sort as a means of maintaining a high visibility and reputation for the Department on campus and in the profession, it does not require Level 3 service for any level of promotion or tenure.

d. Student and Peer Evaluations

1. Statement of General Purpose

Since a high standard of teaching performance is in the interest of any department, and since the quality of teaching is important in matters of professional advancement, evaluation of classroom effectiveness is not only crucial to the proper functioning of our department, but also useful in encouraging and facilitating excellent teaching. Evaluations are intended to call the individual faculty member's attention to their own areas of strength or weakness that might otherwise go unnoticed.

In addition, the records of evaluation provide various levels of the University administration with an overall view of the quality of the department's teaching.

The Department makes student and peer evaluation forms available to its members. Faculty members may provide their own evaluation forms to elicit comments more directly applicable to a particular class so long as they also provide the departmental evaluations as well. Evaluations may be given in all courses taught by members of this department, including courses offered in other departments and colleges. Specific procedures for each type of evaluation are subject to change. Copies of the current evaluation forms must be on file with the department secretary before the beginning of the term in which they will be given, so that faculty members may consult them.

The primary responsibility lies with the individual faculty member (a) to administer the Student Evaluations for his/her own classes, and (b) to initiate Peer Evaluations.

All original records of evaluations are kept in the instructor's confidential file at the departmental level, and may be used by the instructor him/herself for diagnostic purposes and by other faculty voting on retention, tenure and promotion.

2. Student Evaluations

Student evaluations are mandatory for all those who are being considered for retention, tenure and/or promotion. All student evaluations in the candidate's confidential file from the last three years preceding his/her candidacy (if the candidate has been here that long) will be included in the dossiers of all candidates for tenure and/or promotion.

Student evaluations will be administered for each class offered by members of this department in the fall

and spring terms no later than one week before the Reading Day of each semester. All faculty will receive said forms unless the Chair has been specifically notified by the instructor that he/she does not wish to be evaluated. Evaluations will be administered in the summer terms only in special circumstances.

Each instructor evaluated by students shall have the opportunity to add his/her remarks, which will be attached to the student evaluation. These should be signed and dated. This is retroactive to Fall 1977. No instructor may see the results of his/her own student evaluation forms until after the end of the semester in which they were administered.

3. Peer Evaluations

A minimum of one (1) Peer Evaluation per year is required of all faculty at the rank of Instructor. Peer evaluations are recommended, but not mandatory, for all those above the rank of Instructor. Peer evaluations for Senior Instructors are optional, except in cases where the tenured faculty may specifically request them. All such requests will be made in writing to the Senior Instructor concerned with at least one month's prior notice. At least three peer evaluations from the three previous years preceding his/her candidacy (if the candidate has been here that long) will be included in the dossiers of all candidates for tenure and/or promotion. The evaluator should see that a copy of the peer evaluation signed by both parties is placed in the confidential file of the candidate.

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Peer evaluations may be given at any time during the fall and spring terms.

Peers evaluate an entire class, not a portion of it. Evaluation forms alone will be consulted and no other information will be allowed to be provided by or solicited from the evaluator regarding the specific Peer Evaluation in question, although evaluators may submit subsequent letters of recommendation for the colleague evaluated.