Promotion and Tenure Guidelines for
The Department of
Educational Studies and Research (ESR)

Introduction
These Promotion and Tenure Guidelines conform to University policies and govern departmental decisions related to promotion and tenure. This document describes the processes and expectations for promotion and tenure of faculty members within the Department of Educational Studies and Research.

This document expresses the promotion and tenure expectations within the Department of Educational Studies and Research, College of Education and Psychology, at the University of Southern Mississippi. This statement of expectations describes general requirements for promotion in rank and/or tenure track of faculty members and is effective Fall 2011. The Department of Educational Studies and Research tenure track faculty voted to adopt these guidelines at a departmental faculty meeting on September 8, 2011. The results of the vote are listed below:

Adopt _6_ Oppose _0_ Abstain _0_ Recuse _0_ Did Not Vote _0_

The following guidelines were developed in consideration of the College of Education and Psychology tenure and promotion guidelines in order to give direction and set specific standards for the faculty member in the tenure and promotion process.

While intended to provide a reasonable framework of the standards for tenure and promotion, meeting the standards set out in these guidelines does not guarantee that a faculty member will achieve tenure and/or promotion. These guidelines do not create any contractually binding obligations for the University of Southern Mississippi. Information set out in these guidelines does not replace, amend, or abridge policies of the Mississippi Board of Trustees of the State Institutions of Higher Learning.

ESR abides by the tenure and promotion calendar published annually by the Provost’s Office. Therefore, dossiers submitted to CAC after the published date for tenure, promotion, and pre-tenure submissions, will not be considered in that academic year. In addition, dossiers submitted to CAC without appropriate documentation as described in this document will not be considered for tenure, promotion, or pre-tenure assessments in that academic year.

ESR Mission Statement
Consistent with the primary missions of The University of Southern Mississippi and of the College of Education and Psychology, the Department of Educational Studies and Research is a supportive scholarly community in which students develop their understanding and appreciation of the foundations of lifelong educational processes and basic and applied research skills.

Central values of the department include scholarship, academic integrity, rigorous and thoughtful research, quality instruction, mutual respect and collaboration, ethical behavior, and professionalism. The members of the department share a commitment to the holistic
development of undergraduate and graduate students and to making significant scholarly contributions to the bodies of knowledge in their respective areas.

**Context**

It is recognized that within the department there is wide variety in terms of the nature of courses taught and the level and number of students served. Likewise, there is great diversity in terms of the nature of research conducted by faculty in the various disciplines and areas of expertise within the department. The teaching load of ESR faculty is typically three courses in each of the fall and spring semesters and often extends into a three-course load in summers based on departmental need. Additionally, the department provides courses required by programs in other departments and colleges. ESR faculty members fill the role of instructors, consultants, dissertation committee members, grant reviewers and evaluators throughout the university and across campuses. These heavy teaching and service responsibilities are considered in promotion and tenure decisions, but do not preclude faculty from meeting all requirements for promotion and tenure.

**Process**

University guidelines will be followed regarding the length of the probationary period for promotion and tenure. Candidates should submit materials for promotion and tenure as directed by the Office of the Provost. Forms and deadlines are available through the Provost’s website: http://www.usm.edu/provost. The submission of materials for pre-tenure review (sometimes referred to as 3rd year review) should follow the same general structure.

**Evaluation Standards**

Promotion and tenure decisions are based on patterns of teaching excellence, sustained research accomplishments, and service activity as well as collegiality. Therefore, all documentation provided in applications for tenure and promotion should be cumulative, covering the time period applicable toward promotion, tenure, or both. Documentation must include all annual department chair/personnel committee evaluations and all pre-tenure, tenure, and promotion review letters from all levels of review. This includes previous applications/communications regarding tenure/promotion. For example, if an applicant has been turned down for promotion, if an applicant has been granted an extension for tenure, or if an applicant has been promoted or tenured elsewhere, these documents should be included in the dossier.

*The Departmental Personnel Committee has the right to request additional materials.*

**Evidence of Teaching Effectiveness**

Candidates are expected to demonstrate excellence in teaching. Teaching quality will be evaluated by a variety of indicators both required and optional. Candidates should provide clear, comprehensive documentation of their teaching efforts reflective of the quality of these efforts:

*Required documentation of teaching must include:*

- All components of the university-administered student evaluations (a summary sheet broken down by course and semester as well as copies of the actual evaluations during the time period applicable*
• Syllabi containing clear learning objectives consistent with program goals and substantive course assignments reflective of high academic standards; (include all courses, but not necessarily all sections of the same course).

Supporting documentation of teaching may include, for example, the following if applicable:
• Peer review of teaching by colleagues (optional but highly encouraged)
• Syllabi demonstrating new course development or significant modifications to an existing course
• Nature of courses typically taught
• Number of compensated and uncompensated overload courses
• Number of thesis and/or dissertation committees chaired, indicating number completed
• Number of thesis and/or dissertation committees as member, indicating number completed
• Number of internships supervised
• Number of independent studies directed
• Student research projects supervised
• Number of advisees
• Description of academic advising activity
• Description of student mentoring activity
• Documentation of unusually large numbers of students in class(es)
• Documentation of summer teaching load
• Description of workshops or training activities conducted by candidate (including evaluations)
• Maintenance of posted office hours
• Participation in professional development activities related to teaching
• Teaching grant(s) awarded
• Application for teaching grant(s)
• Teaching award(s)/honor(s)
• Teaching-related presentations
• Sponsorship of student organizations.

Activities should not be duplicated in both teaching and research sections of the applicant’s promotion and tenure materials.

Evidence of Research Productivity
Candidates are expected to demonstrate a record of research productivity. Research quality will be evaluated by a variety of indicators. Candidates should provide clear, comprehensive documentation of their research activity reflective of high quality:

Required documentation of research must include:
• All scholarly publications including
  o Peer reviewed journal articles published*
  o Books (providing title, flyleaf, and contents pages)
  o Book chapters
  o Abstracts or proceedings from conference presentations
Other publications

- Professional Presentations *
- Papers presented at professional meetings (specify the scope of the meeting such as international, national, regional, etc).*

* Evidence of the refereeing process should be included

Supporting documentation of research may include, for example, the following if applicable:

- Research awards or recognitions
- Scholarly book reviews
- Grant activity
  - External research grants received
  - Application for external research grants
  - Internal research grants received
  - Application for internal research grants
  - Other research grant activity (reviewer/evaluator/consultant)
- Professional work (clearly related to candidate's research skill/knowledge
- Participant at professional meetings
  - Panelist or discussant
  - Consultant
  - Invited lecturer
  - Workshop presenter/developer
  - Conference speaker
  - Conference submission reviewer
- Research service provided to program/department/college/university
- Documented research in progress
- Mentoring student projects resulting in publication and/or presentation
- Establishing/improving a lab
- Training graduate/undergraduate research assistants (may be more appropriate in "Teaching")
- Professional development activities related to research
- Other scholarly activity (specify).

Evidence of Service Involvement
Candidates are expected to demonstrate a strong record of service. Service activities will be evaluated by a variety of indicators. Service is divided into different levels and includes: a) service to the university (program, department, college, or institution), b) professionally-related service to the community, and c) service to the profession. Candidates should provide clear documentation of their service activity:

Service to the university may include supporting evidence such as:

- Regular attendance and engagement in committee and sub-committee work
  - Program level involvement (i.e. committee member, chair)
  - Department level involvement (i.e. committee member, chair)
  - College level involvement (i.e. committee member, chair)
  - University level involvement (i.e. committee member, chair)
• Workshops/training conducted
  o Program level
  o Department level
  o College level
  o University level
• Director of special projects or initiatives
• Other (specify).

Documentation of professionally-related service to the community may include:
• Invited speaker
• Workshops/training conducted
• Grant reviewer/evaluator
• Program evaluator
• Consultant
• Board member
• Other (specify).

Documentation of professionally-related service to the profession may include:
• Service related to a professional conference
  o Facilitator or session chair
  o Paper reviewer
  o Program committee
  o Keynote address
  o Workshop/training session
  o Other (specify, such as committee member or committee chair)
• Service related to a professional organization
  o Officer
  o Board member
  o Other active involvement
• Refereeing articles for publications
• Reviewer for scholarly journal or book
• Editorial Board member
• Other.

Collegiality
Candidates are expected to demonstrate a continuing pattern of respecting and working well with peers, students, staff, and contributing to the unit’s common purpose. Collegiality will be evaluated by the presence of a variety of positive indicators and the absence of negative indicators. Candidates should address the issue of collegiality in the narrative they provide for review.

Specific examples of collegiality, which are not exhaustive, may include such positive indicators as:
• Collaboration within the unit
• Regular attendance and engagement at meetings
• Respect for department peers (initiating routine communication regarding course and program preferences, changes, logistics of teaching, etc.)
• Attendance at student presentations (particularly as a committee member)
• Academic integrity
• Volunteering in order to contribute to equity of departmental workload
• Agreeing to take leadership roles
• Respect for students
  o Preparing for class
  o Adhering to class schedule and meeting times
  o Providing timely feedback
  o Appropriate interpersonal interactions
• Demonstrated interest and involvement in general departmental welfare
• Demonstrating allegiance to the department (for example, maintaining confidentiality as appropriate, advocating for departmental needs)
• Sharing resources when practical.

*Examples of negative indicators of collegiality may include:*
• General unavailability
• Routine unwillingness to serve on student committees
• Pattern of non-attendance at
  o Departmental meetings
  o College/university meetings
  o Student committee meetings
• Unwillingness to serve on or chair program, department, college, and university committees
• Inadequate performance as committee member, chair (e.g., poor feedback or non-timely feedback on student work, especially dissertations possibly indicating lack of careful reading).
• Uncooperativeness including an unwillingness to agree to teaching assignments (to team teach, to teach specific courses, to prepare new courses, or teach in needed format) as appropriate to the faculty member’s experience/expertise
• Failure to adhere to ethical academic practices including respect for and adherence to issues of confidentiality.
• Violations of academic integrity (e.g., misrepresentation of productivity)
• Repeated incivility.

**Promotion Criteria**
Promotion decisions are based on *patterns* of teaching excellence, sustained research accomplishments, and service activity as well as collegiality. Therefore, all documentation provided in applications for promotion should be cumulative, covering the time period applicable toward promotion. Refer to the Provost’s website at [http://www.usm.edu/provost](http://www.usm.edu/provost) for information regarding the structure and components of a dossier for promotion.

Unlike research, teaching and service do not lend themselves to easy quantification. Committees recognize that early career individuals may have been assigned a limited number of courses and
have not yet been asked to participate on numerous committees or in other service activities. However, new faculty are encouraged to seek out opportunities for professional growth in teaching, research, and service and should be able to demonstrate that they are ready for promotion.

From Assistant Professor to Associate Professor

Teaching: University-administered student evaluations are understood in ESR to be a measure of student satisfaction with the course and instructor, and are, at best, an incomplete indicator of teaching effectiveness. High quality teaching can be demonstrated by a variety of means and should not focus solely on numeric student evaluations (unless other documentation is not provided). That said, the following guidelines will be utilized within ESR for interpreting patterns of university-administered student evaluations and are considered general expectations for promotion to Associate Professor. It is expected that:

1. the majority of scores will be good to excellent, defined as 4.0 to 5.0 on the 5 point scale, and
2. there will be few low and moderate scores, defined as 3.5 or below on the 5 point scale.

A faculty member whose student evaluations fall below expected norms may submit additional documentation to clarify any contributing factors which may have resulted in lower scores.

Service and Collegiality: For promotion to associate professor, the following is expected in the areas of service, and collegiality:
- Service contributions at the program and department level. However, service at the college and university level is often expected
- A high level of collegiality is required.

Scholarship: The ideal candidate for promotion to Associate Professor will have an established and documented record of success in publishing, presenting, and/or obtaining external funding. The approximate research expectations for receiving promotion in-rank to Associate Professor consist of the following:
- Maintenance of an active research agenda
- Candidate has documented seven (7) significant contributions
- Of the seven (7) significant contributions, at least four (4) must be publications in refereed journals related to the candidate’s areas of expertise and the candidate is encouraged to be first or second author on these. Significant contributions may also include, for example, national or international invited publications and/or funded external proposals but excludes published abstracts and proceedings.

Candidates for promotion to Associate Professor are also expected to demonstrate success in providing refereed presentations to professional organizations and/or audiences appropriate to their areas of expertise.

From Associate Professor to Professor

Teaching: University-administered student evaluations are understood in ESR to be a measure of student satisfaction with the course and instructor, and are, at best, an incomplete indicator of teaching effectiveness. High quality teaching can be demonstrated by a variety of means and should not focus solely on numeric student evaluations (unless other documentation is not
provided). That said, the following guidelines will be utilized within ESR for interpreting patterns of university-administered student evaluations and are considered general expectations. It is expected that:

(1) the majority of scores will be good to excellent, defined as 4.0 to 5.0 on the 5 point scale, and
(2) there will be few low and moderate scores, defined as 3.5 or below on the 5 point scale.

A faculty member whose student evaluations fall below expected norms may submit additional documentation to clarify any contributing factors which may have resulted in lower scores.

Service and Collegiality: For promotion to full professor, the following is expected in the areas of service, and collegiality:

- Service contributions at the program, department, and college level. University-level service is strongly encouraged, and service activities may extend beyond the University.
- A high level of collegiality is required.

Scholarship: The ideal candidate for promotion to Full Professor will have established and documented a consistent record of success in publishing, presenting and/or obtaining external funding. The approximate research expectations for receiving promotion in-rank to Full Professor consist of the following:

- Maintenance of an active research agenda
- Contributions utilized for promotion to Associate Professor will be included in the total number of contributions necessary for promotion to Full Professor
- Fourteen (14) significant contributions of which at least ten (10) must be publications in refereed journals related to the candidate’s area of expertise. Excludes published abstracts and proceedings
- The candidate is encouraged to be listed as first or second author on at least eight (8) of the ten (10) peer-reviewed publications
- Significant contributions may also include national or international invited publications and/or funded external proposals
- Letters of support from three external reviewers should provide evidence that the applicant is engaged in meaningful research. The external reviewers need to indicate that they (a) are well-versed in the applicant’s scholarly/research area, (b) are willing and able to make a professional judgment about the quality of the scholarly selections in the applicant’s packet, and (c) have no conflict of interest.

Tenure Criteria
Tenure decisions are based on patterns of teaching excellence, sustained research accomplishments, and service activity as well as collegiality. Therefore, all documentation provided in applications for tenure should be cumulative, covering the time period applicable toward tenure. Refer to the Provost’s website at http://www.usm.edu/provost for information regarding the structure and components of a dossier for tenure.

Teaching: University-administered student evaluations are understood in ESR to be a measure of student satisfaction with the course and instructor, and are, at best, an incomplete indicator of teaching effectiveness. High quality teaching can be demonstrated by a variety of means and
should not focus solely on numeric student evaluations (unless other documentation is not provided). That said, the following guidelines will be utilized within ESR for interpreting patterns of university-administered student evaluations and are considered general expectations for Tenure. It is expected that:

1. the majority of scores will be good to excellent, defined as 4.0 to 5.0 on the 5 point scale, and that
2. there will be few low and moderate scores, defined as 3.5 or below on the 5 point scale.

A faculty member whose student evaluations fall below expected norms may submit additional documentation to clarify any contributing factors which may have resulted in lower scores.

Service and Collegiality: For tenure, the following is expected in the areas of service, and collegiality:

- High quality teaching demonstrated by a variety of means with less emphasis on numeric indicators and more on professional growth
- Service contributions at the program and department level. However, service at the college and university level is often expected
- A high level of collegiality is required.

Scholarship: The ideal candidate for tenure will have an established and documented record of success in publishing, presenting, and/or obtaining external funding. The approximate research expectations for receiving promotion in-rank to Associate Professor and/or tenure consist of the following:

- Maintenance of an active research agenda
- Candidate has documented seven (7) significant contributions
- Of the seven (7) significant contributions, four (4) must be publications in refereed journals related to the candidate’s area of expertise and the candidate is encouraged to be first or second author on these. Significant contributions may also include national or international invited publications and/or funded external proposals. Excludes published abstracts and proceedings.
- Candidates for promotion to Associate Professor are also expected to demonstrate success in providing refereed presentations to professional organizations and/or audiences appropriate to their areas of expertise.

Clarifications

Collegiality - Collegiality implies active participation within the unit and a willingness to work with colleagues in a collaborative and cooperative manner while respecting their academic freedom. The expectation for collegiality applies equally to all members of an academic unit, tenured and untenured alike. Collegiality is a component of professional conduct and is not intended to be discriminatory, as a way of silencing individuals or avoiding controversial issues and discussions but instead, is intended to help avoid unprofessional behaviors that result in purposeful division or disruption of the unit. Collegiality does not always equate to pleasantness, neither does it simply imply positive relationships with administrators and senior faculty. (See section on collegiality.)
Grant Activity - Grant activity is expected and may be counted toward teaching (as in training grants), research or service (as in program development grants) accomplishments. Only those grants that have a substantial research component are to be included in the research section of a candidate’s dossier. It is preferred that the faculty member fill the role of PI or Co-PI on some of the listed research grants, however, serving as evaluator on various types of grants is also valued.

Professional Presentations - Routine research presentations at international, national, and regional conferences are expected (at an equivalent of one or more per year, pending funding for attending such conferences). Refereed conference presentations are given substantially more weight than are those that are non-refereed. Similarly, venue scope (national versus state conferences) is also important in judging the impact and value of the candidate’s presentations. Conference presentations which result in published proceedings are preferred followed by presentations with published abstracts.

Publications – Publications are counted only when the manuscript has been accepted for publication. An article’s status of “published” or “in press” must be documented. Manuscripts that have been accepted pending revisions may be listed if this provisional acceptance is documented. Although collaboration and publication with other faculty members and students are encouraged, single authored publications are by no means implicitly discouraged. Likewise, publishing papers as a collaborating statistician or other supportive role [e.g. as a second, third, or fourth author] is recognized in the tenure and promotion process.

Published – A manuscript that appears in a publication. Candidates should provide evidence of publication.

In press – A manuscript that has been accepted for publication, but has not yet appeared in print. In press publications carry the same weight as published manuscripts. Candidates should provide evidence of acceptance for publication. Manuscripts that have been accepted “pending revisions” may also be considered if the provisional acceptance is documented.

In-progress – A manuscript that has not yet been accepted for publication. Although works in progress do not count as publications, such manuscripts are deemed important as a reflection of ongoing productivity.

Non-refereed – Research findings published in non-refereed journals may have substantial impact on practice so these type publications may be considered in promotion deliberations. It is important to note, however, that it is incumbent on the applicant to document the impact of such research. Publications in non-refereed journals (research or not), even those with high readership, however, are not solely adequate to meet the research requirement for promotion and tenure.

Peer-review (refereed) - Generally accepted criteria for judging publication or journal quality is, foremost, the peer review process and also may include, for example, acceptance rate and impact factor. Any criteria to be evaluated must be documented. There are many resources for finding measures of journal quality. For example, for many psychology and education journals, Cabell’s Directory of Publishing Opportunities provides several
measures of “value.” In order to qualify as a peer-reviewed publication, the outlet should (a) have a formal peer-review process prior to acceptance for publication, (b) needs to be published by a reputable publisher (i.e., no vanity press publications), (c) be abstracted in at least one recognized and appropriate abstracting index (PsycInfo, ERIC, etc.), and (d) provide information about its acceptance rate (i.e., the journal should not accept virtually all submissions).

**External review** - External referees cannot have a personal or mentor-mentee relationship with applicant. Nor can they be individuals who co-authored with or worked at the same institution at the same time as the applicant. The external reviewers must have tenure and the minimum rank of Professor at their respective institutions. These external reviewers should be employed in departments that are comparable to the applicant’s department (e.g., if the applicant is in a doctoral degree granting department, then the reviewer should be employed in a doctoral degree granting department).

**Scholarship** – Scholarship may include, but is not limited to, the sources listed below:

- Research published in nationally recognized competitive, refereed journals
- Books, parts of books, reviews, book reviews, monographs, bulletins, articles and other scholarly works published in refereed journals
- Discipline-specific publications (e.g., training manuals, handbooks, etc.), articles published in professional publications, research reports to sponsors, accepted manuscripts, research notes, published reports and bulletins may be considered
- Funded projects, grants, commissions and contracts (include source, dates, title and amount) completed or in progress
- Presentation of research papers at technical and professional meetings
- Record of participation in and description of seminars and workshops (including short descriptions of activity, with titles, dates and sponsor); indication of role in seminar or workshop (e.g., leader, participant)
- List of honors or awards for scholarship
- Application of research scholarship in the field, including new applications developed and tested; new or enhanced systems and procedures demonstrated or evaluated for government agencies, professional associations, or educational institutions
- Evidence of students’ involvement in scholarly activities (e.g. publications, awards, grants)
- Other evidence of scholarship as appropriate.

**Service** – Service is divided into service to the University (program, department, college and institution), professionally related service to the community, and service to the profession. Applicants for promotion and tenure would ideally demonstrate some activity in all three. However, faculty in the early stages of their career may not necessarily have substantial service contributions to the community or to the profession. For this reason, at the time of pre-tenure review (sometimes called the 3rd year review), service to the program and the candidate’s department are emphasized through ad hoc and standing committee membership.

*University service* - It is important for the candidate to distinguish those service activities that are more appropriately listed as teaching, such as dissertation committee membership,
University service - It is important for the candidate to distinguish those service activities that are more appropriately listed as teaching, such as dissertation committee membership, or as research. Further, some service activities such as program coordination or outside consulting are often remunerated and may not be given great consideration in the promotion and tenure process. If these are not compensated beyond honoraria, however, this should be noted and a case made by the applicant for these activities to be weighted in tenure and promotion decisions.

Community service – Such service must be related to one’s profession in order to be included for consideration in promotion and tenure. Examples of community service are: professionally-related talks to community groups or constituencies; advising of such groups based upon professional expertise; professionally-related service on boards or councils; or direct participation in external-to-the-university instruction, such as volunteering to teach to a group of public school educators. Things not included in community service are non-professionally-related activities such as participation in church activities and other community organizations, advising Scouts, coaching a sports team, or other aspects of daily life unconnected to one’s professional role.

Professionally related service - Service to the profession is primarily concerned with service involving professional organizations. This would include membership on advisory committees or boards, editorial boards, planning committees or awards committees, newsletter editor, membership chair, as well as elected office in state, regional, national, or international professional organizations.

Service awards and grants - Service also includes any kind of professionally related service award. It further includes service grants procured that provide a service to the University, the community, or possibly the profession. Service grants are distinguished from teaching grants, which focus primarily on teaching improvement, and from research grants, which are devoted to providing funds to conduct research.

Kyna Shelley, Ph.D., Member, Departmental Advisory Committee

Ljiljan Hill, Ph.D., Chair, Departmental Advisory Committee

Thomas V. O’Brien, Ph.D., Chair
Department of Educational Studies & Research

Ann P. Blackwell, Ph.D., CoEP Dean

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