

1. INTRODUCTION

The purpose of the School Faculty Guidebook is to describe School administrative procedures affecting Faculty, summarize policies adopted by the School's Faculty guiding governance and other areas of faculty responsibility, and explain the School's philosophy and mission. **In all cases, the University's Faculty Handbook supersedes and defines policies governing conduct, expectations, and procedures affecting faculty.** This Guidebook extends those policies in terms of their interpretation or implementation in the context of a social work faculty culture and academic programs.

1.0 Mission of the School

The mission of the USC School of Social Work is to advance knowledge, inspire leadership, and promote social justice in the service of marginalized and oppressed populations. Based on science and commitment to professional values, we seek to prevent and mitigate severe social problems and build the strength of individuals, families, and communities in urban and rural environments everywhere. We are dedicated to innovation, translation of knowledge to useful application, and interdisciplinary engagement.

1.1 How to Use the Guidebook

The Guidebook addresses all basic areas of faculty rights and responsibilities, as follows:

SECTION TWO: Overview of general faculty roles, school supports, and expectations, of all faculty.

SECTION THREE: Faculty governance responsibilities, voting rights, roles in faculty recruitment and selection, curriculum leadership and decision-making, participation on elected school committees, and roles on other supporting committees.

SECTION FOUR: Faculty/student relations, including School policies affecting teaching, examinations, and grading; management of academic integrity issues, student advising, student review and discipline, and resources for instructional support and improvement that may help faculty.

SECTION FIVE: Types of appointments for tenure track, clinical, and research faculty; recruitment, appointment and development policies; and role of the Search Committee, Faculty Council, Research clusters, and other stakeholders in these processes.

SECTION SIX: Performance review policies for tenure track, clinical, and research faculty, including annual review, third year review and related review committee responsibilities, and school criteria for promotion, and termination of appointments.

Each year Faculty Council will designate a council member or sub-committee to be in charge of reviewing and updating the guidebook as needed.

2. FACULTY RESPONSIBILITIES IN THE SCHOOL OF SOCIAL WORK

2.0 General Rights and Responsibilities for All Faculty at USC

All legally binding faculty rights and responsibilities are addressed in the *USC Faculty Handbook*, which can be accessed at <http://www.usc.edu>.

2.1 Faculty Commitment to School Mission

All faculty are expected to contribute to support the national profile of the School and its commitment to marginalized populations through scholarship, instruction, and leadership. These contributions are expressed in different ways depending on nature of appointment.

2.2 Mandatory Expectations

Faculty are expected to be available for work assignments throughout the period designated by their annual contracts. **Early departure from campus must be approved by the Dean or Vice Dean and must not violate University policies during examination week. Faculty are also expected or strongly encouraged to participate in the following school, university, and national activities.**

Faculty are **required** to participate in the following activities:

- scheduled classes
- faculty meetings
- All School Day
- graduation ceremony
- general assembly during orientation week
- meetings of faculty committees to which they have been elected
- curriculum or planning meetings for the MSW, VAC, and/or PhD programs (e.g. sequence committees, concentration committees) related to courses they teach
- Ad hoc or standing committees to which they are assigned by the Dean

The Dean's office must be notified in advance the event of absence. Contact information should be left for faculty out of town on School business

2.3 Strongly Encouraged School Responsibilities

To build a shared culture and the future of the School, faculty are **strongly encouraged** to volunteer for the following:

- Student recruitment and welcome events
- Student caucus advisory roles
- Faculty recruitment events
- Annual School Student Recognition night
- School holiday parties, receptions, informal celebrations
- Development committees
- Programs and projects of other Schools at USC

2.4 University Citizenship

As citizens of the university, faculty are expected to participate in campus life and affairs, especially the following:

- University administrative committees
- Academic Senate committees
- Interschool collaborations for interdisciplinary program or project development
- University receptions for incoming graduate students
- University recognition ceremonies for alumni or other groups where social workers or other colleagues are being honored

2.5 National Professional and Governmental Engagement

2.5.1 National Professional and Governmental Engagement

As citizens of a global university and members of the broader professional committee, it is essential for USC faculty to assert our presence and leadership in ideas. Faculty are **strongly encouraged** to develop leadership roles in the following:

- National committees and elected offices of the Council on Social Work Education and/or the Society for Social Work and Research,
- National and international governmental advisory committees
National committees related to research for the National Association of Social Workers
- National and international scientific symposia and webinars
- National and international honorific societies

The School will assist with membership dues and travel costs for a limited number of faculty who are willing to participate actively in The Council on Social Work Education, especially on CSWE Commissions or the Boards of these groups.

2.6 Workload Expectations

Faculty Council, in collaboration with the Dean, establishes and reviews general workload expectations for faculty at all ranks, by type of appointment. Many variations in individual profiles are allowed in the school based on administrative assignments, individual development plans, or other agreements with the Dean.

The base teaching expectation for tenured and tenure track faculty is four courses per academic year, with many scheduling options possible. Clinical teaching faculty normally carry a six course load, with variations for those teaching in the virtual academic center.

2.6.1 Research faculty - The Research council need to work on this

Full-time clinical field faculty possess all the rights and responsibilities delegated to clinical teaching faculty. Full-time clinical field faculty are expected to teach at least one or up to two integrative seminars or engage in a series of Evidence Based Intervention Trainings which total the equivalent of one or more

Integrative Seminars. In addition, they are to liaise and advise the students in their seminars and be responsible for additional assignments which equate to a six class load. Additional assignments may include but are not limited to 1) Coordination of field placements and assignments linked to the Concentrations and Sub-concentrations, 2) Academic advisement of Concentration and Sub-concentration students 3) Teaching Evidence Based Interventions as part of the Field Practicum 4) Development of new placements 5) Integration and coordination of VAC placements and placement development 6) Development and Management of “Teaching Institutions” which involved USC student field units of 20 to 25 students 7) Mentorship of junior clinical field faculty, adjuncts, part time instructors and/or External Field Instructors. Assignments will be made by the Assistant Dean and Director of Field Education in consultation with Field Faculty.

Although previously identified as purely “administrative” in nature, the activities of advisement and liaising are directly linked to teaching Field Education Curricula as outline in Field Syllabi and are therefore to be included as teaching responsibilities.

Full-time clinical field faculty report directly to the Assistant Dean and Director of Field Education irrespective of their physical location in any of the current or future Academic Centers, including UPC, OCAC, SDAC, SAC, and the VAC. Full-time faculty are expected to teach in more than one area of the curriculum and to accept the assignment of new course preparations periodically. Clinical and tenure stream faculty have the responsibility for participating in the delivery of the full curriculum and should be prepared to provide leadership outside their individual areas of expertise.

2.7 Faculty Accessibility to Students

Faculty are expected to be available through virtual office hours or in the building where classes are offered for regularly scheduled hours. Hours must be posted where easily observed, on class syllabi, online, and/or on office doors.

Email from students must receive a response within 48 hours, either through personal, telephone, email, or other forms of communication.

Faculty mentoring PhD students must establish patterns of contact that permits the student to make progress, obtain signatures, set up necessary committee meetings, or meet other necessary deadlines.

Informal as well as formal interactions in the School are highly valued. Faculty presence on campus and virtually, through social media, is therefore strongly encouraged and highly valued.

2.8 Expectations for Class Preparation and Instruction

In both the MSW and PhD programs, faculty are expected to use a School-approved template for syllabus preparation, to submit syllabi on time when requested by the Vice

Dean's office, and to revise syllabi annually to reflect empirically supported ideas and practices. For courses with more than one section, no faculty member should depart more than 20% from content and assignments approved by the Curriculum Council.

Faculty must be on time for all classes. In an alternative class plan (i.e. guest lecturer, video) when the faculty member cannot be present, the Vice Dean's Office should be informed. In case of an emergency, unanticipated lateness, or absence, the Vice Dean's Office must be informed so that students can be notified.

2.9 Teaching Schedules

Teaching assignments and schedules for an academic years are made by the Vice Dean for Academic Affairs, **The Vice Dean's office will issue a faculty teaching preference survey each spring for the next academic year and will consider the faculty teaching preferences when making fall and spring courses assignments.**

2.10 Schedules for Research Faculty

XXXXXXXXX to be proposed by Charlie, Haluk, and the research professors groups

3. RESOURCES FOR FACULTY SUPPORT

3.0 Internal Assistance

In addition to university-sponsored resources to support teaching and faculty research, the School also offers additional internal assistance in several forms. The purpose is to ensure that faculty are able to achieve excellence, satisfaction and periodic renewal in their work.

3.1 Annual Research and Travel Stipend

Budget permitting the School provides an annual research and travel account for all tenure stream and clinical faculty to support scholarly activities. Faculty may pool these funds, but they may not be carried over from year to year. No requests for reimbursement or purchases for the current academic year will be considered after May 15.

3.2 Work Study or Other Student Assistance

Budget permitting, all tenure stream and clinical faculty will be allocated limited funds for student assistance. Faculty is free to recruit students eligible for payment under the federal work/study program or to hire any student elsewhere in the university. Students can be effective sources of help with background for class preparation, data analysis and collection, office and file organization, and other tasks.

3.2.1 School Support Services Supervisor Responsibilities

The School Support Services Supervisor is responsible for administering the Work/study program and assists faculty with job descriptions and procedures for recruitment of qualified applicants. Faculty are to submit the Request to Recruit/Hire Work Study Student Form to the Support Services Supervisor in order to begin the process. At OCAC, this request is made to the Director of the academic center. In the VAC, this request is made to the VAC Administrative Coordinator. No Work Study Assistance is provided at SAC. Administrative support for class material copying, collating and distribution at SAC is provided by the Program Assistant.

3.2.2 Faculty Responsibilities

Faculty **must be available to meet with prospective student hires.** The Support Services Supervisor will have limited availability for scheduling, but will notify faculty of names and telephone numbers of students as these names become available. At OCAC, this notification is made by the Director of the academic center.

Most qualified applicants will be identified outside of the School. It should be emphasized that faculty are free to hire students independent of work/study requirements, but no matching federal funds will be available for their compensation.

3.2.4 Compensation

Compensation must be set by skill level, autonomy expected on the job, and complexity of tasks. Unexpended funds cannot be carried over to the next year. Funds available for this program may not be used for any other purpose.

3.2.5 Period of employment

Funds will be available for the nine-month academic year and must be used prior to May commencement ceremonies.

3.2.6 Office Space and Equipment

Workspace for students must be supplied by faculty, perhaps using faculty offices on days when faculty are not present. Other arrangements should be discussed with the Support Services Supervisor. If special equipment is needed it can be requested from the Associate Dean of Administration, but may not be available.

3.2.7 Keys

Work study students must not be given keys to individual faculty offices, the building, or the stairwells. Students should request a Master Key from the Dean's office at UPC if they are in the building on a day when faculty are not present. At the other academic centers, work study students should request access to a faculty office from a Social Work staff member. If Social Work staff are unavailable work study students may request access from the Receptionist. When they have completed their work the student should notify whoever provided access that they are leaving the office to ensure that it is locked. In the event an exception needs to be made to these general policies, faculty should discuss this with the Support Services Supervisor or the academic center director. At OCAC work study students should request access to a faculty office from Social Work staff. If Social Work staff are unavailable work study students may request access from the Receptionist. When they have completed their work the student should notify whoever provided access that they are leaving the office to ensure that it is locked.

3.2.8 Orientation and Supervision

The Support Services Supervisor will provide a general orientation for work study students, but faculty are responsible for ongoing supervision. This is critically important in order to ensure that students are performing expected duties and not, in rare cases, abusing their access to the building.

3.2.9 Travel

Work/study students cannot be asked to leave the campus on behalf of a faculty member.

3.2.10 Compliance with Guidelines

The work/study program is partially federally funded and therefore subject to federally initiated sanctions and penalties. For this reason, it is essential that faculty comply with school policies and federal guidelines in supervision of their students.

3.3 Editorial Assistance

Editorial assistance in manuscript preparation is available to faculty and PhD students through the Hamovitch Research Center.

3.4 Travel to Off-Campus Events

Resources permitting, the School occasionally assist with exceptional costs for off-campus travel or symposium development. Examples include international conferences, unreimbursed travel for CSWE or other scientific commissions, travel for development of new grants, or for some domestic conferences. Faculty are expected to use some or all of their annual research account funds for these purposes before requesting any additional support. Requests should be made to the dean.

3.5 Office Furnishings and Equipment

The School regularly furnishes faculty with updated computer equipment and software, data lines, and other basic communications equipment. Faculty are entitled to ergonomically correct desk chairs or other adjustments to equipment. Other services offered by the school, including audio-visual aids and office supplies are described in APPENDIX D. SAC will provide faculty with a space to meet with students as needed for individual meetings that either may request and audio visual equipment necessary for classroom instruction.

3.6 Information Technology Support

The School's Information Technology Department provides support to all faculty for office-based equipment. Any computer or communications equipment operated from a faculty member's home must be maintained and repaired privately. Any member of the School's IT Department making a home visit for maintenance or repair of equipment must do so outside of work hours and be reimbursed at a private consulting rate.

3.7 Student Tutoring and Learning Coach Services.

The Student Resource Coordinator helps MSW students obtain resources that can be beneficial to their success at the University Park Campus and across all academic centers. The Student Resource Coordinator coordinates learning support services, including peer tutoring and writing assistance. The Student Resource Coordinator collaborates with various university programs to provide students with the most appropriate and helpful services.

The Learning Coach works with students to develop writing skills for successful completion of assignments, including structure, grammar, spelling, punctuation, comprehension of and appropriate response to assignments.

Students on the VAC who are struggling with writing or who are not writing at a graduate level can be referred to Writing Support for tutorials and one-on-one assistance with a writing coach. Faculty should include students in the referral process and can email the Student Services Coordinator or the VAC Writing Instruction Coordinator to communicate concerns. Additional resources are available to all USC students on the

MSW Library Guide page under the "Writing" tab, including instructional videos, PowerPoint presentations, and an MS Word document that can be used as a template for APA and contains writing tips and suggestions.

At OCAC students are assigned an individual tutor by the Director of the Academic Center. Referrals for a tutor may be provided by advisors, faculty, or the student may self-refer. Tutors include graduates of the program as well as final year students with exemplary academic performance.

At SAC student tutoring, when requested, is handled through UPC student tutor coordinator.

3.8 School Librarian and Randall Social Work Information Center

The Randall Information Center is a digital information and training laboratory that provides seamless access to a wealth of print and electronic resources for students and faculty. The Randall Information Center features 20 computer stations for easy access to the Internet and electronic research tools. It is available for independent study, class lectures and training seminars.

3.9 School Librarian and Randall Social Work Information Center

The School's librarian is based in the Randall Digital Information Center at the University Park Campus. However, she visits all academic centers on a routine basis during the academic year and provides support to the Virtual Academic Center through webinars.

The librarian provides guidance on how to effectively search and use information sources, through class visits, appointments, webinars and workshops. Individual class visits and brown bag trainings are regularly done at the academic centers in Orange County, Skirball, City Center and San Diego. Workshops and webinars are conducted synchronously and are open to all academic centers, including the VAC. In addition to these group settings, the librarian meets with students individually, either in person, over the phone or online. Asynchronous guides, videos on library topics relevant to distance education students have been posted online. The USC Libraries have a growing number of e-books, e-journals and databases that are accessible online and available to all students and faculty.

Several library workshops/webinars are scheduled throughout the year for VAC faculty and students. Topics can range from a general session about library services and resources to specific database or APA citations. These workshops/webinars are conducted within the VAC platform. At times, participation to webinars are opened up to all students in our academic centers so these are conducted outside of the VAC platform. Course reserves are handled by the USC Libraries' Integrated Document Delivery department (IDD) and are available online. Faculty can upload digital copies of books or articles or request these items to be uploaded by the library. If a faculty member wants to include materials such as DVDs, books, and journals into the library's collection, they would contact the librarian directly to request resources for purchase. They can also use

the USC Libraries' Recommend a Book service (http://www.usc.edu/libraries/services/idd/recommend_a_book/). The librarian will consider all recommendations and make a final decision on whether to purchase items.

3.10 Instructional Development and Coaching for Faculty

Faculty often face challenges in the classroom. When this is reflected in lower course evaluations, repeated student concerns, or a felt need by faculty members themselves, the school offers instructional guidance and coaching support. The Associate Dean for Faculty Development is available to consult with faculty. In all cases of low student evaluations, the Associate Dean will meet with the faculty member to discuss methods of course improvement. Additionally, webinars about teaching effectiveness are regularly scheduled on the VAC platform to enhance web-based teaching performance.

4. FACULTY ORIENTATION, DEVELOPMENT AND RENEWAL

4.0 Faculty Orientation

All new clinical and tenure track faculty are required to attend academic orientation sessions offered by the Dean and other senior academic officers of the school. Two types of orientation are provided. The first, an orientation to the academic culture of the school, includes aspirations and priorities of the university, priorities for the school of social work, mutual assistance, "citizenship" and collegiality, work patterns, the school's relationship with students, calendars and committees, the faculty role in fund-raising, the annual performance review process, and understanding expectations for tenure and promotion.

Second, all new faculty, full-time and adjunct, must attend the school's orientation to teaching and instruction provided by the Office of Student and Academic Affairs. One or more session are presented during the first semester of the academic year addressing administrative processes such as grading and implementation of the syllabus; management of assignments, examinations, and student feedback; and management of diversity and conflict in the classroom.

4.1 Faculty Development Plans

All tenure track faculty at the assistant professor rank are expected to prepare a 3-year development plan when they first join the faculty. This plan should consist of 2-3 pages that briefly outline major area of theoretical and research interest, a list of anticipated publications and targeted journals, project development goals, courses to be taught, and goals for professional or scientific recognition. This plan should be drafted initially in consultation with the dean and a faculty mentor selected by the new faculty member.

Assistant professors are strongly encouraged to meet monthly with a development committee to review progress, clarify school expectations, and address an issues or barriers affecting implementation of the plan. In many cases, two or more members of the development committee will be selected from the research cluster of which the assistant professor is a part. The development committee will be appointed by the Dean in consultation with the new faculty member.

4.2 Sabbatical Leave

Tenured faculty may be considered for sabbatical leave every 7 years. (SEE UNIVERSITY FACULTY HANDBOOK.) Application for leave must be approved by Faculty Council and the Dean based on a statement of work to be performed during the proposed sabbatical period. The statement of work supporting a request for sabbatical must be specific enough to allow Faculty Council and the Dean to evaluate performance, and a report must be submitted as part of the faculty member's annual performance review following return from sabbatical. SEE APPENDIX XXX FOR PROCEDURES

4.3 Scholarly Faculty Leave

The vitality and esteem of the School of Social Work rests largely on the scholarly activity of the faculty. There are scholarly products that can only be produced when one is granted the opportunity to have a singular focus on that endeavor. Clinical field faculty and clinical teaching faculty will have the opportunity to apply for leave time that will afford them the opportunity for scholarly development and productivity focusing on enriching their depth of knowledge and creative pedagogy in the curriculum areas in which they are engaged as instructional leaders, mentors, and educators in the school. The goal of this benefit is to augment the general quality of teaching, substantive expertise, and competence among clinical teaching and field faculty to enhance the overall scholarly impact of our school within the university and within the field of social work. Resources for scholarly leave will be provided by the School of Social Work rather than by the university, thus the scholarly leave benefit is contingent on availability of funds within the School.

Clinical teaching faculty and clinical field faculty may be granted scholarly leave one time during their service to the university at the Associate rank. They will have unlimited opportunities at the full professor rank. Opportunity to apply for leave will be accrued after six years of full time service to the university. Accrual begins at the point of appointment to full-time faculty. The Dean and Faculty Council should take into consideration the following factors when reviewing applications for scholarly leave:

4.3.1 A definite and well-defined scholarly endeavor must be submitted for approval. A candidate should indicate what the prospect of completion of the project will be and the potential of the proposed leave to contribute to the school's teaching mission, the social work profession, and the applicant's professional development. The following are examples of the type of activities and products that could be developed during a scholarly leave:

- Further study, training, and preparation in one's field of substantive expertise, culminating in a series of articles or a book.
- An externship or fellowship in pedagogy, culminating in a manual or text on pedagogy for social work curriculum.
- Producing a creative or new technology based scholarly product on issues of critical interest to social work, perhaps to be used in orienting faculty, field instructors, and field agencies.
- A field study of pedagogical models and methods across other schools of social work that may fit and enhance the USC MSW program.
- Teaching in a school of social work in another country – China, for example – culminating with an assessment of content and teaching methods that could inform the USC MSW program curriculum.
- Participating in translational research as a clinical consultant, Fulbright fellow, or trainer in an evidence-based program or intervention, culminating in a treatment manual and faculty development events.

- Similarly, participating in the development and initial evaluation of a new, evidence-informed social work intervention in partnership with tenure track or research faculty.
- 4.3.2** The candidate has teaching evaluations by students and faculty council at or above the mean achieved across the school for the 3 most recent years.
- 4.3.3** Scholarly faculty leave will be allowed one semester on full salary. The scholarly leave privilege may not be accumulated (e.g. after 12 years, a scholarly leave of a full academic year may not be taken). The length of leave should correspond with the nature of the proposed activity and capacity of the school to compensate for the absence of the faculty member over the proposed length of the leave.
- In unusual circumstances the faculty member may petition for a full year leave at half-salary, when warranted by the proposed scope of the project. The scholarly leave should be taken over consecutive academic periods (e.g. fall and spring semesters of a given academic year, or spring semester and fall semester of consecutive years, but not fall of one academic year and fall or spring of the following academic year).
 - If a leave is requested or granted for a period shorter than one semester, the faculty taking leave will be required to make arrangements with the sequence or concentration chair and designated faculty, to team teach appointed courses, assuming responsibility for the courses before and/or after the leave.
 - Clinical field faculty requesting scholarly leave must propose and arrange with the Assistant Dean of Field Education and other field faculty to cover their field liaison responsibilities, with an overload assignment for the additional duties.
- 4.3.4** The number of faculty members granted leave per semester will be at the discretion of the Dean, Vice Dean, Assistant Dean of Field Education, and Faculty Council, given the needs and resources of the school.
- 4.3.5** A faculty member on scholarly leave should not engage in other activities for remuneration that would intrude on his or her scholarly leave objectives and activities.
- 4.3.6** The absence of the clinical faculty member should not jeopardize the academic program within the School of Social Work.
- 4.3.7** It is expected that the clinical faculty member will return to the School of Social Work for at least one year after scholarly leave.

4.3.8 A final report shall be provided to the Dean of the School of Social Work and Faculty Council upon the clinical faculty member's return.

4.3.9 Benefits shall continue during the paid scholarly leave.

Note: The application of these guidelines to VAC faculty will be considered during decisions regarding VAC governance.

Faculty who are eligible for sabbatical should ideally discuss their plans with the Dean and Vice Dean no later than April 15 of the prior academic year, especially if there are significant implications for committee assignments, teaching, or PhD supervision. Sabbaticals may be deferred based on urgent need in the School, lack of School resources, or by request of the faculty member.

5. SCHOOL GOVERNANCE: RIGHTS AND ROLES OF FACULTY IN BUDGET, PERSONNEL, AND CURRICULUM DECISION-MAKING

5.0 Decision-Making Authority of University Officials

The President, Board of Trustees, and Provost set university-wide policies that govern the School. Within that context, the Dean and faculty create guidelines and procedures for internal processes and programs. Alumni groups, students, the Board of Councilors, and other stakeholders provide additional advice.

5.1 The Dean's Governance Role

The dean is the Chief Executive Officer of the school, responsible for development and implementation of budget; information systems; design of organizational structure; conditions of work and physical plant; formal external relations with School constituencies; fund-raising and resource development; staff evaluation; program assessment and accountability; and advancement of the School's national and international reputation. The Dean is expected to provide the School's strategic vision, to promote visibility of the School in Southern California, and to advance interdisciplinary and international relationships.

The dean is expected to consult with faculty, students, alumni and other constituent groups in the process of decision-making.

5.2 Shared Faculty/Dean Leadership Roles

The dean has a joint leadership role with Faculty in several types of decisions. These include strategic planning; faculty recruitment; annual evaluation of faculty performance; recommendations for merit, bonus, and other forms of reward for performance; assignment of faculty to a teaching, research or alternative profile; review of faculty for contract continuation, promotion, and/or tenure; and faculty workload expectations.

5.3 Faculty Role in Personnel Decisions

Faculty hold an independent role in the selection and evaluation of their peers. These responsibilities include evaluating applicants for faculty appointments and making recommendations to the dean on selection of candidates; setting criteria for evaluation of

performance and progress toward reappointment, promotion, and or tenure; and conducting annual performance review of their peers with recommendations to the dean regarding needed areas of improvement and merit distribution. They independently review and formulate recommendations for promotion and tenure for submission to the University Committee on Appointments, Promotion, and Tenure.

5.4 Faculty Role in Curriculum Decisions

Faculty have lead responsibility for curriculum decisions that shape the goals, structure, and content of the School's academic programs. The Curriculum Council of the School formulates recommendations for adoption, revision, or rejection by an electronic or full faculty meeting vote. Advice from the Dean, students, employers and other constituent groups is important in this process.

Tenure track faculty have ultimate responsibility for the development, implementation, and evaluation of the School's curriculum. Clinical and research faculty hold a valued and important place in the curriculum decision-making process and many lead roles in the delivery of the school's programs. However, tenure track faculty maintain an override vote over all curriculum decisions made by the total faculty as a group.

5.5 Faculty Role in Fiscal Decisions

Faculty have a vitally needed perspective on how resources in the school should be allocated. Faculty Council designates representatives to attend regularly scheduled meetings during the annual budget goal-setting period. The Chair of Faculty Council is generally invited to meet with the Dean and senior administrative advisors when final budget decisions are made prior to budget submission in the spring. The Dean reports to faculty periodically on the status of the budget and in open forums where faculty may raise questions or offer advice.

5.6 Faculty Voting Rights

For purposes of determining voting rights, there are five classes of faculty and staff. Voting rights vary by class as follows (also refer to Table 1 below):

5.6.1 Tenure-track Faculty are eligible to vote on the following: tenure and promotion, curriculum policies, administrative policies, and governance issues. Tenure-track faculty will keep ultimate responsibility for the development and delivery of the School's curriculum by maintaining an override vote on curriculum decisions made by the larger faculty. However, use of that vote should be done rarely and with great discretion, and will require a 2/3 vote of tenure-track faculty in order to override any curriculum decisions made by the larger faculty. In addition, any vote of the full faculty that diminishes the tenure track faculty's participation in the governance of the school may be overridden by a 2/3 vote of the tenure-track faculty.

5.6.2 Clinical Teaching and Clinical Field Faculty are eligible to vote on curriculum policy, administrative policy, and governance issues.

5.6.3 Research Faculty are eligible to vote on administrative policy and governance issues.

5.6.4 Senior administrative staff are eligible to vote on administrative policies. If they also have continuing instructional responsibilities in the curriculum, they may vote on curriculum and governance issues.

5.6.5 Adjunct faculty and part-time instructors will have an advisory vote on curriculum matters. Those adjunct faculty demonstrating a long history of commitment, leadership, involvement, and responsibility in the School and as a result, have been promoted to the position of Adjunct Professor, with full voting rights on curriculum matters.

Table 1 - Voting Rights

	Tenure and Promotion	Curriculum	School Administration Policy	Governance Issues
Tenure/tenure track	X	X	X	X
Clinical Teaching		X	X	X
Adjunct Faculty		Advisory Vote ¹ X		
Field Educators		X	X	X
Sr. Administrative Staff		Advisory Vote ² X	X	

Those adjunct faculty who hold the title of Adjunct Professors have full voting rights on matters of curriculum.

Senior Administrative Staff who are also tenured faculty or who have continuing instructional roles will have a full curriculum vote - currently these include the Dean, the Vice Dean of Academic Affairs, the Assistant Dean of Field Education, the Assistant Dean of Student Affairs and the Assistant Dean, Orange County Program.

TO BE REVIEWED BY FACULTY COUNCIL. ADDITION OF RESEARCH FACULTY NEEDED IN CHART

School Committees and Faculty Meetings

5.7 Expectations for Faculty Participation

Much of the business of the School is conducted through the committee structure. **As an engaged citizen of the School, all faculty are expected to attend faculty meetings, serve on committees to which they are elected or appointed, and share equally in**

committee assignments. Faculty must from time to time agree to accept responsibilities of committee leadership.

5.8 Faculty Meetings

The faculty as a whole meets regularly during the academic year. Faculty meetings are used to

- disseminate information,
- strengthen collegial relationships,
- deliberate policy matters,
- advise the Dean on administrative matters,
- elect membership of Faculty Council, Curriculum Council, and Research Council
- vote on matters brought by the standing committees.

Two faculty meetings each year are designated as **full day retreats**, one in the Fall to address a major curriculum concern, and the second, in Spring, focusing on research issues. The Curriculum Council is responsible for preparing the agenda and content of the Fall meeting, while the Research Council leads the Spring retreat. The agendas must be approved by Faculty Council in consultation with the dean.

Attendance at faculty retreats is mandatory as are all other faculty meetings.

Regularly scheduled faculty meetings are led by the Chair of Faculty Council, who develops the agenda in consultation with the Dean, Faculty Council members, chairs of other standing committees, and others who may wish to contribute. The Dean must be notified in the event a faculty member cannot attend.

5.9 Elected Committees: Faculty Council

Faculty Council is the most important elected representative faculty advisory body in the School. **If elected, it is mandatory that the faculty member serve irrespective of any other responsibilities.** The Chair of Faculty Council is given reduced workload assignments and additional compensation in recognition of the demands of this position. **Faculty Council members are expected to attend all meetings.**

5.9.1 Faculty Council Responsibilities

Faculty Council is a representative advisory body to the Dean and Faculty, with an independent role in recommendations for tenure and promotion. Specifically, the Council carries out the following:

- Advises the Dean and Faculty on budget and administrative issues
- Organizes and interprets the interests and concerns of faculty and students, advising the Dean and/or developing recommendations for full faculty consideration
- Recommends to the Faculty and/or the Dean policies relating to faculty personnel matters, including recruitment, appointments, career development, merit standards, workload policies, and promotion and tenure procedures.

- In collaboration with the Dean, appoints ad hoc review committees for faculty undergoing third year probation reviews, reviews for promotion and tenure, and reviews for promotion to associate or full professor.
- Collaboratively with the Dean, sets the agenda for faculty meetings and convenes special meetings if required
- Reviews and makes recommendations on the structure and functions of other governance committees of the School
- With the Dean, develops strategic hiring plans
- Serves as the Search Committee for the School in collaboration with the Dean
- With support from the Vice Dean of Academic Affairs, sets criteria and implements the Annual Performance Review of all clinical and tenure stream faculty
- Serves as the Appointments, Promotion and Tenure committee for the School and advises on all matters affecting adjunct faculty
- Represents Faculty interests on Administrative Council, when required
- Represents the School in the Academic Senate
- Participates in the annual budget review process, as desired
- Appoints special ad hoc committees to address issues of school-wide significance that arise from time to time
- Appoints sub-committees to assist with faculty search, performance review, or other designated functions, as needed. Membership may be drawn from the faculty as a whole, but sub-committees may only recommend. Faculty Council retains authority for all final decisions and recommendations.
- Reviews annual accomplishments of the Dean, if mutually agreed.

5.9.2 Composition and Elected Terms of Faculty Council Members

The Clinical Teaching Faculty representatives and Clinical Field Faculty representatives will serve terms of two years (staggered). They will be ineligible for election to Faculty Council for two years and to Curriculum Council for one year following their term of service. Clinical representatives must be at the rank of Associate or Full Professor.

Tenure-track Assistant Professors will serve for 1 year. They will be ineligible for election to Faculty Council for two years and to Curriculum Council for one year following their term of service.

Tenure-track Associate and Full Professors will serve for terms of two years (staggered). They will be ineligible for election to Faculty Council for two years and to Curriculum Council for one year following their term of service.

Faculty who carry the title of Dean cannot be elected to Faculty Council, but can also be ex-officio.

SHOULD WE WAIT UNTIL WE DECIDE WHAT TO DO WITH RESEARCH and VAC FACULTY?

5.9.3 Faculty Council Nomination and Election Procedures

Elections for Faculty Council will be held annually in March. In alternate years, Curriculum Council members will be elected first. The following procedures will apply:

Tenure track faculty representatives will be selected by the tenure track faculty; clinical teaching faculty will be chosen by clinical teach faculty; and clinical field faculty will be voted on by clinical field faculty.

WHAT ABOUT RESEARCH FACULTY?

- The Office of the Vice Dean will prepare an accurate list of eligible candidates to be included on the ballot. Elections will be held on line.
- Candidates must receive the majority of votes cast in order to be elected to Faculty Council. Run-off elections will be held, as needed.
- The **Chair of Faculty Council** will be selected in a separate ballot from among those continuing or newly elected to the Council. Only those at Associate or Full Professor rank with prior experience of at least 1 year on Faculty Council are eligible. All clinical and tenure stream faculty will be eligible to vote for the Chair. In order to be elected, the candidate must receive a majority of the votes. The election will be held on line, with a run-off election as needed. The Chair is elected for 1 year and may be reelected.
- A **Vice Chair of Faculty Council** will be selected following election of the Chair. Any member of the Council at the Associate or Full Professor Rank is eligible. All clinical and tenure stream faculty will be eligible to vote. In order to be elected, the candidate must receive a majority of the votes. The election will be held on line, with a run-off election as needed. The duties of the Vice Chair will be defined by Faculty Council. The Vice Chair is elected for 1 year and may be reelected.
- Either the Vice Chair or the Chair of Faculty Council must be a tenure stream faculty member.

5.9.4 Schedule of Meetings

The Faculty Council determines its schedule of meetings, but typically convenes every other week.

5.9.5 Meeting Agenda and Format

Except when in Executive Session around personnel matters, all Faculty Council meetings are open and any faculty member may attend. Meeting agendas will be set by the Dean, the Chair, and Faculty Council members, with an invitation to faculty at large for items to be considered. Faculty at large will receive the agenda for every meeting once it is established.

5.9.6 Minutes of Faculty Council Meetings

The Dean's Office will be responsible for preparing minutes of every Faculty Council meeting for circulation to the general faculty. The Faculty Guidebook will be updated periodically as decisions are made by Faculty Council and the general faculty. Updates will be reviewed by a designated Faculty Council member for fidelity to the original decision.

5.9.7 Officers of Faculty Council and Delegated Functions

The Chair and Vice Chair are officers of Faculty Council. The Chair will determine how responsibilities will be delegated to Council members for representation at the Academic Senate, Administrative Council, the annual budget review process, and other committees. While representation in the Academic Senate is **mandatory**, it may be performed by any member of the Council.

5.9.8 Reports to Faculty

The Chair of Faculty Council will present a report on the Council's deliberations at every general faculty meeting with the exception of Faculty Retreats.

5.10 Elected Committees: Curriculum Council

The Curriculum Council is the School's most important vehicle for faculty leadership in creating curriculum content, evaluating learning outcomes, defining mechanisms to ensure academic progress of students, and setting standards of excellence for the classroom, whether virtual or traditional.

5.10.1 Curriculum Council Responsibilities

Curriculum Council is a representative advisory body to the Dean and Faculty, with an independent role in recommendations on curriculum related issues. Specifically, the Council carries out the following:

- Reviews, recommends modifications, and approves certificates or specialized for-credit experiences; Individual course modifications; New course proposals; New concentration/sequence proposals; Proposed joint degrees, new degrees or modified degree requirements; Proposed changes in curriculum delivery; and Proposed inter-institutional degrees
- Curriculum management to assess progression, impact, and congruence with CSWE educational standards
- Curriculum overviews to achieve congruence with external policy change, new knowledge, changing student characteristics, and faculty capacity
- Based on previous year's assessment of strategic priorities and review of data collected/analyzed over the summer, Curriculum Council sets plans for the year's work including courses to be reviewed, gaps to be filled, expertise requested, subcommittee membership, and theme of annual curriculum faculty retreat.
- Provides Faculty Council and the Dean with a recommendation for the strategic hiring needs to support MSW instructional programs

- Provides the Dean with a Year-end Report that focus attention on a small number of key priorities based on review of data, analysis, small group discussions, and Curriculum Council decisions during the preceding academic year.
- Appoints sub-committees to assist with priorities, targeted reviews, learning outcomes, student issues, and ongoing curriculum management. Membership may be drawn from the faculty as a whole, but sub-committees may only recommend. Curriculum Council retains authority for all final decisions and recommendations.

5.10.2 Curriculum Council Subcommittees

A set of standing Curriculum Council subcommittees better distributes the work of Curriculum Council. The section below provides a description of each subcommittee's role and responsibility.

- **Priorities Subcommittee:**
 - Planning and oversight of processes that result in a set of Strategic Annual Priorities, including Curriculum Council discussion about areas of the curriculum to emphasize in the coming academic year
 - Cross checking that the foci of other committees remain consistent with the priorities selected for emphasis in the current academic year.
 - Oversight of data collection from alumni, students, faculty, and employers that enable Curriculum Council to make decisions about priorities for the next academic year.
 - Maintaining a historical record of priority areas so that, on a year-to-year basis, Curriculum Council covers diverse curriculum areas.
- **Targeted Review Committee:**
 - reviewing monthly data on benchmarks related to student “careers” in the school including admissions, retention, completion and student supports
 - Makes recommendations on the kinds of information required in order to carry out an informed review of a particular curriculum area including asking for specific kinds of reports or work to be conducted by groups within the school charged with ongoing management of specific curriculum areas, such as sequences, concentrations, or sub-concentrations
 - Reviews curricula at other institutions and/or seeking consultation from internal or external experts to advance the thinking about the review of a targeted curricular area.
- **Learning Outcomes Subcommittee:**
 - Responsible for providing oversight and guidance of efforts to systematize the process of collecting and reporting on student learning outcomes, which includes specific CSWE EPAS competencies or other competencies of concern in addition to/outside of those specified by CSWE.

- Select specific questions of interest to study on an annual basis related to student learning outcomes.
- Produce/review an annual report on student learning outcomes that would inform Curriculum Council decision-making and be shared with the whole faculty.
- **Student Issues Subcommittee:**
 - A joint Faculty and Student committee that would discuss and prioritize curriculum issues raised by Student Organization
 - Determine the alignment and synchronization with strategic priorities, measurement of student learning outcomes, and implementation issues.
- **Ongoing Curriculum Management Subcommittee:**
 - Make recommendations on routine curriculum management issues, such as making changes to course names or catalog descriptions, adding new courses, and considering new program development such as joint degrees.
 - Communicate with sequences and concentrations about timelines to facilitate standard requests coming to Curriculum Council in a timely manner.

5.11 Curriculum Council Composition

The Curriculum Council will consist of eight voting members reflecting those faculty constituencies who have voting privileges with regard to the curriculum (see Table 1 above). Those voting members will be comprised of 4 tenure-track faculty (3 tenured faculty and 1 tenure-track assistant professor), two clinical teaching faculty, and two clinical field faculty.

The tenure-track faculty representatives will be voted on by the entire tenure-line faculty. The field faculty representatives will be voted on by the field faculty. And the clinical teaching representatives will be voted on by the clinical teaching faculty. ***Members elected to Faculty Council may request that their names be removed from the CPRC election ballot.***

The term of office will be two years for all elected members of CPRC except assistant tenure-track professors who will serve for one year. The three tenure-track members, the two clinical teaching, and the two clinical field faculty will have staggered terms so that half the membership will be replaced each year. The two year terms, as well as the staggered terms, will allow for some continuity in committee composition. Members who complete their two year term will be ineligible for election for a period of two years. Members will be ineligible for election to Curriculum Council for two years and to Faculty Council for one year following their term of service.

CPRC will be convened by a Chair who will be appointed by the Dean. CPRC members will have an advisory vote in selecting the Chair from amongst the committee members. Normally, s/he would be appointed from among the eight elected members of the Committee.

The Vice Dean for Academic Affairs, the Assistant Dean of Field Education and the Assistant Dean of Admissions and Financial Aid will serve as ex-officio members of CPRC. CPRC will be staffed by the Office of the Vice Dean for Academic Affairs.

Faculty, who are eligible for election to CPRC but who are planning a sabbatical/scholarly leave (for either one or both semesters of the pending term), will not be eligible for election to CPRC until they return from their leave.

Members of CPRC who go on sabbatical/scholarly leave during their 2 year term will be replaced by another tenured member elected specifically to fill the remainder of his/her term (a full year even if it's a semester's sabbatical). After completion of the term of office, the replacement member will not be eligible for election to CPRC for the usual two years. The Council member who was on sabbatical will not be eligible for election for a period of two years which includes the sabbatical year.

5.12 Lead Instructor Requirements and Duties (approved by Curriculum Council November 3, 2010)

Lead instructors are assigned to coordinate and facilitate multi-section foundation year and concentration year courses to ensure basic consistency and continuity in the delivery of course material across class sections. Lead instructors for courses work closely with sequence and concentration chairs, who have primary responsibility for curriculum oversight.

Multi-section courses, particularly in the foundation year, may involve 20+ class sections taught by 10 or more different faculty at six different teaching centers – UPC, CCC, OCAC, SDAC, SAC and the new Virtual Academic Center. Concentration year multi-section courses tend to involve a smaller number of class sections, usually no more than 7 with about four to five faculty involved in the delivery of the course. Some concentration courses are taught at multiple teaching centers.

5.12.1 REQUIREMENTS FOR LEAD INSTRUCTOR:

- Is either full time faculty or adjunct associate professor (under special circumstances as appropriate) within the School of Social Work and is appointed by the Vice Dean in consultation with sequence and concentration chairs. As noted above, in some cases sequence chairs are the lead instructor.
- Have had at least one to two years experience with the course to which they are assigned as lead faculty
- MUST currently be teaching the class(es) for which they are lead instructor
- Have experience working in a USC School of Social Work multi-section course
- Are assigned lead instructor status where there are four or more instructors teaching sections of the same course

Lead instructors are principally responsible for mentoring new faculty learning to teach a course, seeing that common materials are available to all instructors for a course, some administrative responsibilities, and organizing faculty to continuously review and update course content and structure.

5.12.2 DUTIES FOR THE LEAD INSTRUCTOR:

Review and revise syllabi in consultation with the faculty group

The lead instructor will lead efforts to:

- Organize and update course readings: add more recent readings; remove outdated readings
- Ensure that attention is given to diversity
- Ensure that format is consistent with the template for School syllabi
- Distribute course template to all faculty teaching the course

Text books

- Review status of texts – check to confirm available edition
- Place book orders with Thomas Camacho
 - Order for Spring Semester: November
 - Order for Fall Semester: May
- Request desk copies for faculty new to the course (from Thomas)
- Update and post new journal articles to ARES
- Ensure that new faculty members have access to copies of additional readings (ARES is not available to faculty or students until the first day of class in each semester)

Coordinate and facilitate faculty review and refinement of assignments

- Maintain a record of course issues from the last time the course was taught and ensure that course faculty address and improve identified areas.
- Keep in mind that foundation year part time students are not in field placement
- Ensure that standard rubrics are in place to encourage consistency in grading across class sections. As necessary, assign or recruit faculty members to develop or refine rubrics.
- Provide guidance on division of course assignments. Note: Although smaller and more frequently required assignments seem to be more effective in the student learning process, adjunct faculty in particular have difficulty devoting the time necessary to grade papers 4 or 5 times per semester. Three assignments is often a reasonable assessment approach. In some courses, however, a mid-term and final are the only assignments.

Suggestions for supporting delivery of the Course

For example, a lead instructor might:

- Coordinate sharing of teaching tools (e.g., including Power Points, videos, etc.)

- Coordinate efforts to share or develop class exercises (application in class of theory and discussion)
- Depending on the class, coordinate the development of special projects to be promoted across class sections.
- Support efforts to share or develop materials for instructors to use in the classroom in the delivery of the course material.

Assist Administration; Support faculty teaching the course

- Attend course scheduling meetings with administration and provide input on faculty teaching the course, times and location of the courses
- Meet with and provide new faculty with an orientation to the sequence/concentration
- Encourage attendance at sequence and concentration meetings
- Be available for questions and concerns registered by faculty in the sequence/concentration
- Schedule a minimum of two general faculty meetings with faculty during the semester the course is offered (Some sequences/concentrations meet monthly)
- Be available to problem solve
- Assist in development of student learning measures

Note: The lead faculty member in most cases is strongly encouraged to make use of the talent and expertise of instructors teaching the course in facilitating its ongoing development. Lead instructors provide essential foundational resources to ensure consistency and quality of instruction through initial mentoring and facilitation of resource availability. Lead instructors are not charged with ongoing oversight of classroom instruction. This responsibility lies with the Vice Dean of Academic Affairs.

5.13 RESEARCH COUNCIL: John Brekke, Haluk, and Charlie to write

5.13.1 PhD Committee: Function and Composition

(a) In consultation with the Dean and the PhD program director, the PhD Committee has responsibility for overseeing administrative and curricular issues in the PhD program. It oversees recruitment, admissions, financial aid, course scheduling, and student progress through the program, relations with the Graduate School, and relations with other PhD programs nationally/internationally, and monitors interdisciplinary connections of the School's program with other academic units throughout the university. In its curriculum capacity, the committee oversees all curriculum matters pertaining to the program and consults with the Curriculum Council regarding relationships between the MSW and PhD programs. Major substantive changes to the program are brought to the full faculty for review and approval. The Committee also approves students' proposals for individual plans of study.

(b) The director of the PhD program is appointed by the Dean. Membership of the PhD Committee consists of all faculty with significant teaching and research responsibilities in the PhD program who are eligible to mentor doctoral students. Each student cohort in residence (usually 1st, 2nd, and 3rd year classes) also elects a representative to serve on the committee.

(c) The committee is responsible for assisting the PhD program director and the Dean in any program reviews required by the university or other sanctioning bodies. In addition, the committee must periodically assess outcomes of the PhD program, including time-to-degree, post-graduation employment outcomes, and publication and other scholarly benchmarks by students.

5.14 School Administrative Committees and Advisory Groups

5.14.1 Dean's Council: Composition and Function

The Dean's Council is convened on an irregular basis to discuss major crosscutting issues that affect faculty, staff, and students. The purpose is to provide the Dean with multiple perspectives on broad strategies that determine the future of the School. The Council is comprised of the Chair of Faculty Council, the Research Council Chair, the Vice Dean for Academic and Student Affairs, the Associate dean for Administration, and the Associate Dean for Advancement. Decisions are advisory to the Dean.

5.14.2 National Advisory Committee: Composition and Function

From time to time, the Dean may organize a national advisory group comprised of deans and professors of prominent schools of social work. The purpose of this committee is to think critically and creative about how the School might best develop over the next 3-5 years, given the current context, resources, and alternatives. The focus may be on curriculum, research, or other themes set by the dean.

5.14.3 Board of Councilors: Composition and Function

The School of Social Work Board of Councilors is comprised of community members who are committed to advancing the resources of the School and promoting its visibility. Members are recommended by the Dean for approval and formal appointment by the President of the University. The Board also provides advice to the Dean on visions and initiatives for the School; assists in expanding the School's networks here and abroad; and contributes directly to professorships and other endowments in the School.

5.14.4 Latino Alumni Community Advisory Committee

The Latino Alumni Community Advisory Committee meets at least three times annually to advise the Dean on the School's outreach to Latino students, faculty, and community members. The Chair of the Committee and its membership are self-selected and represent graduates of the School who have a continuing commitment to improving the competence of our graduates in relating to diverse

populations and our scholarly leadership in the area of immigration studies and other topics of particular importance to the Latino community. The Committee has responsibility for assisting the School in increasing endowed funds for student scholarships, professorships, and programs concerned with Latino health and welfare services.

5.14.5 Administrative Council

The Administrative Council of the School is comprised of all senior administrators who report to the Dean or the Vice Dean of Academic Affairs and the Director of Technology. Administrative Council meets twice per semester, and more often when necessary, to discuss administrative budget issues and planning, personnel policies and related matters, university strategic goals that impact the administrative operations of the School, issues in administrative coordination, and inter-school relationships. The Council is chaired by the Dean

5.14.6 Administrative Staff Committee

This Committee is chaired by the Assistant Dean for Administration and includes all support staff of the School. It meets periodically to share information, coordinate activities and advise the Assistant Dean on administrative matters in the School. The committee acts as the main forum for discussion of changes in the School that may affect support staff and for articulating needs and concerns of support staff. Its purpose is to promote team-building, positive relationships with faculty and senior administrators, improved productivity, and high morale.

6 SCHOOL FACULTY RECRUITMENT AND APPOINTMENT POLICIES

6.0 Equal Opportunity and Affirmative Action

The University of Southern California is proudly pluralistic and firmly committed to providing equal opportunity for outstanding men and women of every race, creed and background.

This University and the School are firmly committed to complying with all applicable laws and governmental regulations at the federal, state and local levels which prohibit discrimination, or which mandate that special consideration be given on the basis of race, religion, national origin, gender, age, Vietnam veteran status, disability, sexual orientation, or any other characteristic which may from time to time be specified in such laws and regulations. This good faith effort to comply is made even when such laws and regulations conflict with each other.

USC strives to build a community in which each person respects the rights of other people to be proud of who and what they are, to live and work in peace and dignity, and to have an equal opportunity to realize their full potential as individuals and members of society. To this end, the University places great emphasis on those values and virtues that bind us together as human beings and members of the Trojan Family.

6.1 Tenure-Track Faculty Recruitment and Appointment of New Assistant Professors

6.1.1 Criteria for Appointment as Assistant Professor

The School of Social Work has established criteria for appointment to the faculty at the rank of Assistant Professor, as follows:

6.1.1(a) A master's and doctor's degree in social work, social welfare, or related fields from an accredited school, and evidence of outstanding performance as a graduate student;

6.1.1(b) Evidence of experience in professional practice including roles as consultant or administrator;

6.1.1(c) Expert knowledge or skills in one or more curriculum areas and evidence of competence to teach in traditional or non-traditional formats (e.g. distance education);

6.1.1(d) Capacity for scholarly research and publication as reflected in a clear program of research that has already produced publications, grants, or other results that show promise of making important contributions to the field;

6.1.1(e) Commitment to work on a collegial basis;

6.1.1(f) Commitment to interdisciplinary and/or international scholarship - including teaching;

6.1.1(g) Commitment to the welfare of students and to being available to them for advisement and consultation;

6.1.1(g) Ability to relate and be helpful to students of varied ethnic and religious backgrounds and to work in a multiethnic urban community;

6.1.1(h) Demonstration of a philosophy of education in harmony with that of the School and the University and commitment to advancing the major objectives of the School.

An applicant who has all of the qualifications, with the exception of completion of a doctoral dissertation, may be appointed to the rank of Instructor.

6.2 Faculty Search Process: Full-Time Tenure and Non-Tenure-Track Faculty

Searches for tenure and non-tenure track faculty observe the University's commitment to acting proactively and creatively to encourage excellent candidates from under-represented groups and untraditional backgrounds. Accordingly, the School participates in targeted (i.e., formal) and ongoing recruitment and retention activities in order to maintain a faculty that reflects the racial, ethnic and cultural diversity of the School's student body and of the communities to which we are committed to serving. Ultimately, recruitment, screening, and evaluation of prospective full-time tenure and non-tenure track are the responsibilities of the Faculty Council. In any given year, Faculty Council may choose to serve as the formal search committee for any or all searches and searches for Associate Deans. Appointments of all full-time tenure and non-tenure track faculty are made by the Dean.

6.2.1 Searches for Adjunct and Research Faculty

6.2.1(a) Recruitment, screening, and evaluation of prospective *adjunct faculty* are the responsibilities of the Office of the Vice Dean for Academic Affairs. Appointments of adjunct faculty are made by the Vice Dean, in consultation with sequence and concentration chairs.

6.2.1(b) Recruitment, screening, and evaluation of prospective *research faculty* are the responsibility of the Dean, in consultation with Associate Dean for Research and the Director of the Hamovitch Center.

6.2.2 Search Sub-Committee

6.2.2(a) Search Sub-Committee Role In any given year, Faculty Council may delegate some of its formal faculty search responsibilities to a search sub-committee.

6.2.2(b) Composition

- Members of the faculty search committee will be identified jointly by the

Dean and the Chair of Faculty Council, and appointed by the Dean based on faculty workload and other considerations.

- Where possible, Search Committee appointments will be made by the end of May following determination of the search priorities for the forthcoming academic year.
- In addition to the Chair, the search committee shall consist of three full-time faculty members, including one (1) tenure-track faculty member, one (1) clinical teaching faculty member, and one (1) clinical field faculty member.
- Ideally, a member of the Faculty Council will serve as one member of the committee. If a member of the Faculty Council is not able to serve as a member of the committee, a member of the Faculty Council will serve as the liaison to the search committee. This member may include the Chair of Faculty Council.
- At the request of the Chair of the search committee, additional faculty may be asked to serve on the committee. Such requests may be common during years in which there are multiple searches. Faculty Council must be notified of any additions to the committee.

6.2.2(c) Responsibilities

- The faculty search committee is an advisory sub-committee of Faculty Council.
- Priorities for recruitment and selection of candidates will be set annually by Faculty Council in May.
- The search committee will use these priorities to (a) recruit applicants, (b) screen applications, (c) work with the Dean's office in planning candidate visits to the School, (d) review and summarize evaluations of the candidate, and (e) make recommendations to Faculty Council.
- Faculty Council is responsible for recommending whether candidates should be hired, at what rank and with what special considerations, if any.
 - When recommendations are initiated by the Dean, Provost or other academic units, Faculty Council shall review the candidate and her/his application and provide the Dean with feedback about whether the School should proceed.

6.2.3 Search Priorities

6.2.3(a) The Faculty Council and the Dean will annually set priorities for searches and hiring.

- By the end of April, a State of the School Report will be prepared and delivered to Faculty Council. This report will be based on summaries of trends and needs provided by (a) the Office of the Vice Dean, on MSW curriculum and instructional resources, (b) the Director of the PhD

program, on instructional and research mentoring needs, (c) the Deans' office, covering university and external trends, challenges, and opportunities, and (d) the Associate Dean for Research, highlighting funding patterns and research needs in the Hamovitch Center. The Office of the Dean will compile these reports for distribution to Faculty Council.

- By the end of the spring semester, using information presented in the State of the School report, faculty search priorities will be established jointly by the Faculty Council and Dean.

6.2.3(b) To identify highly desirable prospective candidates from under-represented groups, the Faculty Council and the Dean will, of necessity, act proactively, move assertively, work closely with the School's diversity subcommittee to search national and international networks of scholars, and act in other ways to develop young scholars and educators who may fill gaps in the faculty profile. In all aspects of the search process, academic excellence will, in all cases, remain the single most important criterion.

6.2.4 Preparation of Search Announcements

6.2.4(a) Formal Searches During years in which a formal search is conducted, the Dean will draft the position announcement to be advertised, with approval by Faculty Council.

6.2.4(b) Ongoing Searches It is understood that the search for full-time faculty is a proactive and continuous process that may extend over more than one academic year. Applicants or potential candidates identified in one academic year may be considered and reconsidered in subsequent years.

6.2.5 Screening of Applications

6.2.5(a) Formal application through a written letter, accompanied by CV, is generally required to initiate screening of an application. At least 2 references are required, but the timing at which the references are contacted will take into account the requests and unique situation of the applicant and/or search (see section 5.2.4).

6.2.5(b) Application Screening

- Applications shall be processed and screened throughout the summer and fall semester (and throughout the year as necessary since recruitment of faculty is proactive and ongoing). A spreadsheet will be maintained in the Dean's office to track progress of all applications.
- Applications shall be acknowledged by the Dean's office in writing within 3 weeks of receipt. All applicants who are screened out will be informed in writing within 2 weeks of this action.
- Faculty will be periodically updated on the status of search activities by

the Chair of Faculty Council and the Dean.

- A spreadsheet listing all applicants will be distributed monthly to Faculty Council. The spreadsheet must show relevance of applicants to search priorities, highest degree, current position/university, and ranking by search sub-committee (if any).
- The Search Sub-Committee is responsible for selecting the best 3 candidates, given search priorities and assigning scores to each reflecting internal ratings by sub-committees members and specific factors rated.

6.2.6 Candidate Visits

6.2.6(a) Formal Visits Applicants recommended by Faculty Council must be reviewed by faculty and relevant stakeholders. Normally, a candidate will be scheduled for a 1-2 day visit that includes a colloquium, meetings with Dean and other appropriate administrators, Faculty Council, MSW & PhD students, relevant faculty curriculum concentrations and/or CPRC, the Field Department, community groups, and other campus academic units.

6.2.6(b) Informal Visits Faculty Council may invite persons who are seen as possible faculty hires to give a colloquium, informal talk, or classroom presentation. In no case is this informal invitation to be seen as a substitution for formal recruitment procedures, but rather is an early means of acquainting individuals with our School and community and/or early screening of their potential.

6.2.6(c) Coordination of Visits The Office of the Dean shall assume responsibility for coordinating visits of faculty being considered for tenure-track appointments; the Office of the Vice Dean shall assume responsibility for coordinating visits of faculty being considered for non-tenure-track appointments.

6.2.7 Candidate Evaluations and Recommendations

6.2.7(a) For both formal and informal visits, written evaluations shall be completed by members of the School community, including faculty, students, staff, and other key stakeholders.

6.2.7(b) Evaluations shall be submitted to the appropriate office (i.e., the Office of the Dean or the Office of the Vice Dean), which will then prepare summaries of the evaluations.

6.2.7(c) A copy of the submitted evaluations and summaries shall be forwarded to the Faculty Council.

6.2.7(d) After careful review, Faculty Council will forward a recommendation to the Dean.

6.2.7(e) The Dean shall make the final recommendation regarding particular candidates and shall alone be responsible for subsequent discussions with the candidate regarding an offer to join the faculty and any negotiations related to such an offer.

6.2.7(f) The Dean shall make the final recommendation to University administrators regarding any faculty appointment.

6.2.7(g) Candidate Notification of Decision. Applicants will be notified within 4 weeks of the results of the review process.

6.3 Secondary Tenure Track Faculty Appointments

6.3.1 In keeping with the university's emphasis on interdisciplinary scholarship and teaching, the School is committed to helping faculty move across interdisciplinary boundaries and broadening their sense of academic "home." One of the most useful mechanisms for accomplishing this goal is **joint faculty appointments**. "Joint Appointments" in the School are defined as two or more regular instructional, research, or clinical appointments, including those with 0% effort ("complimentary appointments").

6.3.2 A faculty member may acquire a joint appointment in a variety of ways:

- When the School and one or more other academic unit create a joint appointment, advertise the position, and jointly hire a faculty candidate;
- When the School and one or more unit create a joint appointment for a specific prospective faculty member;
- When an academic unit is recruiting a prospective faculty member learns during the recruitment process that the faculty member also wants to hold an appointment in the School; or
- When a faculty member in the School who already holds a regular tenure-track or clinical appointment, or is being recruited for a tenure-track or clinical appointment in the School, wants to add an appointment in another school or college.

In any of these scenarios, the Dean of the School and the Dean(s) of other academic units involved will create a general plan for the joint appointment for review by Faculty Council. Once approved by Faculty Council, this plan must be specifically outlined in a formal, written memorandum of understanding that will either be appended to the offer letter for a new faculty member, or following the faculty member's acceptance of the offer.

6.3.4 Changes in Appointment

Faculty members who hold joint appointments may wish to change them over the course of their academic careers at the University. The school may also wish to change the terms of its arrangements with individual faculty members. These

changes may arise because of new opportunities, changes in faculty interests and focus, or difficulties in the original joint appointment.

6.3.4(a) Making Changes in Budgeted Appointment. The two deans' offices will try to agree in advance if possible, on the procedures by which the faculty member will be allowed to make a shift in a budgeted joint appointment. Before making a change in a budgeted appointment, the initiating school will consult with other schools in which the faculty member holds an appointment.

6.3.4(b) Discontinuing Appointments The deans will clarify the terms under which the faculty member would be allowed to discontinue a joint academic appointment. If an annual or promotional review shows that a given faculty member's duties or connections to one of his or her academic appointments have become attenuated, or if the appointment has become purely ceremonial, the school or college may wish to discontinue the appointment. If a school or college wishes to discontinue a joint faculty appointment, the Dean's office must consult with the other units in which the faculty member holds an appointment.

6.3.4(c) Faculty "Right of Retreat" If the faculty member holds a 100% tenure commitment divided between two or more units at the time of the appointment, one of the units should give the faculty member the option of increasing his or her appointment to 100% in that unit. When it is not possible for either school or college to offer this option, the faculty member must be fully informed about what options are available.

6.3.4(d) Conflict Resolution The deans' offices should identify the steps the faculty member should follow if the faculty member experiences concerns about the terms of the joint academic appointment and/or the actions of the schools involved. If a department, school, or college has concerns about a faculty member's performance or conduct, the administrator most knowledgeable about the concern should handle the difficulty. Each dean's office has a responsibility to notify the faculty member's other school or college of disciplinary action toward the jointly appointed faculty member.

6.3.5 Review Processes

6.3.5(a) Streamlining Process Wherever feasible, the Schools should streamline the requirements of the faculty member. For example, the School of Social Work might agree to accept the form the faculty member's other school or college uses in annual reviews.

6.3.5(b) Conducting Annual Reviews Each year, all schools involved in the joint appointment must review the faculty member with a budgeted joint appointment in the areas of research, teaching, and service. In the context of these annual reviews, the Dean must provide feedback to the faculty member about fulfillment of the expectations, responsibilities, and procedures outlined in the

appointment agreement. When appropriate, the dean must discuss with the faculty member matters of overall workload and the possibility of shifting emphasis with regard to research, teaching, or service.

6.3.5(c) Choosing Reviewers The Dean may ask Faculty Council to select a special sub-committee for review of faculty with joint appointments, and encourage Faculty Council to identifying scholars who are capable of looking beyond the boundaries of social work as traditionally defined. In non-traditional, innovative, and cross-disciplinary research, few people grasp or understand the whole picture of the faculty member's academic agenda. Consequently, the jointly appointed faculty member may be more vulnerable to critique from colleagues across the disciplines in which he or she works. Scholars in a single discipline can be inclined to break down the work into discipline-specific components. Careful choice of reviewers can mitigate these risks.

7 APPOINTMENTS, PROMOTION AND TENURE

7.1 Annual Performance and Peer Review of Tenure-Track Faculty

Faculty submit an Annual Performance Report, covering the previous calendar year. These reports are reviewed by members of the Faculty Council for the purpose of recommending annual salary merit increases. Three categories of faculty activities are evaluated: (1) Student Centered Activities, (2) Scholarship, (3) Community Service (School, University and Community).

At least three committee members independently read faculty dossiers which include: (1) an updated curriculum vitae; (2) a summary of activities for the past calendar year (See Annual Performance Report); (3) workload; and (4) student evaluations. Each category of activities is rated from 1 (no evidence of excellence) to 5 (evidence of excellence, creativity and leadership), with comments explaining the ratings given. Expectations for performance increase with increased rank. Assistant level expectation is to demonstrate excellence; Associate level expectation is to demonstrate excellence and creativity; Full Professor level expectation is to demonstrate excellence, creativity and leadership. No specific weights will be given to individual items in each category. The overall score is a summation score, reflecting overall rating in each category of activity with supporting comments. The Dean may call the committee together to resolve differences in ratings, but this step is not mandatory. Committee members will not review their own dossiers and all ratings will be confidential. Only the Dean will have access to them, and s/he alone is responsible for final decisions on merit increases.

The instruments used by faculty to make their assessments of the colleague's performance are included in **Appendix G**.

7.1.1 Late Submission of APRs

7.1.1(a) Faculty are expected to submit APRs by the deadline.

7.1.1(b) In exceptional situations and/or individual emergency, a faculty member can request an extension from Faculty Council. Given the timeline, Faculty Council may or may not grant an extension.

7.1.1(c) Faculty are given the option of sharing sensitive and confidential issues such as health or mental health with the Dean or Vice Dean rather than with Faculty Council. The Dean or Vice Dean will then present the request to Faculty Council, while maintaining the faculty member's confidence.

7.1.1(d) If a faculty member does not request an extension or if the extension is not granted, there will not be a merit increase for that faculty member that year. The rationale for this is as follows: If a faculty member does not submit by the deadline or adjusted extended deadline, there can be no evaluation. Because there

can be no evaluation, there is no justification for salary increase. Therefore, the sanction would be no salary increase.

7.1.1(e) The faculty member will still be required to submit their APR to the Dean or Vice Dean as appropriate.

7.2 Development Committees

7.2.1 No one is required to have a Development Committee, but once appointed, the committee must set a schedule for meetings (preferably monthly), convene on a formal basis, and set up a work plan. Committee members may be changed at the request of the mentee.

7.2.2 The Development Committee discusses all aspects of work with the mentee: collegial relations, teaching, research, and general adjustment. The mentee is responsible for convening the committee, preparing material for committee member review, and maintaining a written timeline that shows progress toward academic goals.

7.2.3 In the event a mentee decides to withdraw from USC as a result of a negative third year or mandatory six year review, the role of the Development Committee is to assist the mentee in reviewing options outside the university and in preparing for alternative career paths. It is the responsibility of the committee to coach and support a faculty member through all phases of development, even as goals may change.

7.2.4 Development committees may be appointed for faculty at any rank. The purpose in these cases may be to assist an associate in preparing for future promotions; to change areas of specialization and teaching; or to address other challenges such as preparing for retirement.

7.3 Reappointment - Third Year Review for Assistant Professors

All assistant professors with tenure-track appointments are subject to an intensive review during their third year of employment. The purpose of this review is to determine whether a faculty member continues to show high promise of successful promotion and tenure at the university. The School uses this opportunity to determine what resources and developmental opportunities are necessary to help a candidate further strengthen his/her academic profile prior to the mandatory six year review. In the event that the third year review is largely negative, the School will then assist the faculty member in reviewing career options and will help a candidate in making a positive transition.

The third year review is a valuable opportunity for faculty to form a consolidated view of their progress, to address challenges and areas for improvement, and to lay a foundation for their mandatory six-year review. It is a serious and significant milestone in an academic career at the School.

7.3.1 The Review Process

The third year review process is independent of the annual merit review. (See **Appendix H – Third Year Review Dossier Preparation and Calendar.**) A three-member committee is selected by the Dean and the Chair of Faculty Council and is charged with preparing a report and recommendation regarding reappointment on behalf of Faculty Council. All tenure stream and non-tenure stream faculty read the dossiers of candidates and submit their evaluations. These evaluations are used by the internal review committee, together with their own assessments, in drafting their report. Once approved, Faculty Council submits this report to the Dean, who then meets with the candidates to discuss conclusions and next steps. The Dean makes the final decision regarding reappointment.

7.3.2 Responsibilities of the Third Year Review Committee

7.3.2(a) After agreeing to accept this responsibility, the chair should meet with the Dean to ensure that there is mutual understanding of policies and procedures for the review.

7.3.2(b) The chair is then responsible for meeting with the faculty member as soon as possible after the committee appointments have been made by the Dean in September. The chair should ensure that the faculty member understands the purposes of this review and the calendar to be followed. Any questions about procedure should be referred to the Chair of Faculty Council. **Under no circumstances should the chair either encourage or discourage the faculty member with respect to probable outcomes of the review.**

7.3.2(c) The chair should meet once with the faculty member to answer any general questions and if requested, to review the career statement and/or CV. **No editing or detailed feedback should be given regarding the career statement, although general comments are valued and acceptable.** The career statement should be the faculty member's work.

7.3.2(d) The chair should convene the entire committee and set up a plan for meetings and report preparation, following the calendar provided in the School's Faculty Handbook. Committee members must be reminded that this is a confidential personnel proceeding, and no discussion of the faculty member's work is to take place outside the context of the committee.

7.3.2(e) Each member of the committee can be given a substantive assignment at the time of the first meeting relating to preparation of the evaluation that will be submitted to Faculty Council. For example, one member might review research; a second, the teaching record; and a third, the service record.

7.3.2(f) It is the responsibility of the chair to assemble the final report to Faculty Council. All components of the report to Faculty Council must be substantive and data-driven. Examples of previous reviews may be obtained by the chair from the Executive Assistant to the Dean. (These examples have been edited to ensure privacy.) **The final report must make a recommendation to Faculty Council as to whether the faculty member should be reappointed.** In the event a committee is unable to agree on a recommendation, the chair will designate a “majority opinion” and “minority opinion.” Both views shall be presented in the report to Faculty Council.

7.3.2(g) The chair is responsible for submission of the report to Faculty Council. This should be done by providing an electronic copy to the Executive Assistant for the Dean, who will distribute the report to Faculty Council members. Faculty Council will make the final decision regarding reappointment, but may ask the chair and committee members for future clarification of some aspects of the report, if necessary.

7.4 Review of Progress - Fifth Year Administrative Review

All assistant professors, whether on the clinical or tenure track, must meet annually with the Dean to review progress. In addition, the Dean will conduct an administrative review of progress for tenure track faculty at the beginning of the year before mandatory university review for tenure and promotion. The purpose of the administrative review will be to assess which resources might be needed at this final point to strengthen the tenure profile and to discuss major issues that may be present. The results of this review will be communicated to Faculty Council

- At the beginning of a faculty member’s 5th year, the Dean will conduct an administrative review of the progress being made.
- The Dean will meet with the faculty member.
- The Dean will develop a recommendation and report, and present it to Faculty Council in executive session.
- If there are concerns, Faculty Council will discuss them and provide consultation and advisement to the Dean.
- The Dean will then write a letter to the faculty member.

7.5 Promotion and Tenure

(See **Appendix I** - Procedures for Promotion and Tenure Reviews)

7.5.1 Promotion and Tenure Reviews

In making determinations regarding promotion and tenure, three areas of performance will be evaluated: 1) scholarship; 2) teaching and related academic duties; 3) service to the School, university, community, and profession.

Scholarship and teaching are the primary areas of accomplishment to be evaluated and the candidate must demonstrate he/she has met the criteria specified below for

both major areas in order to qualify for promotion. It is also essential that the candidate demonstrate an adequate record of service to the university, School, community and /or profession in order to qualify for promotion, but such a record will not offset less than acceptable performance in scholarship and teaching as specified below.

7.5.2 General Criteria for Evaluating Scholarship

Faculty members are expected to demonstrate scholarship attainment in all of their work. Scholarship may be defined as production for dissemination of original or new information, thinking, conceptualization, or analysis through normal publications, (in a mission-oriented profession such as social work, the faculty values a wide range of scholarly endeavor. Quantitative efforts, qualitative research, historical studies, theoretical contributions, thoughtful critical reviews of existing knowledge and well documented case studies can all add to the knowledge base for the profession). Receipt of substantial funding for research from prestigious foundations or federal agencies based on peer reviews of research proposals is also an indication of quality scholarship. Receipt of more modest sums of money from university peer-reviewed sources, or from small foundations, is evidence of scholarly activity. Although not a substitute for an approvable profile as outlined in #1 (Criteria for Promotion to Associate Professor), acceptance of a book proposal with one or more completed chapters is evidence of scholarship.

The most clearly displayed evidence of scholarship and the most readily assessed by colleagues are publications in prestigious peer-reviewed journals. Publications include peer-reviewed, invited articles, or chapters in books, authored or edited books, and occasional works published in other nationally influential publications.

Full-time tenure-track, but not yet tenured faculty, are invited to review and submit signed evaluations if they wish, but they are not mandated to do so. Their comments will be considered by the review committee, but will not necessarily be reported to the Faculty Council.

7.5.2(a) The review committee will have available the candidate's dossier plus student evaluations and annual performance reports. The committee will collate the faculty evaluations and add their own. In the review process, the review committee chair will convene meetings, assign responsibilities to each committee member, assemble the overall report for discussion of the review committee and obtain a final tally of recommendations.

7.5.2(b) The written Third Year Review Report is submitted to the executive committee (all tenured members of Faculty Council). The executive committee of Faculty Council meets to act on and approve the report. The Chair of the Review Committee should attend this meeting, however the Dean will not be present. The Dean may, however, request to meet with Faculty Council for clarification of the

report. The Executive Committee may ask the Review Committee for further clarification or evidence to support recommendations. At the point the Review Committee's report is approved by Faculty Council, a copy is sent to the Dean and to the candidate. The candidate may send a rebuttal both to Faculty Council and the Dean at this time.

7.5.2(c) The Dean has a meeting with the candidate to review the final report. The Dean makes the final retention decision and any decisions regarding future plans for the candidate.

7.6 Criteria for Promotion to Associate Professor

Promotion to Associate Professor with tenure is based on a network of peer review assessments of a candidate's excellence and creativity in both scholarly research and teaching, as documented in the dossier, with outstanding performance required in the area of scholarly research and at least solid performance in the area of teaching.

7.6.1 Scholarship

Excellence and creativity in scholarship is evidenced by outstanding performance in scholarly research, professional activity, and publication that indicates the candidate has made a real contribution to the field, and that his/her contribution has made an impact on the social work profession. The School of Social Work requires outstanding performance in the following criteria:

7.6.1(a) Evidence of scholarly contribution to and impact on the social work profession, as evidenced by high quality publications in sufficient quantity within peer-reviewed journals, in both social work and related disciplines. The candidate is expected to produce a body of work that demonstrates a consistent pattern of scholarship, focus, and independence.

"High quality" will be measured by the following:

- The majority of publications within accepted top-tiered journals, with an emphasis on publication within the social work profession;
- Journal impact factors if work is published in journals outside of social work;
- Sole or lead authorship on the majority of peer-reviewed publications; and
- If the candidate is a frequent collaborator resulting in multi-author publications, his/her own contribution should be distinguishable and important.

"Sufficient quantity" will be measured by the following:

- 2 to 4 peer-reviewed articles per year, the majority of which are in top-tiered social work journals or comparable high-impact journals in a related field

7.6.1(b) A sustained scholarly trajectory, measured by evidence of ability to attract external funding, and/or validation for one's work:

- PI role preferred;
- Highly competitive granting agencies preferred (e.g., peer-reviewed federal and private granting agencies)'
- If candidate is a frequent co-principal investigator or co-investigator, his/her own contribution should be distinguishable and important;
- Highly reviewed and published book with a prestigious publisher (e.g., Oxford) that has wide impact on the social work profession; and
- High recognition by a distinguished national or international body for candidate's scholarly contribution to the social work profession.

7.6.1(c) Recognition by leaders in the field for one's quality of scholarship, as evidenced by the following:

- Peer-reviewed scientific meetings and conferences;
- Invited conferences and colloquia;
- Editorial boards and guest editorships; and
- Scholarly research awards.

7.6.2 Teaching

Excellence and creativity in teaching is evidenced by solid performance that indicates the candidate has made a real contribution in teaching and curricular activities including student advisement and mentoring. The School of Social Work requires at least solid performance in the following criteria:

7.6.2(a) Evidence of excellence in teaching and impact on student learning as evidenced by pedagogical rigor, content expertise, and creativity in instructional design and delivery skills:

- Developing content expertise in more than one area of instruction;
- Incorporating learner-centered methods into course content, delivery, and assessment;
- Developing course innovations using media-enhanced and/or distance-learning technologies;
- Incorporating evidence-based knowledge, skills, and practice in course content and methods;
- Incorporating diversity knowledge, skills and practice in course content and methods;
- Demonstration of application of teaching strategies whose effectiveness has been validated through research; and
- Teaching and/or mentoring at the doctoral level.

7.6.2(b) Areas of excellence and creativity in teaching can be evaluated by the following:

- Course syllabi and related materials;
- Student evaluations;
- Results of student learning;
- Peer-observation reviews/evaluations;
- Dissemination of pedagogical expertise within peer-reviewed venues (peer-reviewed and invited scientific meetings or conferences);
- Teaching or mentoring at the doctoral level; and
- Teaching and/or mentoring awards and grants.

7.6.3 Service

Service is evidenced by a record of engagement and leadership activities of quality and recognized value which may include service to the School, to the university, profession, community, and to regional, national, and/or internationally recognized organizations or groups. Service-related activities, although necessary, are not sufficient to meet the criteria for promotion and are encouraged insofar as they do not detract from the candidate's scholarship. The School of Social Work values the following criteria:

7.6.3(a) Evidence of engagement and leadership activities of quality and recognized value as evidenced by the following:

- Participation and leadership service to the School which may include serving on school-wide committees, development of new programs or expansion, and contributions to the intellectual climate of the School;
- Participation in university-wide committees that enhance the mission and strategic plan of the university;
- Evidence of sustained engagement with outstanding professional and/or community groups, agencies and organizations to provide consultation services in the development and teaching of professional workshops, symposia, seminars, etc.;
- Evidence of sustained engagement with outstanding professional and/or community groups, agencies and organizations to provide consultation on the integration of scholarship and creative activities with practice, implement evidence-based practices, and evaluate results;
- Appointments to leadership positions or professional offices within these recognized organizations; and
- International and/or interdisciplinary collaborations or networks with faculty from other schools, within and outside of the university, and abroad.

7.6.3(b) Areas of excellence and creativity in service and leadership can be evaluated by evidence of the following:

- Documentation of activities indicating the extent and quality of service as identified above;
- Documentation indicating organizational memberships and official leadership appointments;
- Receipt of awards and honors for service; and
- Other documentation or evidence indicating excellence and creativity in service and leadership.

7.7 Criteria for Promotion to Full-Professor

The criteria for promotion to full professor are as follows:

The School of Social Work recognizes four alternative profiles in faculty teaching and research as an acceptable basis for promotion to Professor. While the normative profile assumes a balance of teaching and scholarship, some faculty after tenure may choose to focus on developing their knowledge and expertise in teaching and/or outreach. An average of two publications and four classes is expected for an individual with the normative profile. For those selecting a teaching profile, a course load of 5 classes and 1 publication is required, or in the absence of publication, a course load of 11 classes over a 2-year period. A faculty member who allocates more than 10% of effort annually in service or outreach activities may adopt a profile in this area, provided there is also evidence of national leadership and dissemination of ideas. Publications are defined as a book, peer-reviewed journal articles, edited books, book chapters, and peer reviewed research proposals to federal sponsors. Proposals of more than \$100,000 submitted to a foundation or state or local government agency are also considered. Single and multiple authored products are equally valued. It is understood that faculty profiles may change over time in relation to faculty interests and school needs.

When requesting promotion to the rank of Full Professor, it is expected that the candidate be engaged in unique scholarly activity that results in intellectual impact in their field. This contribution should be in accord with the academic mission of the School of Social Work. Excellence should be evident and achievement should be sustained. The candidate's academic profile should demonstrate seminal or ground-breaking scholarly work(s) that has resulted in influencing the direction of their field or academic community. The candidate should be rated as a recognized senior person within the School and within the field.

More specifically, promotion to Full Professor is based on:

- A sustained record of scholarly productivity in a well-defined research area as evidenced by scholarly record (e.g. 25-30 first authored or sole authored publications including refereed chapters, articles in peer-reviewed journals, evidence of external funding, authored /edited books, or some parallel combination of the above);
- A well defined academic trajectory;

- Demonstrated impact of scholarly activity in social work or in an interdisciplinary area as evidenced through SSCI citations counts of other indices of intellectual impact;
- Excellence in teaching including chairing doctoral level tutorials and dissertations
- Evidence of leadership in the field as assessed through strong national professional contribution or community contribution;
- Evidence of national/international standing as reflected in external assessments of scholarship by 15 or more external reviewers at the Full Professor rank (or parallel rank in research institutions) chosen from peer institutions;
- Continuous involvement and leadership in the School of Social Work (or university) and faculty governance as evidenced by writing curriculum, chairing major curriculum committees (e.g. concentrations and sequences), school governance committees, and chairing third year and tenured faculty reviews, chairing faculty searches and ad hoc committees.

If the candidate's scholarship is interdisciplinary, the School should take special care to evaluate the work properly. The lists of external references should include other disciplines, or where possible, experts in the individual's own type of interdisciplinary scholarship. It may be valuable to request help from other appropriate USC departments in defining the list of referees. It may be helpful to request an evaluation of the scholarship from appropriate USC departments or programs. This evaluation may be included in the dossier by the Chair or Dean.

7.8 Termination of Tenure Track Appointments

7.8.1 Terminal Appointments in the Probationary Period

7.8.1(a) A tenure-track faculty holding a probationary appointment must, by the end of the probationary period, either be granted tenure or be given a terminal appointment. Such an individual cannot be retained on a non-tenured full-time basis past the maximum probationary period except under extraordinary circumstances and with the approval of the Provost.

7.8.1(b) Tenure-track faculty holding, but not completing a probationary appointment, may not be retained beyond the maximum probationary period, including being transferred to a non-tenure track employment category. However, if there are extraordinary circumstances requiring the retention of such a faculty, a request for exception may be submitted to the Provost.

7.8.1(c) When there is a proposal to shift an individual from tenure-track faculty status to non-tenure track status before the end of the probationary period, documentation will be submitted to the Provost's to show that the individual actually will have the work profile of a non-tenure track rather than a tenure-track faculty member.

7.8.1(d) Annual performance reviews of probationary faculty shall reflect their progress toward meeting and exceeding the minimum standards. A notice of non-reappointment should not be confused with dismissal for cause. It is only required that the decision to reappoint a probationary faculty member is neither arbitrary nor capricious, nor a violation of law. An established probationary period only has significance if there is a definite time at which the probationary period ends.

7.8.1(e) When a recommendation or decision not to renew an appointment has first been reached, the faculty member involved shall be informed of that decision in writing by the cognizant dean or vice president. If the faculty member makes a request to that dean or vice president of the reasons which contributed to the excellence in teaching and scholarly research can be demonstrated by faculty.

7.8.1(f) A university is as strong as its faculty. A principle especially important to achieving a strong faculty is that the quality of a faculty member's work is not assessed by the potentially capricious judgment of any single person, but rather by a searching review conducted by the faculty member's colleagues. This principle is given form by making sure that each faculty member is provided a Tenure Decision Date when this process of review must be completed, and assuring that the President, as is required by his/her accountability to the Board of Trustees for maintaining the long-range quality of the institution, makes a final decision on the award of tenure based on this full and careful process of peer-review by colleagues.

7.8.1(g) If formal tenure review for a faculty member has not been initiated by the beginning of the sixth year, the faculty member shall bring this to the attention of the Provost by written notice. The Provost shall then notify the appropriate school to commence the review procedure. There is no such thing as de facto tenure.

7.8.1(h) If the result of the tenure review is to deny tenure to the faculty member, the faculty member shall be entitled to a terminal year of employment beyond expiration of the annual contract in place at the time of the decision.

7.8.2 Changing from Tenure-Track to Clinical Appointment

(Please refer to School of Social Work Faculty Guidebook section 8 "Appointment and Promotion of Tenure Track Clinical Teaching Faculty", and section 9 "Appointment and Promotion of Non-Tenure Track Field Faculty.")

8. NON-TENURE TRACK FACULTY

8.1 Personnel Policies and Practices for Non-Tenure-Track Faculty

8.1.1 Types of Non-Tenure-Track Appointments.

Non-tenure-track faculty members are those on appointments, which do not lead to consideration for tenure. They may be appointed on a full-time or part-time basis (see below). Such appointments are for terms of one year and may be renewed at the pleasure of the Dean. The cognizant vice-president or the Provost must approve all initial appointments of non-tenure faculty.

The titles and modifiers below are restricted to non-tenure track faculty in the School of Social Work.

8.1.1(a) Part-Time Lecturer (less than 50% time) - an individual engaged solely in teaching from 1 to 3 courses per academic year, with no obligation for research or University service. Appointment as Part-time Lecturers teaching less than 50% time may be made on a semester basis and may be renewed indefinitely. After review and recommendation of the cognizant curriculum chairperson (see d.1), the Dean of the School will make the appointment and issue a contract letter setting forth assignments, salary and limitations of the appointment.

8.1.1(b) Part-Time Lecturer (50% or more time) - an individual engaged solely in teaching 4 courses or more per academic year (and teaching-related duties) with no obligation for research or University service. Initial appointments as part-time Lecturers (50% or more) will be made upon review and recommendation of the Faculty Council and approval of the Dean. Appointments will be made for one year. The Dean of the School of Social Work will issue a contract letter which sets forth the duties, salary, limitations and terms governing renewal. Contracts for appointment may be renewed as outlined in section D. below.

8.1.1(c) Adjunct Part-Time Faculty Persons whose professional accomplishments qualify him/her for a ranked position on the faculty to teach in an area of special expertise may be appointed to an adjunct position. Basic requirements for appointment in this category minimally include the completion of the Master of Social Work degree and/or a doctoral degree in Social Work or an advanced degree in a related profession or discipline, plus at least three years of post-professional degree practice experience, and three years of continuous part-time teaching at this School of Social Work or a social service or mental health agency having a formal affiliation with this School of Social Work. The academic, practice and teaching experience of candidates for this position and for any advancement will be presented to the Faculty Council for review and recommendation to the Dean for approval and recommendation to the Provost.

The evidence justifying the promotion and retention of adjuncts at any level will include student evaluations and other forms of teaching evaluations implemented at the School, adherence to the guidelines for faculty behavior and attendance and participation at sequence/concentration and faculty meetings.

Adjunct appointments and promotions may be made at the following levels and on the following basis:

Adjunct Assistant Professor-persons having 3 years of continuous part-time teaching and prior appointment as “Part-time Lecturer” at this School of Social Work or affiliated agency, reviewed and recommended by the Faculty Council and approved for appointment by the Dean.

Adjunct Associate Professor-persons having 6 years of continuous part-time teaching and appointment as “Part-time Lecturer” and/or “Adjunct Assistant Professor” at this School of Social Work or affiliated agency, reviewed and recommended by the Faculty Council and approved for promotion by the Dean.

Adjunct Professor-persons nominated by a tenure-track faculty member of the School of Social Work, reviewed and recommended by the Faculty Council, and approved for promotion by the Dean.

For purposes of this section, continuous service will not be considered interrupted if the School or affiliated agency is unable to employ a person for a period of one year. Interruptions due to this cause will not be counted against the continuous service needed to qualify a candidate for appointment at either Adjunct Assistant Professor or Adjunct Associate Professor.

8.1.1(d) Research Faculty. The university and School also allow for appointment of persons in non-tenured faculty research capacities. These appointments will typically be for persons who are primarily engaged in research and principally supported by external funding. Such persons will usually be associated with the Hamovitch Research Center. This individual may engage only in limited teaching and only as an ancillary responsibility.

Research appointments may be made at the following levels and on the following basis:

1. **Research Instructor** - an individual who holds a Master of Social Work degree but who has not yet completed all work for the doctorate degree.
2. **Research Assistant Professor** - an individual who holds a Master of Social Work degree, or a doctoral degree in Social Work, or an advanced degree in a related discipline or profession, and demonstrates the same promise for research and scholarship expected of a person appointed to the tenure-track

assistant professor position, and whose background and experience are deemed sufficient for the proposed research activity by the Faculty Council and the Dean.

3. **Research Associate Professor** - an individual who holds requisite degrees and has demonstrated the quantity and quality of research and scholarship that meets criteria the faculty deems sufficient for promotion to Associate Professor. The candidate should demonstrate background and experience that are deemed sufficient for the proposed research activity by the Faculty Council and the Dean.
4. **Research Professor** - an individual who holds requisite degrees and has demonstrated the quantity and quality of research and scholarship that meets the same criteria in scholarship and research expected of tenure-track Faculty who are promoted to Professor. The candidate should demonstrate background and experience that are deemed sufficient for the proposed research activity as determined by the Faculty Council and the Dean.

Appointments in the research professor categories will be made after review and recommendation by the Faculty Council, and approval of the Dean.

8.1.1(e) Visiting Faculty Visiting faculty appointments are made of qualified persons on temporary leave from another institution or otherwise at the university for a limited period of time. These persons may be:

- (a) citizens of another country limited by their visas to temporary service;
- (b) on leave from another university or college; or (c) on leave from industry, government, or the professions. The term is used to modify the titles: Instructor, Assistant Professor, Associate Professor and Professor. The term is not appropriate for other full-time non-tenured faculty who are hired on a short-term or temporary basis. Appointment is on an annual basis and may be renewed only once.

Appointments in this category may be made at the following levels depending on qualifications:

- Visiting Instructor
- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor

Appointments of visiting faculty be made in accordance with the recommendation of the Dean and review by the Faculty Council, and will be based upon credentials presented by the candidate to support the recommendation.

8.1.1(f) Emeritus Faculty

This appointment is available for regular faculty members at the time of their retirement from the University with at least ten years of full-time service. The title is conferred by the Provost upon the recommendation of the Faculty Council and the Dean of the School of Social Work. Emeriti faculty may be offered full-time or part-time employment with the University for a specified term, subject to the approval of the Provost.

All non-tenure-track faculty members shall have access to active participation in all matters related to non-tenure-track faculty policies, and in any other faculty matters as provided in accordance with the Academic Senate Constitution.

8.1.2 Selection, Development and Evaluation of Non-Tenured Teaching Faculty

There is an ongoing demand to recruit and retain non-tenure teaching faculty based on the following:

8.1.2(a) In response to the competitive research environment and the rising demands on tenure-track faculty for scholarly activity, publications and external grant development, the School has reduced teaching assignments of some tenure-track faculty and in their place, hired additional part-time lecturers.

8.1.2(b) The School has expanded enrollment in the school, both at the undergraduate and graduate levels, without proportional growth in the number of tenure lines. Non-tenured faculty have been used to cover additional sections.

8.1.2(c) The rapidly changing practice environment means that community expertise is greatly needed in the preparation of our students for practice. The linkage between classroom and community is more critical than at any other period.

8.1.2(d) Non-tenured faculty will be regularly needed to substitute for tenured faculty during sabbatical leaves and to teach specialized courses.

8.1.2(e) Given the size and on-going role of non-tenured faculty in the School, formal procedures for recruitment, orientation and development, evaluation and termination are necessary. The School is committed to the principle that tenure-track faculty are ultimately responsible for the development and delivery of the School's curriculum and must be engaged in all facets of planning or review of instruction.

8.1.3 Recruitment of Part-Time Faculty

The chairperson of the various curriculum committees will work more closely with the Associate Dean in identifying and recruiting new part-time faculty. Each spring, the Associate Dean will notify the chairpersons of positions needing to be

filled in the sequence or concentration, identifying current resource persons, and ask for active assistance in recruiting persons from among our various pools for applicants-community-based social workers and doctoral students from our program or other local schools.

8.1.4 Selection of Part-Time Faculty

The Associate Dean and the committee chairperson confer about possible candidates, review resumes and agree upon a decision to follow up. The Associate Dean will make the initial contact with the potential candidate and discuss the potential course coverage, scheduling and salary, and present a brief statement of orientation to the curriculum and expectations for uniformity in its delivery. If an agreement is reached between the candidate and the Associate Dean, reference letters and summaries of prior teaching experience will be requested, if these have not been previously submitted. The candidate is then referred to the committee chairperson for an interview and assessment of academic preparation and general readiness to assume the position. In addition, the chairperson reviews the course content and expectations regarding the coverage of core concepts, required readings, specific assignments, etc..

The appointment of a part-time faculty member is generally predictable as to its being a long-term or one time opportunity (as in the case of temporary coverage of a course for a faculty member on sabbatical or special assignment).

8.1.5 Procedure for Hiring Full-Time Clinical Faculty

- After Faculty Council consultation and in accordance with any existing strategic hiring plan, the Vice Dean's Office posts the Clinical Faculty position. A decision is made on whether or not to conduct a national search.
- The candidate submits a letter of interest and intent to the Dean, including a CV and three letters of reference.
- The schedule for candidate visits to campus is arranged by the Vice Dean's office, and includes a public presentation and meetings with Faculty Council, CPRC, clinical faculty, appropriate concentration and sequence committees, students, Vice Dean and Dean.
- Faculty and students submit evaluations.
- Faculty Council reviews forms, materials and experiences.
- Faculty Council makes a recommendation to the Dean.
- The Dean decides to hire or deny, and informs Faculty Council.

- A letter from the Dean, prepared by the Vice Dean's Office, is sent to the candidate.

8.1.6 Orientation and Development

Orientation and development of non-tenured faculty is important for the following reasons:

8.1.5(a) The quality of our curriculum requires that all faculty, tenured and non-tenured, share a common understanding of School policies, procedures and mission;

8.1.5(b) All faculty, whether tenured or non-tenured, must be perceived by students as equally valued and competent;

8.1.5(c) All faculty, whether tenured or non-tenured, have the same psychological and intellectual needs for development and interaction with peers; and,

8.1.5(d) Non-tenured faculty play a vital role in the School.

8.1.7 Orientation

All new part-time faculty are required to attend an orientation meeting prior to the start of classes. The Dean presents an overall picture of the School and what our primary focus and goals are. A binder, containing general academic policies, e.g. grades, attendance and structure for course syllabi, is given to each faculty member. Administrative/organization issues are also addressed, e.g. supplies, order books, keys, audiovisual equipment.

Sequence and concentration chairs will prepare a statement outlining general expectations for all instructors. This overview will include core concepts that must be covered, any required collaboration activity with other faculty, any standardized examinations, and specialized emphases or learning outcomes that are valued in the sequence/concentration. This written (or videotaped) statement would be reviewed with the new faculty member and would be a reference point in establishing performance expectations.

8.1.8 Development

Mid-term feedback through an evaluative data form, will be used to obtain feedback and provide planning for support and development of new faculty. Completed feedback forms will be forwarded to the Associate Dean who will consult with the new faculty (3 years and under) about the findings.

An emeritus faculty or other individual approved by Faculty Council and the Dean's Office will be hired to meet at least five times annually with non-tenured faculty. This "master teacher" will talk with non-tenured faculty about issues in classroom management, examination protocols, cheating, effective lecture techniques, how to handle boredom, conflict and other dynamics and topics. Timing of these meetings would coincide with benchmarks in the semester: the first 3 weeks, 6 weeks, and final examinations. The new faculty member will receive copies of the 6 week course evaluations, which he/she would scan for themes or trends that might form desirable content in the development meetings. The Associate Dean will meet with those few individual non-tenured faculty whose 6 week course evaluations pointed to major difficulties best addressed on a one to one basis. The "master teacher" will be responsible for conveying important information to part-time faculty and be available to meet with or answer questions regarding this information.

8.1.9 Evaluation and Recognition

8.1.8(a) Evaluation A committee appointed by the Faculty Council will be appointed to conduct annual reviews of non-tenured teaching faculty. Non-tenured faculty who wish to be retained and/or considered for promotion will submit the following materials for consideration: a brief summary of their educational goals and accomplishments in the classroom; a course syllabus; course evaluations; and an updated vitae that demonstrates currency in their arena of instruction and professional achievement. Non-tenured faculty who wish to be recommended for travel or research support should also attach evidence of scholarly productivity. Recommendation by the committee will be made for: special recognition, retention, retention with development, or non-retention.

8.1.8(b) Recognition Adjunct, part-time and clinical faculty will be eligible for distinguished faculty and teaching awards and would from time to time, be asked to serve as marshals at commencement. Limited funds will be made available to support travel of non-tenure stream faculty for presentation of papers at scholarly conference.

9. FACULTY APPOINTMENT AND PROMOTION: NON-TENURE-TRACK CLINICAL TEACHING FACULTY

9.0 Authority

See [University Faculty Handbook](#) (Section 4-A) and [University Bylaws](#) (Section 6.4(d)).

9.1 Faculty Designations and Organization

The School of Social Work (SSW) uses the term *Non-Tenure-Track (NTT) faculty* to refer to three types of faculty who hold appointments that do not lead to consideration for tenure. These include (1) clinical faculty, (2) part-time faculty, and (3) research faculty.

The term *clinical faculty* is used broadly to designate full-time NTT faculty whose primary responsibility is teaching and teaching related duties, but who also have service obligations. There are two types of clinical faculty: Clinical Teaching Faculty¹ (CTF) and Clinical Field Faculty² (CFF).

The distinction in clinical faculty types reflects differences in their experience and knowledge, as well as in the primary settings in which they provide instruction. Clinical Teaching Faculty are appointed because of their specialized knowledge in multiple social work domains and methods, and because of their teaching, pedagogical, and curriculum expertise. Clinical Field Faculty are appointed because of their familiarity with social work communities, institutions and resources, and because of their ability to enhance academic and professional development through experiential learning. Clinical Teaching Faculty provide classroom- and university-based instruction, whereas Clinical Field Faculty provide learning and skills training primarily in the context of clinical (i.e., field) settings.

At their choosing, individual faculty members with a clinical teaching or field appointment may further designate themselves as a clinical professor of social work (e.g., "Clinical Associate Professor of Social Work").

The term *part-time faculty* is used to designate part-time NTT faculty whose sole responsibility is teaching and teaching related duties (i.e., they have no service obligations).

The term *research faculty* is used to designate NTT faculty who are hired (part- or full-time) to conduct research, principally on external funding. Research faculty generally have no or very limited teaching and service obligations.

As discussed in the [University Faculty Handbook](#) (Section 4-B (2)) and as summarized below, NTT faculty may hold the rank of instructor, assistant professor, associate

¹ Also referred to as "Teaching" or "Instructional" faculty.

² Also referred to as "Field" faculty.

professor or professor, with the exception of research faculty, who are appointed at the level of assistant professor or higher.

- **Clinical Teaching Faculty**
 - [Clinical] [Teaching] Instructor
 - [Clinical] [Teaching] Assistant Professor
 - [Clinical] [Teaching] Associate Professor
 - [Clinical] [Teaching] Professor

- **Clinical Field Faculty**
 - [Clinical] [Field] Instructor
 - [Clinical] [Field] Assistant Professor
 - [Clinical] [Field] Associate Professor
 - [Clinical] [Field] Professor

- **Part-Time Faculty**
 - Instructor
 - Assistant Professor
 - Associate Professor
 - Professor

- **Research Faculty**
 - Research Assistant Professor
 - Research Associate Professor
 - Research Professor

9.2 Appointments of Clinical Teaching Faculty

Every faculty appointment is expected to improve the quality of the School. Appointments at the level of Assistant Professor or below, and non-tenure-track appointments are made by the Dean with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs; all other appointments are subject to approval by the Provost with the advice of the University Committee on Appointments, Promotion and Tenure (see [University Faculty Handbook](#) (Section 4-A)).

The School has established the following minimum criteria for appointments of Clinical Teaching Faculty.

- 9.2.1 Education** A doctoral degree in social work or related field is required for appointment as Clinical Teaching Faculty. An equivalent level of professional achievement may be considered a substitute for the doctoral degree.

9.2.2 Experience, Knowledge and Abilities The following criteria are required for appointment as Clinical Teaching Faculty:

- (1) a substantial record of professional experience in social work, behavioral health, or related discipline(s);
- (2) evidence of leadership in an identified area of expertise;
- (3) experience with racially, ethnically and culturally diverse practice and/or student populations;
- (4) ability to achieve excellence and creativity in teaching and teaching related duties, including student advisement and mentoring;
- (5) specialized knowledge in more than one area of the curriculum;
- (6) ability to provide teaching and curriculum leadership in identified area(s) of specialized knowledge;
- (7) evidence of empirical and evidence-based orientations towards social work education and practice;
- (8) commitment to student learning, achievement and professional development;
- (9) commitment to diversity, equality and social justice;
- (10) ability to work collegially.

9.3 Length of Appointment

An appointment of CTF at the rank of instructor may be made for a term of up to three years, with no possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs, the Dean may issue one-year contracts renewable yearly. Review and promotion decisions will be mandatory in year 3.

An appointment of CTF at the rank of assistant professor may be made for a term of up to three years, with no possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs, the Dean may issue one-year contracts renewable yearly. Promotion decisions will be mandatory in year 3.

An appointment of CTF at the rank of associate professor will be made for a term of five years, with possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs, the Dean may issue five-year contracts, renewable yearly. Consideration for review and promotion shall be initiated by the faculty member.

An appointment of CTF at the rank of professor will be made for a term of seven years, with possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs, the Dean may issue seven-year contracts, renewable yearly (see [University Faculty Handbook](#) (Section 4-D(2))).

9.4 Evaluation, Reappointment and Promotion

9.4.1 General Policy

As described in the [University Faculty Handbook](#) (Section 4-G), "[t]he University has no obligation to renew a non-tenure-track faculty appointment." Contracts of non-tenure-track faculty may be terminated earlier than their stipulated end, with a minimum of 90 days notice, if there is a bona fide need to do so: (a) based upon poor performance, in which case the Dean must consult first with the Faculty Council and the Vice Dean for Academic and Student Affairs, (b) based on substantial program change or substantial resource limitations in the School, or (c) based on reductions in external sources of funding for the specific activity.

9.4.2 Minimum Requirements for Consideration for Promotion to Assistant Professor

Promotion of CTF to the rank of assistant professor is based on having met the minimum requirements described below and on rigorous peer review assessments of excellence in (1) teaching and related duties, and in (2) service and outreach activities. These activities are expected to positively affect both course content and delivery, which in turn is expected to enhance student learning and preparation for professional social work practice in complex, multicultural urban environments. Participation in scholarly research activities is not a consideration for promotion.

The School has established the following minimum criteria for promotion of CTF to the rank of assistant professor:

9.4.2(a) Experience To be considered for promotion to assistant professor, the candidate must complete a probationary period not to exceed three years of full-time employment at the rank of instructor within the School. Up to two years of employment at the rank of instructor (tenure or non-tenure-track) or higher at a comparable School of Social Work may count toward the probationary period if agreed upon by the Dean at the time of the initial appointment.

9.4.2(b) Teaching and Curricular Activities The preferred profile for promotion to assistant professor will typically include the following:

- i. evidence of excellence in teaching and teaching related duties in terms of: (a) content expertise, (b) instructional design skills, (c) instructional delivery skills, and (d) instructional assessment skills; and,
- ii. evidence of the impact of these activities on student learning and preparation for professional social work practice (i.e., *learning outcomes*).
- iii. **Additional Indicators.** Along with those identified above, indicators of excellence (and creativity) in teaching and teaching related duties may include, but are not limited to, the following:

- (a) incorporating learner-centered methods into course content, delivery and assessment;
- (b) seeking out information on effective teaching strategies and applying those strategies in course planning and instruction;
- (c) applying teaching strategies for which effectiveness has been validated through research;
- (d) using instructional strategies to facilitate understanding and awareness of issues related to diversity;
- (e) incorporating evidence-based practices and knowledge in course readings and activities;
- (f) integrating collaborative and interdisciplinary activities, knowledge and perspectives into course content, delivery and assessment; and
- (g) utilizing distance learning and other applications of technology in course delivery and assessment.

9.4.2(c) Service and Outreach Activities The preferred profile for promotion to the rank of assistant professor will typically include evidence of excellence in service and outreach activities to, or within, the School, and may include excellence in service and outreach activities to, or within, the University, local community, national and international communities, and professional community. CTF holding the rank of instructor are expected to be minimally involved in service and outreach activities. Subsequently, performance in service and outreach activities is a supplementary, not primary, criterion for promotion.

9.4.2(d) Scholarly Research Activities CTF faculty holding the rank of instructor are not expected to participate in scholarly research activities; thus evidence of excellence and creativity in these activities is not required for promotion to the rank of assistant professor.

9.4.3 Minimum Requirements for Consideration for Promotion to Associate Professor

Promotion of CTF to the rank of associate professor is based on having met the minimum requirements described below and on rigorous peer review assessments of excellence and creativity in: (1) teaching and curricular activities, and (2) service and outreach activities. These activities are expected to positively affect both course content and delivery, which in turn is expected to enhance student learning and preparation for professional social work practice in complex, multicultural urban environments. Participation in scholarly research activities is not a consideration for promotion.

The School has established the following minimum criteria for promotion of CTF to the rank of associate professor:

9.4.3(a) Experience To be considered for promotion to associate professor, the candidate must complete a probationary period not to exceed three years of full-time employment at the rank of assistant professor within the School. Up to two

years of employment at the rank of assistant professor (tenure or non-tenure-track) or higher at a comparable School of Social Work may count toward the probationary period if agreed upon by the Dean at the time of the initial appointment.

9.4.3(b) Teaching and Curricular Activities The preferred profile for promotion to associate professor will typically include the following:

- i. evidence of excellence and creativity in teaching and curricular activities in terms of: (a) content expertise, (b) instructional design skills, (c) instructional delivery skills, and (d) instructional assessment skills; and,
- ii. evidence of the impact of these activities on student learning and preparation for professional social work practice (i.e., *learning outcomes*).
- iii. **Additional Indicators** Along with those identified above, indicators of excellence and creativity in teaching and curricular activities may include, but are not limited to, the following:
 - (a) incorporating learner-centered methods into course content, delivery and assessment;
 - (b) seeking out information on effective teaching strategies and applying those strategies in course planning and instruction;
 - (c) applying teaching strategies for which effectiveness has been validated through research;
 - (d) using instructional strategies to facilitate understanding and awareness of issues related to diversity;
 - (e) incorporating evidence-based practices and knowledge in course readings and activities;
 - (f) integrating collaborative and interdisciplinary activities, knowledge and perspectives into course content, delivery and assessment; and,
 - (g) utilizing distance learning and other applications of technology in course delivery and assessment.

9.4.3(c) Service and Outreach Activities The preferred profile for promotion to the rank of associate professor will typically include evidence of excellence and creativity in service and outreach activities to or within the School, and may include evidence of excellence and creativity in service and outreach activities to or within the University, local community, national and international communities, and professional community. CTF holding the rank of assistant professor are expected to be minimally involved in service and outreach activities. Subsequently, performance in service and outreach activities is a supplementary, not primary, criterion for promotion.

9.4.3(d) Scholarly Research Activities CTF holding the rank of assistant professor are not expected to participate in scholarly research activities; thus evidence of excellence and creativity in these activities is not required for promotion to the rank of associate professor.

9.4.4 Minimum Requirements for Consideration for Promotion to Professor

Promotion of CTF to the rank of professor is based on having met the minimum requirements described below and on rigorous peer review assessments of excellence and creativity, as well as of leadership in: (1) teaching and curricular activities, and in (2) service and outreach activities. These activities are expected to positively affect both course content and delivery, which in turn is expected to enhance student learning and preparation for professional social work practice in complex, multicultural urban environments.

The School has established the following minimum criteria for promotion of CTF to the rank of professor:

9.4.4(a) Experience To be considered for promotion to professor, the candidate must have obtained [the equivalent of] at least 7 years of full-time college level academic experience, 4 of which must have been at the associate professor rank.

9.4.4(b) Teaching and Curricular Activities The preferred profile for promotion to associate professor will typically include the following:

- i. evidence of excellence and creativity, as well as of leadership, in teaching and curricular activities in terms of: (a) content expertise, (b) instructional design skills, (c) instructional delivery skills, and (d) instructional assessment skills including, but not limited to, the following:
 1. incorporating learner-centered methods into course content, delivery and assessment;
 2. seeking out information on effective teaching strategies and applying those strategies in course planning and instruction;
 3. applying teaching strategies for which effectiveness has been validated through research;
 4. using instructional strategies to facilitate understanding and awareness of issues related to diversity;
 5. incorporating evidence-based practices and knowledge in course readings and activities;
 6. integrating collaborative and interdisciplinary activities, knowledge and perspectives into course content, delivery and assessment; and
 7. utilizing distance learning and other applications of technology in course delivery and assessment;
 8. evidence of developing, assessing, and improving curricula and other instructional materials; and
- ii. evidence of the impact of these activities on student learning and preparation for professional social work practice (i.e., *learning outcomes*).

9.4.4(c) Service and Outreach Activities The preferred profile for promotion to professor will typically include the following:

- i. evidence of excellence, creativity and leadership in service and outreach activities to, or within, the: (a) School, (b) University, (c) local community,

(d) national and international communities, and (e) professional community including, for example, the following:

1. evidence of mentoring and assisting in the professional development of junior faculty;
2. making presentations at national and international conferences;
3. becoming site visitors for CSWE reaffirmation; and,
4. participating in School-sponsored continuing education activities and programs.

9.4.4(d) Scholarly Research Activities Participation in scholarly research activities is not expected of CTF. However, excellence and creativity in scholarly research activities may be secondary considerations for CTF having a profile consistent with involvement in such activities as determined in consultation with the Dean and the Vice Dean for Academic and Student Affairs. When a candidate does participate in scholarly research activities and wishes them to be considered for promotion, s/he must demonstrate impact in terms of: (1) excellence, (2) leadership and innovation/creativity, and (3) productivity and dissemination. Scholarly research activities carried out by clinical teaching associate professors usually will be minimal and closely related to teaching or curriculum development, delivery, and/or assessment. This may include development of resources to support innovation in instruction (e.g., CalSWEC grants and training grants).

9.5 Evaluation Process

9.5.1 Peer Review

Consideration for promotion is initiated by written request by the faculty member desiring to be evaluated. The faculty member is to submit the Faculty Action Request Form by May 1st of the academic year prior to the year in which the review will take place, and to notify the Chair of Faculty Council. The Dean's signature on the form serves as a confirmation of the faculty member's intent and does not imply agreement.

Whether or not an Instructor or Assistant Professor initiates a request for consideration for promotion, a review must be undertaken in the 3rd year of the respective appointment. Dossiers shall be submitted to the Dean's office by October 1st of the review year.

During the spring semester, the dossiers of all candidates being considered for promotion will be reviewed and evaluated internally by SSW Clinical Teaching Faculty, Clinical Field Faculty, and tenure-track faculty holding the rank of associate or full professor. Dossiers of candidates being considered for promotion to professor will also be reviewed and evaluated externally by leading educators at peer universities and institutions involved in teaching and/or training in social work or related disciplines. Evaluations will be forwarded to a promotion review sub-committee for further review, analysis and synthesis.

9.5.2 Promotion Review Sub-committee

In consultation with the Dean, the Chair of the Faculty Council will appoint three or more members of a promotion review sub-committee—one committee for each candidate being considered for review. All members will hold the rank of associate or full professor, and at least one member of the sub-committee shall be an appointment as CTF. The sub-committee will prepare a written report and recommendation based on the peer review evaluations of the candidate's dossier. The sub-committee promotion review report will then be forwarded to the Faculty Council and the Vice Dean for Academic and Student Affairs for further review and recommendation.

9.5.3 Faculty Council Recommendation to the Dean

Decisions for promotion of CTF are made by the Dean of the SSW with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs. The Faculty Council serves as the School's Committee on Appointments, Promotions, and Tenure. Faculty Council's recommendation regarding the candidate being considered for promotion will be based on the recommendation forwarded by the promotion review subcommittee. The Dean shall communicate the final decision on promotion to the faculty member under review, and to the faculty-at-large.

9.5.4 The Dossier

9.5.4 (a) Materials for Promotion to Assistant Professor

Clinical Teaching Faculty being considered for promotion to the rank of assistant professor must prepare a dossier presenting evidence of their qualifications and suitability for promotion. The dossier should include the following:

- a. a 3-5 page personal statement describing: (a) how the candidate's teaching fits within and advances the School's mission, current and future, (b) the candidate's teaching philosophy and approach, (c) teaching-related activities and accomplishments, and (d) service related activities and accomplishments;
- b. evidence of teaching excellence, which may include, but is not limited to, student evaluations, peer evaluations based on classroom observations, objective indicators of student progress (e.g., proficiency tests or examples of students' work "before" and "after"), assessments by concentration/sequence chairs and lead instructors, and course syllabi (see Manual on the University Committee on Appointments, Promotions, and Tenure and refer to the Center for Excellence in Teaching); and,
- c. a curriculum vitae.

9.5.4 (b) Materials for Promotion to Associate Professor

Clinical Teaching Faculty being considered for promotion to the rank of associate professor must prepare a dossier presenting evidence of their qualifications and suitability for promotion. The dossier should include the following:

- a. a 3-5 page personal statement describing: (a) how the candidate's teaching fits within and advances the School's mission, current and future, (b) the candidate's teaching philosophy and approach, (c) teaching-related activities and accomplishments, and (d) service-and outreach-related activities and accomplishments;
- b. evidence of teaching excellence and creativity, which may include, but is not limited to, student evaluations, peer evaluations based on classroom observations, objective indicators of student progress (e.g., proficiency tests or examples of students' work "before" and "after"), assessments by concentration/sequence chairs and lead instructors, and course syllabi (see Manual on the University Committee on Appointments, Promotions, and Tenure and refer to the Center for Excellence in Teaching); and,
- c. a curriculum vitae.

9.5.4 (c) Materials for Promotion to Professor

Clinical Teaching Faculty being considered for promotion to the rank of professor must prepare a dossier presenting evidence of their qualifications and suitability for promotion. The dossier should include the following:

- a. a 3-5 page personal statement describing: (a) how the candidate's teaching fits within and advances the School's mission, current and future, (b) the candidate's teaching philosophy and approach, (c) teaching-related activities and accomplishments, and (d) service-and outreach-related activities and accomplishments;
- b. evidence of teaching excellence, creativity, and leadership which may include, but is not limited to, student evaluations, receipt of teaching awards, peer evaluations based on classroom observations, objective indicators of student progress (e.g., proficiency tests or examples of students' work "before" and "after"), assessments by concentration/sequence chairs and lead instructors, course syllabi, and evidence of leadership in curriculum development, delivery and assessment (see Manual on the University Committee on Appointments, Promotions, and Tenure and refer to the Center for Excellence in Teaching);
- c. a curriculum vitae; and,
- d. 3-5 external letters of support addressing the candidate's teaching excellence, creativity and leadership.

9.6 Annual Performance Review of Clinical Teaching Faculty

The annual performance review of Clinical Teaching Faculty follows the general policies for faculty review outlined in [Section 7](#) of the SSW Faculty Guidebook.

At least three members of Faculty Council independently evaluate the annual performance review materials for each CTF. The materials include: (1) the Faculty Annual Performance Review Form, (2) an updated curriculum vitae, and (3) student evaluations. CTF are reviewed primarily for their performance and contributions related to teaching and curricular activities; service and outreach performance and contributions are secondary considerations.

10. FACULTY APPOINTMENT AND PROMOTION: NON-TENURE-TRACK CLINICAL FIELD FACULTY

10.0 Authority

See [University Faculty Handbook](#) (Section 4-A) and [University Bylaws](#) (Section 6.4(d)).

10.1 Faculty Designations and Organization

The School of Social Work (SSW) uses the term *Non-Tenure-Track (NTT) faculty* to refer to three types of faculty who hold appointments that do not lead to consideration for tenure. These include: (1) clinical faculty, (2) part-time faculty, and (3) research faculty.

The term *clinical faculty* is used broadly to designate full-time NTT faculty whose primary responsibility is teaching and teaching related duties, but who also have service obligations. There are two types of clinical faculty: Clinical Teaching Faculty¹ (CTF) and Clinical Field Faculty² (CFF).

The distinction in clinical faculty types reflects differences in their experience and knowledge, as well as in the primary settings in which they provide instruction. Clinical Teaching Faculty are appointed because of their specialized knowledge in multiple social work domains and methods, and because of their teaching, pedagogical, and curriculum expertise. Clinical Field Faculty are appointed because of their familiarity with social work communities, institutions and resources, and because of their ability to enhance academic and professional development through experiential learning. Both clinical teaching and Clinical Field Faculty provide classroom- and university-based instruction. Additionally, Clinical Field Faculty provide learning and skills training in the context of clinical (i.e., field agency) settings.

At their choosing, individual faculty members with a clinical teaching or field appointment may further designate themselves as a clinical professor of social work (e.g., "Clinical Associate Professor of Social Work").

The term *part-time faculty* is used to designate part-time NTT faculty whose sole responsibility is teaching and teaching related duties (i.e., they have no service obligations).

The term *research faculty* is used to designate NTT faculty who are hired (part- or full-time) to conduct research, principally on external funding. Research faculty generally have no or very limited teaching and service obligations.

As discussed in the [University Faculty Handbook](#) (Section 4-B(2)) and as summarized below, NTT faculty may hold the rank of instructor, assistant professor, associate

¹ Also referred to as "Teaching" or "Instructional" faculty.

² Also referred to as "Field" faculty.

professor or professor, with the exception of research faculty, who are appointed at the level of assistant professor or higher.

- **Clinical Teaching Faculty**
 - [Clinical] [Teaching] Instructor
 - [Clinical] [Teaching] Assistant Professor
 - [Clinical] [Teaching] Associate Professor
 - [Clinical] [Teaching] Professor

- **Clinical Field Faculty**
 - [Clinical] [Field] Instructor
 - [Clinical] [Field] Assistant Professor
 - [Clinical] [Field] Associate Professor
 - [Clinical] [Field] Professor

- **Part-Time Faculty**
 - Instructor
 - Assistant Professor
 - Associate Professor
 - Professor

- **Research Faculty**
 - Research Assistant Professor
 - Research Associate Professor
 - Research Professor

10.2 Appointments of Clinical Field Faculty

Every faculty appointment is expected to improve the quality of the School. Appointments at the level of Assistant Professor or below, and non-tenure-track appointments are made by the Dean with the advice of the Faculty Council and the Vice Dean for Academic and Student Affairs; all other appointments are subject to approval by the Provost with the advice of the University Committee on Appointments, Promotion and Tenure (see [University Faculty Handbook](#) Section 4-A). Appointments of Clinical Field Faculty are made with the additional advice of the Assistant Dean for Field Education.

The School has established the following minimum criteria for appointments of Clinical Field Faculty.

10.2.1 Education A post-graduate degree (e.g., MSW) from an accredited social work program is required for appointment as Clinical Field Faculty.

10.2.2 Experience, Knowledge and Abilities The following criteria are required for appointment as Clinical Field Faculty:

- (1) a minimum of 5 years of professional experience in social work, behavioral health, or related discipline(s);
- (2) experience with racially, ethnically and culturally diverse practice and/or student populations;
- (3) ability to achieve excellence and creativity in teaching and teaching related duties, including student advisement and mentoring;
- (4) specialized knowledge of communities, institutions and resources;
- (5) ability to provide teaching and curriculum leadership in identified area(s) of specialized knowledge;
- (6) evidence of empirical and evidence-based orientations towards social work education and practice;
- (7) commitment to student learning, achievement and professional development;
- (8) commitment to diversity, equality and social justice;
- (9) ability to work collegially.

10.3 Length of Appointment

An appointment of CFF at the rank of instructor may be made for a term of up to three years, with no possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council, the Vice Dean for Academic and Student Affairs, and the Assistant Dean for Field Education, the Dean may issue one-year contracts renewable yearly. Review and promotion decisions will be mandatory in year 3.

An appointment of CFF at the rank of assistant professor may be made for a term of up to three years, with no possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council, the Vice Dean for Academic and Student Affairs, and the Assistant Dean for Field Education, the Dean may issue one-year contracts renewable yearly. Review and promotion decisions will be mandatory in year 3.

An appointment of CFF at the rank of associate professor will be made for a term of five years, with possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council, the Vice Dean for Academic and Student Affairs, and the Assistant Dean for Field Education, the Dean may issue five-year contracts, renewable yearly. Consideration for review and promotion shall be initiated by the faculty member.

An appointment of CFF at the rank of professor will be made for a term of seven years, with possibility of renewal. Based on performance and merit, and with the advice of the Faculty Council, the Vice Dean for Academic and Student Affairs, and the Assistant Dean for Field Education, the Dean may issue seven-year contracts, renewable yearly (see [University Faculty Handbook](#) Section 4-D(2)).

10.4 Evaluation, Reappointment and Promotion

10.4.1 General Policy

As described in the [University Faculty Handbook](#) (Section 4-G), "[t]he University has no obligation to renew a non-tenure-track faculty appointment." Contracts of non-tenure-track faculty may be terminated earlier than their stipulated end, with a minimum of 90 days notice, if there is a bona fide need to do so: (a) based upon poor performance, in which case the Dean must consult first with the Faculty Council and the Vice Dean for Academic and Student Affairs,³ (b) based on substantial program change or substantial resource limitations in the School, or (c) based on reductions in external sources of funding for the specific activity.

10.4.2 Minimum Requirements for Consideration for Promotion to Assistant Professor

Promotion of CFF to the rank of assistant professor is based on having met the minimum requirements described below and on rigorous peer review assessments of excellence in: (1) teaching and related duties, and (2) service and outreach activities. These activities are expected to positively affect both course content and delivery, which in turn is expected to enhance student learning and preparation for professional social work practice in complex, multicultural urban environments. Participation in scholarly research activities is not a consideration for promotion.

The School has established the following minimum criteria for promotion of CFF to the rank of assistant professor:

10.4.2(a) Experience To be considered for promotion to assistant professor, the candidate must complete a probationary period not to exceed three years of full-time employment at the rank of instructor within the School. Up to two years of employment as full-time Clinical Field Faculty at a comparable School of Social Work may count toward the probationary period if agreed upon by the Dean at the time of the initial appointment.

10.4.2(b) Teaching and Curricular Activities The preferred profile for promotion to assistant professor will typically include the following:

- i. evidence of excellence in teaching and teaching related duties (including student advisement and liaising) in terms of: (a) content expertise, (b) instructional design skills, (c) instructional delivery skills, and (d) instructional assessment skills;
- ii. evidence of the impact of these activities on student learning and preparation for professional social work practice (i.e., *learning outcomes*);
- iii. effectively assessing student educational needs and placing students in field agency settings commensurate with students' needs; and,
- iv. meeting minimum field goals as determined by the Office of the Dean for Field Education.

³ And with the Assistant Dean for Field Education in cases involving CFF.
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- v. **Additional Indicators** Along with those identified above, indicators of excellence (and creativity) in teaching and teaching related duties (as they relate to instruction in the classroom and/or field setting) may include, but are not limited to, the following:
- (a) incorporating learner-centered methods into course content, delivery and assessment;
 - (b) seeking out information on effective teaching strategies and applying those strategies in course planning and instruction;
 - (c) applying teaching strategies whose effectiveness has been validated through research;
 - (d) using instructional strategies to facilitate understanding and awareness of issues related to diversity;
 - (e) incorporating evidence-based practices and knowledge in course readings and activities;
 - (f) integrating collaborative and interdisciplinary activities, knowledge and perspectives into course content, delivery and assessment; and,
 - (g) utilizing distance learning and other applications of technology in course delivery and assessment.

10.4.2(c) Service and Outreach Activities The preferred profile for promotion to the rank of assistant professor will typically include the following:

- i. evidence of excellence in service and outreach activities to, or within, the School, and may include excellence in service and outreach activities to or within the University, local community, national and international communities, and professional community. CFF holding the rank of instructor are expected to be minimally involved in service and outreach activities. Subsequently, performance in service and outreach activities is a supplementary, not primary, criterion for promotion.
- ii. **Additional Indicators** Along with those identified above, indicators of excellence and creativity in outreach and service activities include, but are not limited to, the following:
 - (a) effectively liaising with students and field agencies; and,
 - (b) identifying and developing field agency sites.

10.4.2(d) Scholarly Research Activities CFF faculty holding the rank of instructor are not expected to participate in scholarly research activities; thus evidence of excellence and creativity in these activities is not required for promotion to the rank of assistant professor.

10.4.3 Minimum Requirements for Consideration for Promotion to Associate Professor

Promotion of CFF to the rank of associate professor is based on having met the minimum requirements described below and on rigorous peer review assessments of excellence and creativity in: (1) teaching and curricular activities, and (2) service and outreach activities. These activities are expected to positively affect both course content and delivery, which in turn is expected to enhance student

learning and preparation for professional social work practice in complex, multicultural urban environments. Participation in scholarly research activities is not a consideration for promotion.

The School has established the following minimum criteria for promotion of CFF to the rank of associate professor:

10.4.3(a) Experience To be considered for promotion to associate professor, the candidate must complete a probationary period not to exceed three years of full-time employment at the rank of assistant professor within the School. Up to two years of employment at the rank of assistant professor (or the equivalent) at a comparable School of Social Work may count toward the probationary period if agreed upon by the Dean at the time of the initial appointment.

10.4.3(b) Teaching and Curricular Activities The preferred profile for promotion to associate professor will typically include the following:

- i. evidence of excellence and creativity in teaching and curricular activities (including student advisement and liaising) in terms of: (a) content expertise, (b) instructional design skills, (c) instructional delivery skills, and (d) instructional assessment skills;
- ii. evidence of the impact of these activities on student learning and preparation for professional social work practice (i.e., *learning outcomes*);
- iii. effectively assessing student educational needs and placing students in field agency settings commensurate with students' needs;
- iv. meeting minimum field goals as determined by the Office of the Dean for Field Education; and,
- v. maintaining strong relationships with field instructors, agencies and the community.
- vi. **Additional Indicators** Along with those identified above, indicators of excellence and creativity in teaching and curricular activities (as they relate to instruction in the classroom and/or field setting) may include, but are not limited to, the following:
 - (a) incorporating learner-centered methods into course content, delivery and assessment;
 - (b) seeking out information on effective teaching strategies and applying those strategies in course planning and instruction;
 - (c) applying teaching strategies whose effectiveness has been validated through research;
 - (d) using instructional strategies to facilitate understanding and awareness of issues related to diversity;
 - (e) incorporating evidence-based practices and knowledge in course readings and activities;
 - (f) integrating collaborative and interdisciplinary activities, knowledge and perspectives into course content, delivery and assessment; and,
 - (g) utilizing distance learning and other applications of technology in course delivery and assessment.

10.4.3(c) Service and Outreach Activities The preferred profile for promotion to the rank of associate professor will typically include the following:

- i. evidence of excellence in service and outreach activities to, or within, the School, and may include excellence in service and outreach activities to or within the University, local community, national and international communities, and professional community. CFF holding the rank of assistant professor are expected to be minimally involved in service and outreach activities. Subsequently, performance in service and outreach activities is a supplementary, not primary, criterion for promotion.
- ii. **Additional Indicators** Along with those identified above, indicators of excellence and creativity in outreach and service activities include, but are not limited to, the following:
 - (a) effectively liaising with students and field agencies; and,
 - (b) identifying and developing field agency sites.

10.4.3(d) Scholarly Research Activities CFF holding the rank of assistant professor are not expected to participate in scholarly research activities; thus evidence of excellence and creativity in these activities is not required for promotion to the rank of associate professor.

10.4.4 Minimum Requirements for Consideration for Promotion to Professor

Promotion of CFF to the rank of professor is based on having met the minimum requirements described below and on rigorous peer review assessments of excellence and creativity, as well as of leadership in: (1) teaching and curricular activities, and (2) service and outreach activities. These activities are expected to positively affect both course content and delivery, which in turn is expected to enhance student learning and preparation for professional social work practice in complex, multicultural urban environments.

The School has established the following minimum criteria for promotion of CFF to the rank of professor:

10.4.4(a) Experience To be considered for promotion to professor, the candidate must have obtained [the equivalent of] at least 7 years of full-time college level academic experience as Clinical Field Faculty, 4 of which must have been at the associate professor rank (or the equivalent).

10.4.4(b) Teaching and Curricular Activities The preferred profile for promotion to professor will typically include the following:

- i. evidence of excellence and creativity, as well as of leadership, in teaching and curricular activities (including student advisement and liaising) in terms of: (a) content expertise, (b) instructional design skills, (c) instructional delivery skills, and (d) instructional assessment skills including, but not limited to, the following:

1. incorporating learner-centered methods into course content, delivery and assessment;
 2. seeking out information on effective teaching strategies and applying those strategies in course planning and instruction;
 3. applying teaching strategies whose effectiveness has been validated through research;
 4. using instructional strategies to facilitate understanding and awareness of issues related to diversity;
 5. incorporating evidence-based practices and knowledge in course readings and activities;
 6. integrating collaborative and interdisciplinary activities, knowledge and perspectives into course content, delivery and assessment; and,
 7. utilizing distance learning and other applications of technology in course delivery and assessment;
 8. evidence of developing, assessing, and improving curricula and other instructional materials; and,
- ii. evidence of the impact of these activities on student learning and preparation for professional social work practice (i.e., *learning outcomes*);
 - iii. effectively performing academic advisement and liaising functions with students experiencing significant professional, academic and/or personal challenges;
 - iv. effectively assessing student educational needs and placing students in field agency settings commensurate with students' needs; and,
 - v. meeting minimum field goals as determined by the Office of the Dean for Field Education;
 - vi. maintaining strong relationships with field instructors, agencies and the community; and,
 - vii. successfully and consistently recruiting, educating, evaluating and mentoring field instructors.

10.4.4(c) Service and Outreach Activities The preferred profile for promotion to professor will typically include the following:

- i. evidence of excellence, creativity and leadership in service and outreach activities to, or within, the: (a) School, (b) University, (c) local community, (d) national and international communities, and (e) professional community including, for example, the following:
 1. mentoring and assisting in the professional development of junior [field] faculty and field agency instructors;
 2. making presentations at national and international conferences;
 3. becoming site visitors for CSWE reaffirmation; and,
 4. participating in School-sponsored continuing education activities and programs.
- ii. effectively liaising with students and field agencies; and,
- iii. identifying and developing field agency sites.

- iv. **Additional Indicators** Along with those described above, indicators of excellence, creativity and leadership in outreach and service activities may include, but are not limited to, the following:
- (a) developing specialized stipend programs, agency-based stipends, and work study awards in field education;
 - (b) developing field-related resources and programs for students and the School;
 - (c) involvement in the administration of contracts and grants;
 - (d) coordinating intra- and inter-School resources related to field placement, advisement, liaison and teaching activities;
 - (e) collaborating with other Schools and Departments within the University, and community agencies in the development and implementation of new programs and initiatives.

10.4.4(d) Scholarly Research Activities Participation in scholarly research activities is not expected of CFF. However, excellence and creativity in scholarly research activities may be secondary considerations for CFF having a profile consistent with involvement in such activities as determined in consultation with the Dean and the Associate Dean for Academic Affairs. When a candidate does participate in scholarly research activities and wishes them to be considered for promotion, s/he must demonstrate impact in terms of: (1) excellence, (2) leadership and innovation/creativity, and (3) productivity and dissemination. Scholarly research activities carried out by clinical field associate professors usually will be minimal and closely related to teaching or curriculum development, delivery, and/or assessment. This may include, development of resources to support innovation in instruction (e.g., CalSWEC grants and training grants).

10.5 Evaluation Process

10.5.1 Peer Review

Consideration for promotion is initiated by written request by the faculty member desiring to be evaluated. The faculty member is to submit the Faculty Action Request Form by May 1st of the academic year prior to the year in which the review will take place, and to notify the Chair of Faculty Council. The Dean's signature on the form serves as a confirmation of the faculty member's intent and does not imply agreement. Whether or not an Instructor or Assistant Professor initiates a request for consideration for promotion, a review must be undertaken in the 3rd year of the respective appointment. Dossiers shall be submitted to the Dean's office by October 1st of the review year.

During the spring semester, the dossiers of all candidates being considered for promotion will be reviewed and evaluated internally by SSW Clinical Teaching Faculty, Clinical Field Faculty, and tenure-track faculty holding the rank of associate or full professor. Dossiers of candidates being considered for promotion to professor will also be reviewed and evaluated externally by leading educators

at peer universities and institutions involved in teaching and/or training in social work or related disciplines. Evaluations will be forwarded to a promotion review subcommittee for further review, analysis and synthesis.

10.5.2 Promotion Review Subcommittee

In consultation with the Dean, the Chair of the Faculty Council will appoint three or more members of a promotion review subcommittee—one committee for each candidate being considered for review. All members will hold the rank of associate or full professor, and at least one member of the subcommittee shall be an appointment as CFF. The subcommittee will prepare a written report and recommendation based on the peer review evaluations of the candidate's dossier. The subcommittee promotion review report will then be forwarded to the Faculty Council, the Vice Dean for Academic and Student Affairs, and the Assistant Dean for Field Education for further review and recommendation.

10.5.3 Faculty Council Recommendation to the Dean

Decisions for promotion of CFF are made by the Dean of the SSW with the advice of the Faculty Council, the Vice Dean for Academic and Student Affairs, and the Assistant Dean for Field Education. The Faculty Council serves as the School's Committee on Appointments, Promotions, and Tenure. Faculty Council's recommendation regarding the candidate being considered for promotion will be based on the recommendation forwarded by the promotion review subcommittee. The Dean shall communicate the final decision on promotion to the faculty member under review, and to the faculty-at-large.

10.5.4 The Dossier

10.5.4 (a) Materials for Promotion to Assistant Professor

Clinical Field Faculty being considered for promotion to the rank of assistant professor must prepare a dossier presenting evidence of their qualifications and suitability for promotion. The dossier should include the following:

- a. a 3-5 page personal statement describing: (a) how the candidate's teaching fits within and advances the School's mission, current and future, (b) the candidate's teaching philosophy and approach, (c) teaching-related activities and accomplishments, and (d) service related activities and accomplishments;
- b. evidence of teaching excellence, which may include, but is not limited to, student evaluations, peer evaluations based on classroom observations, objective indicators of student progress (e.g., proficiency tests or examples of students' work "before" and "after"), assessments by concentration/sequence chairs and lead instructors, and course syllabi (see Manual on the University Committee on Appointments, Promotions, and Tenure and refer to the Center for Excellence in Teaching); and,
- c. a curriculum vitae.

10.5.4 (b) Materials for Promotion to Associate Professor

Clinical Field Faculty being considered for promotion to the rank of associate professor must prepare a dossier presenting evidence of their qualifications and suitability for promotion. The dossier should include the following:

- a. a 3-5 page personal statement describing: (a) how the candidate's teaching fits within and advances the School's mission, current and future, (b) the candidate's teaching philosophy and approach, (c) teaching-related activities and accomplishments, and (d) service- and outreach-related activities and accomplishments;
- b. evidence of teaching excellence and creativity, which may include, but is not limited to, student evaluations, peer evaluations based on classroom observations, objective indicators of student progress (e.g., proficiency tests or examples of students' work "before" and "after"), assessments by concentration/sequence chairs and lead instructors, and course syllabi (see Manual on the University Committee on Appointments, Promotions, and Tenure and refer to the Center for Excellence in Teaching); and,
- c. a curriculum vitae.

10.5.4 (c) Materials for Promotion to Professor

Clinical Field Faculty being considered for promotion to the rank of professor must prepare a dossier presenting evidence of their qualifications and suitability for promotion. The dossier should include the following:

- a. a 3-5 page personal statement describing: (a) how the candidate's teaching fits within and advances the School's mission, current and future, (b) the candidate's teaching philosophy and approach, (c) teaching-related activities and accomplishments, and (d) service- and outreach-related activities and accomplishments;
- b. evidence of teaching excellence, creativity, and leadership which may include, but is not limited to, student evaluations, receipt of teaching awards, peer evaluations based on classroom observations, objective indicators of student progress (e.g., proficiency tests or examples of students' work "before" and "after"), assessments by concentration/sequence chairs and lead instructors, course syllabi, and evidence of leadership in curriculum development, delivery and assessment (see Manual on the University Committee on Appointments, Promotions, and Tenure and refer to the Center for Excellence in Teaching);
- c. a curriculum vitae; and,
- d. 3-5 external letters of support addressing the candidate's teaching excellence, creativity and leadership.

10.6 Annual Performance Review of Clinical Field Faculty

The annual performance review of Clinical Field Faculty follows the general policies for faculty review outlined in Section 7 of the SSW Faculty Handbook.

At least three members of Faculty Council independently evaluate the annual performance review materials for each CFF. The materials include: (1) the Faculty Annual Performance Review Form, (2) an updated curriculum vitae, and (3) student evaluations. CFF are reviewed primarily for their performance and contributions related to teaching and curricular activities; service and outreach performance and contributions are secondary considerations.

APPENDIX H

The Third Year Review Dossier Preparation and Calendar

Overview

All assistant professors with tenure track appointments are subject to an intensive review during their third year of employment. The purpose of this review is to determine whether a faculty member continues to show high promise of successful promotion and tenure at the university. The School uses this opportunity to determine what resources and developmental opportunities are necessary to help a candidate further strengthen his/her academic profile prior to the mandatory six year review. In the event that the third year review is largely negative, the School will then assist the faculty member in reviewing career options and will help a candidate in making a positive transition.

The third year review is a valuable opportunity for faculty to form a consolidated view of their progress, to address challenges and areas for improvement, and to lay a foundation for their mandatory six-year review. It is a serious and significant milestone in an academic career at the School.

The Third-Year Dossier

All candidates are asked to prepare the following materials for their third year review:

- A Career Interest Statement
- An Updated Curriculum Vitae
- Copies of all publications (include a table of contents before each section)
- Syllabi for all courses taught (include a table of contents)
- Copies of course evaluations for all courses taught (include a table of contents)
- Other significant documents that reflect scholarship and leadership in teaching, research, and service

These materials are to be compiled in a binder with appropriate divisions, tabs, and indexing following in general the same format required for the mandatory six year review. The Office of the Dean will assist candidates in preparation of this binder, but faculty are expected to take primary responsibility for purchase, acquisition, and replication of materials. **One hard copy of the binder must be prepared, along with an electronic copy to the Appointment and Promotion Coordinator in the Dean's office.**

The Career Statement. The Career Statement can range from 4 – 15 pages, double-spaced. The purpose of this statement is to clearly define a candidate's scholarly interests, describe accomplishments to date in this context, explain challenges or

deficiencies which the candidate may have encountered, and project a future trajectory that shows how current work will lead to national recognition.

While there is no required format or content for a career statement, it may be desirable to consider including several main sections. The statement should ideally begin with a 2-3 paragraph description of the problem with which the candidate is most deeply interested and the significance of this problem to the field of social work. Specificity is helpful.

A second section of the statement should explain how the candidate's work to this point is related to the problem area. This section in effect explains in greater depth the research, teaching, leadership, and service found on the CV. It can include positive comments from outside reviewers, student comments, or other forms of recognition that might not appear on the CV. It is important to show a trajectory here, with progress toward a deepened command of the problem area in the form of widened national networks, improved methodology or databases, strengthened substance, or recognition from external sponsors.

A third section of the statement might address one or two problem areas perceived by the candidate that will be addressed in the next few years before mandatory tenure review. These problems might range from low publication rate to difficulties in developing appropriate analytic strategies.

Finally, the statement should outline the candidate's vision of how his or her career will evolve over the next three years or so. How will the trajectory change or broaden? If the candidate has not received external funding prior to the third year review, it would be helpful to understand how he or she plans to acquire future support for scholarship and creative teaching. Plans for establishing a national network of colleagues, if not attained by the third year, should also be addressed.

The Career Statement is the individual work of a candidate. While colleagues may offer to show theirs, candidates are expected to create this summary of their accomplishments and future trajectory largely by themselves. The Chair of the candidate's internal review committee and the Dean may give general comments, if asked.

The Curriculum Vitae. The curriculum vitae should include the following categories, at a minimum: (1) Education and degrees; (2) Awards and Honors, including externally sponsored research awards; (3) Previous Professional Experience; (4) Publications, including books, book chapters, refereed journal articles, and widely circulated technical reports or electronic publications; (5) Presentations at scholarly meetings, workshops, and other public appearances; (6) Leadership and Service to the school, community, profession, government, and international groups; and (7) Courses taught, courses developed, course materials created.

Other categories are of course possible. The candidate may ask the Office of the Dean for examples of CV's that have been previously prepared by other members of the faculty.

Evidence of Scholarship in Research and Teaching. Traditionally, evidence of scholarship in research and teaching includes copies of published articles, book chapters, and teaching evaluations, together with syllabi. Occasionally, other materials can provide powerful documentation of scholarly impact, such as a widely circulated committee report or a television appearance. Candidates should feel free to be creative, but to exclude anything that is not of major relevance and impact.

The Review Process

The third year review process is independent of the annual merit review. A three-member committee is selected by the Dean in consultation with the Chair of Faculty Council and is charged with preparing a report and recommendation regarding reappointment on behalf of Faculty Council. All tenured faculty are required to review the dossiers and submit an evaluation to the review committee. All other faculty are encouraged to read the materials and submit their evaluations to the review committee. The evaluations are used by the internal review committee, together with their own assessments, in drafting their report. Once approved, Faculty Council submits this report to the Dean, who then meets with the candidate to discuss conclusions and next steps. The candidate may then submit a rebuttal or addendum to the Dean. The Dean makes the final decision regarding reappointment.

Calendar

January/February

1. All faculty eligible for third year review meets with the Dean, who outlines procedures for the process and explains importance of review. At this time, the faculty are asked to identify any person(s) whom they would not wish to serve on their third year internal review committee.
2. Review Committee. The Dean consults with the Chair of Faculty Council, and appoints the third year review committee for each person to be evaluated. Every committee must have three members, one of whom is a member of Faculty Council. All should hold the rank of associate professor or higher on the tenure track.
3. The Dean appoints the Chair of each committee and notifies all committee members and faculty under review regarding committee composition.
4. Faculty under review meets with their committee chair to review the calendar and review processes. Any questions about procedure should be referred to the Chair of Faculty Council, who will involve the Dean as necessary in resolution of questions.

March-October

1. Faculty under review prepare their career statements, revise their CV, and assemble copies of their publications, course syllabi, teaching evaluations, supporting letters (not required) or other evidence of productivity they may wish to submit.
2. Faculty under review should meet with the Appointment and Promotion Coordinator or Executive Assistant in the Office of the Dean, who will provide consultation and assistance in the compilation of dossiers. Faculty are expected to purchase their own binders and dividers.
3. Faculty may seek general advice from their chair or the dean in reviewing their CVs and career statements. However, the career statements are personal documents and must reflect the individual thinking and conceptual organization of the person under review.

November

1. **Completed dossiers must be submitted to the Dean's Office BY NOVEMBER 15 for evaluation and comment by the entire faculty. No late submissions will be accepted.**
2. Dossiers will be available for review and evaluation by the entire faculty from November 15 - December 15. Dossiers will be retained in the Office of the Dean, and all evaluations given to the Appointment and Promotion Coordinator or Executive Assistant by December 15.

January

1. Internal review committee will meet to prepare their initial evaluations of research, teaching, and service for submission to Faculty Council. Committee is expected to provide a recommendation as to whether the contract of the faculty under review should be continued. Concerns, if any, must be noted. The committee may submit a minority recommendation if agreement is impossible.

February

1. The Internal review committee must submit its initial report to Faculty Council by February 1.
2. Faculty Council must review the initial report of the internal review committee and request further information or documentation if needed. The recommendation is then submitted to the Dean as a report from Faculty Council.

March - May

1. The report and recommendations from Faculty Council regarding all third year review candidates must be submitted to the Dean's Office by March 1.

2. The Dean will meet with each candidate and share the results of the review process. The candidate will have ten days to respond in writing to this conference.
3. The Dean will make the final decision regarding reappointment and notify the candidate.
4. Third Year documents are due from the Dean's Office to the Provost's Office by the end of May.

APPENDIX I

PROCEDURES FOR PROMOTION AND TENURE REVIEWS

1. Consideration for promotion and/or tenure is initiated by written request to the Dean by the faculty member desiring to be evaluated. The faculty member is to submit the [Faculty Action Request Form](#) in the academic year prior to the year in which the review will take place, and to notify the Chair of Faculty Council (see schedules below for due dates). The Dean's signature on the form serves as a confirmation of the faculty member's intent and does not imply agreement.
2. Whether or not an Assistant Professor initiates a request for consideration for promotion and/or tenure, a review must be undertaken in the sixth year of the tenure probation period, according to the University policies on promotion, tenure, and retention. If a candidate has joined the faculty before completing all required work for the doctoral degree and secures a waiver from the Provost's office within one year of appointment to the faculty in a full-time faculty position, the time of mandated review for promotion with tenure may be delayed up to a maximum of two years.

If a candidate has joined the faculty after full time service in another university, the period served at the previous university up to a maximum of two years will count toward the six years period for mandated review.

3. The faculty member is notified by the Dean that the review is to take place, and is given an opportunity to indicate if there are any faculty members the candidate would prefer not to have on the committee, with reasons. The Dean treats this advice confidentially.

The Dean consults with the Chair of the Faculty Council, and appoints promotion review committee. Only tenured faculty are eligible to serve. In the case of promotion from Associate to Full Professor, the Chair of the Committee is to be a full professor.

4. The candidate is free to consult with the Dean or the Chair of Faculty Council for clarification of any procedural questions.
5. At an agreed upon time in the sixth year of service, the candidate for promotion from Assistant to Associate Professor submits to the committee an up-to-date vitae and other information describing past and current performance (see below). The review committee follows the procedures for third year reviews, securing evidence of achievement in each area. All documents are available to all committee members for review. In the case of faculty being considered for promotion from the rank of Associate Professor to Professor, all tenured faculty will be required to review the candidate's materials and submit an evaluation to the Review Committee. All other faculty members are encouraged to review the materials and submit their evaluations to the Review Committee. The evaluations will be considered advisory to the review committee and may or may not be included in the report of the Committee to Faculty Council.

In addition, members of the review committee select a minimum of 12-15 outside authorities to review and evaluate publications. The candidate will be invited to submit five names for consideration; for each nominee, the candidate will describe the nature of his/her relationship with that person. No more than three names from the candidate's list will be selected under normal circumstances. The remaining external reviewers will be identified by members of the review committee and Faculty Council.

In selecting potential external reviewers, the Committee must be prepared to defend the reputation of the individuals, their Schools, and their Universities. To the extent possible, persons having a close working relationship with the candidate should not be selected.

The review committee evaluates the dossier and the evaluations of external reviewers and submits a written report of its findings and recommendations to the Faculty Council executive committee which is responsible for accepting the report or asking for revisions and for making a decision about whether or not to recommend promotion or tenure. Following action and approval by the executive committee of Faculty Council, the report is given to the Dean. Note that the reference to the executive committee of Faculty Council refers to all tenured members in the case of promotion at both assistant and associate levels.

6. The Dean makes an independent evaluation of the candidate's readiness for promotion and/or tenure.
7. The written evaluations by the Dean, the Review Committee report as accepted by Faculty Council, the Recommendation of the Faculty Council Committee, the original dossier, the qualifications and evaluations of the external reviewers are submitted to the University Committee on Appointments, Promotion and Tenure for consideration and recommendation to the Provost and President of final decision.
8. Grievance protocol/etiquette during promotions, reviews, and recruitment.
 - (a) "Campaigning, urging, convincing, pressuring, or coercing" colleagues are "off bounds". Soliciting of advice from colleagues with the goal of obtaining factual information or broadening perspectives about a candidate under review is permissible.
 - (b) Personnel decisions by faculty should be based strictly on the materials contained in the dossier.
 - (c) If a faculty person (including one under review for tenure/promotion or mid-term review) believes that a colleague (s) has violated the ethical standard listed in a and b above, the faculty person should discuss this directly with the colleague and seek to resolve the matter in this fashion. If an appropriate resolution does not occur, the faculty person may bring the alleged violation to the attention of the Dean. In this instance, the faculty member should provide in writing the names of those alleged to have violated ethical behavior, and what was said or done and by whom. The Dean will investigate the allegation to determine if it is based in fact. If the allegation is proven to be true the Dean will take appropriate action.

If the faculty member making the allegation is dissatisfied with the outcome, he/she is free to pursue any avenues of redress the University provides.

- (e) Once a review committee for tenure and promotion or mid-term review of a colleague has been formed and the dossier of the colleague under review has been assembled, faculty members are discouraged from discussing their views about the candidate under review with any members of the review committee. When any member of the review committee is approached by a colleague who attempts to give an opinion about a candidate's credentials or their suitability for continuation or promotion, the review committee member should respectfully discourage such communications and urge the faculty member to use the available written evaluation mechanisms for making his or her views known to the committee.

Nothing herein is to suggest that colleagues not serving on review committees are discouraged from sharing their views and opinions about the performance of a candidate in order to gain information or perspective that might assist in decision making. Nor does it prohibit members of the committee from asking information from members of the faculty, as long as the full committee approves such consultations, and such consultations are noted in the report.

Candidates going up for review should not be contacted directly regarding their material or the promotion process. All questions and concerns should be directed to the Dean's office or the Promotion Committee chair.

PREPARATION OF DOSSIER FOR PROMOTION AND TENURE

Note: Please consult with Dean's Office regarding any possible changes made to requirements or schedule.

In preparation for review, the candidate is to submit his/her CV, personal statement and copies of articles to the Dean's Office. See promotion schedules (below) to determine due date.

The dossier to be submitted by the candidate should consist of the following sections. (See promotion schedules to determine date dossier is due to the Dean's Office - below). All other material, not required of the candidate, will be included by the Dean's Office. (See Checklist for Dossier Preparation in the University UCAPT Guidelines).

Volume I

Section I-B – Quantitative Data

Section II - Curriculum Vitae

Section III - Personal Statement

Section IV - Teaching Record

- Dean's memo comparing candidate's teaching quality to department and school norms.

- Summary of evidence concerning the candidate's record of mentoring, courses taught, curriculum development activities and other student interactions. See Section 7 of UCAPT Guidelines.

Section V - Service Record

Volume II

Section VII - Appendix

- Teaching Record supporting details
 - *According to Manager of Faculty Affairs (August 2008):* In the case of Assistant to Associate Professor, one copy of the syllabus for each course taught within the last three years.
 - Course Evaluations
- Evidence of Scholarship
 - The candidate should include only the articles that were sent to the external reviewers.

Pages should be 3-hole punched and each section divided and marked. Do not place pages or articles into full-length plastic covers. Articles should be easy to remove and replace by the reviewer.

The Dean's Office will reorganize the dossier material as required for submission to the Provost's Office, as necessary.

Content of Personal Statement

Note: Suggested length is up to 10 single-spaced typewritten pages. The personal statement may be reduced to 2 pages for submission to UCAPT (see UCAPT Guidelines, section 6).

- (a) The candidate should prepare a narrative statement describing: the background leading to entry into academia and the factors involved in seeking employment at USC ; personal career goals as a academician, including areas of expertise; self-assessment of achievements and gaps to date, including factors related to achievements and /or gaps; goals for the future.
- (b) Research and Scholarly Production. The candidate should prepare a brief narrative statement describing the focus of research completed and ongoing; contemplated changes in focus; evidence of impact of research on the field as reflected in citations, inclusion in anthologies, peer reviews, etc.
- (c) Teaching Experience. The candidate should prepare a brief narrative statement describing the teaching experience from date of appointment or date of last promotion to date, (including previous teaching experience); assessment of student evaluations; plans and aspirations for future teaching responsibilities; assessment of contribution to the School's curriculum.
- (d) Service to the School and the University. The candidate should prepare a brief narrative statement describing the nature of contributions through service on

committees, including service as chair; experience with tutorials, students research projects, master's theses, doctoral dissertations.

- (e) Contributions to the Community. The candidate should prepare a brief narrative statement describing the nature of contributions, including: service on local, regional, national and international professional associations; keynote speaker and/or presenter of invitational papers at professional meetings; workshop leader; opened articles; members and/or chair of social agency boards of directors.

PROMOTION SCHEDULE - ASSOCIATE PROFESSOR

– dates are provided as a guide only and subject to change (check with Dean's office)

March

- Dean Flynn meets with candidate
- Faculty Candidate submits [Faculty Action Request Form](#) by March 1.
- Dean consults with Chair of Faculty Council, and appoints Promotion Committee and notifies candidate.

April

- List of 12-15 potential external reviewers is developed by Committee with all contact information (Name, Title, Institution/University, Address, Phone, Fax, E-Mail Address)
- This list should be divided into “Independent Reviewers” (people with whom the candidate has not collaborated) and “Colleagues” (those with whom the candidate has collaborated).
Keep in mind that there must be a “...*minimum of 6 substantive letters, answering all questions, from academic scholars who are independent (not suggested by the candidate and without prior working, collegial or personal relationships)*...”
These must be from tenure-granting institutions.

May 15

- Committee gives list to Dean's Office
- Dean's Office creates external reviewer spreadsheet

May 30

- Dean's Office sends letters to potential external reviewers asking if they would serve
- Promotion Candidate gives CV, Personal Statement and 5-6 publications to Dean's Office for copying - for external review

June

- After responses from reviewers are received:
 - Dean's Office sends detailed letter and packet of material (CV, Personal Statement, Publications & Self addressed envelope) to external reviewers - with due date of October 1.
 - Dean's Office contacts any potential reviewers who have not responded
 - If we do not receive adequate response from potential reviewers, Committee provides additional names to the Dean's Office, and request letters are sent

September 1

- Promotion Candidate gives **3 copies** of completed dossier to Dean's Office - for internal review
- Dean's Office sends memo to Tenure-Track Faculty re: evaluating promotion candidate - internal reviews **due date of October 1**

October - November

- Faculty review dossiers
- Internal Evaluations are copied and placed on file for Committee Chair
- Dean's Office keeps record (chart) of internal responses
Once all evaluations are received, chart is given to Committee and the Dean
- Receive reviews and CVs from external reviewers
 - If the reviewer has not provided all pertinent requested information, Dean's office contacts the reviewer immediately for response by mail or email
- Dean's Office sends thank you letters to external reviewers
- Dean's Office prepares reviewer chart for dossier and copies letters and CV's for Committee Members and the Dean
- Committee prepares recommendation to submit to Faculty Council

December-January

- Committee submits recommendation to Faculty Council (**Due November 15**)
- Faculty Council reviews committee report and submits recommendation to the Dean (**Due no later than the date of the first Faculty Council meeting in January.**)
- Associate Dean of Faculty Affairs writes bios based on reviewers' CVs (**Due January 10**)
- Dean prepares memorandum comparing candidate's teaching quality to department and school norms. (**Due January 30**)
- Dean prepares memorandum to Provost requesting appointment (**Due January 30**)

February 1

- Dossier Due to Provost's Office

PROMOTION SCHEDULE - FULL PROFESSOR

– dates are provided as a guide only and subject to change (check with Dean’s office)

September

- Dean Flynn meets with candidate.
- Faculty candidate submits Faculty Action Request from by October 1.
- Dean consults with Chair of Faculty Council, and appoints Promotion Committee and notifies candidate.

October

- List of 12-15 potential external reviewers is developed by Committee with all contact information (Name, Title, Institution/University, Address, Phone, Fax, E-Mail Address)
- This list should be divided into “Independent Reviewers” (people with whom the candidate has not collaborated) and “Colleagues” (those with whom the candidate has collaborated).
Keep in mind that there must be a *“...minimum of 6 substantive letters, answering all questions, from academic scholars who are independent (not suggested by the candidate and without prior working, collegial or personal relationships)...”*
These must be from tenure-granting institutions.

October 15

- Committee gives list to Dean’s Office
- Dean’s Office creates external reviewer spreadsheet

October 30

- Dean’s Office sends letters to potential external reviewers asking if they would serve
- Promotion Candidate gives CV, Personal Statement and 5-6 publications to Dean’s Office for copying – for external review

November

- After responses from reviewers are received:
 - Dean’s Office sends detailed letter and packet of materials (CV, Personal Statement, Publications & Self addressed envelope) to external reviewers – with due date of **February 1.**
 - Dean’s Office contacts any potential reviewers who have not responded

- If we do not receive adequate response from potential reviewers, Committee provides additional names to the Dean's Office, and request letters are sent

January

- Promotion Candidate gives **3 copies** of completed dossier to Dean's Office - for internal review
- Dean's Office sends memo to Tenure-Track Faculty re: evaluating promotion candidate. Internal reviews due **March 1**

January (through March)

- Faculty review dossiers
- Internal Evaluations are copied and placed on file for Committee Chair
- Dean's Office keeps record (chart) of internal responses
Once all evaluations are received, chart is given to Committee and the Dean
- Receive reviews and CV's from external reviewers
 - If the reviewer has not provided all pertinent requested information, Dean's office contacts the reviewer immediately for response by mail or email
- Dean's Office sends thank you letters to external reviewers
- Dean's Office prepares reviewer chart for dossier and copies letters and CV's for Committee Members and Dean
- Committee prepares recommendation to submit to Faculty Council

May (through July)

- Committee submits recommendation to Faculty Council (**Due May 1**)
- Faculty Council reviews committee report and submits recommendation to Dean (**Due July 1**)
- Associate Dean of Faculty Affairs writes bios based on reviewers' CV's (**Due July 1**)
- Dean prepares memorandum comparing candidate's teaching quality to department and school norms (**Due Oct. 1**)
- Dean prepares memorandum to Provost requesting appointment (**Due Oct. 1**)

October 15

--Dossier Due to Provost's Office.