

Physics - Departmental Criteria and Procedures

Reappointment, Promotion and Tenure

Authority: Provost and Executive Vice Chancellor for Academic Affairs

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Related Policies: Academic Tenure Policy, College of Physical and Mathematical Sciences Promotion and Tenure Criteria and Procedures

Related Information: Qualifications for Rank Regulation, Realms of Faculty Responsibility Regulation, Statements of Mutual Expectations and Plan for Professional Development Regulation, Annual Faculty Activity Reports Regulation, Evaluation of Scholarly Accomplishment Regulation

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I. Introduction

This rule summarizes the standards of the Physics Department of North Carolina State University for evaluating faculty performance. The guidelines should be read in conjunction with the NC State Academic Tenure Policy (<http://www.ncsu.edu/policies/employment/faculty/POL05.20.1.php>), and the Reappointment, Promotion and Tenure (RPT) procedures (www.ncsu.edu/provost/academic_affairs/rpt).

The department makes two types of appointment: regular and special. Regular appointments involve teaching, research and service and are state-funded, tenure-track. Regular faculty members will be evaluated for RPT on the basis of all the standards discussed in these guidelines. Special faculty appointments involve some subset of research or teaching, and are contingent upon the availability of support. They are not tenure-track. Specific examples include research professorships and clinical or teaching professorships. Special faculty members will be evaluated for reappointment and promotion on the basis of the standards that relate to their specific duties.

II. Realms of Faculty Responsibility

The aim of the promotion and tenure rule of the Department of Physics is to recognize and reward colleagues who have achieved distinction in their academic careers, and who show expectation of continued intellectual development. Distinction is characterized by excellence in the conduct and direction of teaching and research. The following paragraphs describe the department's understanding of what comprises activity in these areas. Participation in service and extension activity, and general collegiality of faculty are also recognized as important contributions to the vitality of the Department.

A. Teaching

Teaching is facilitation of learning aimed at helping students achieve their educational objectives. Effective teaching is vital to the mission of the University. Stimulating, rigorous and successful instruction should be the goal of every faculty member.

The department offers courses at three levels-- graduate, advanced undergraduate, and introductory undergraduate-- and recognizes that faculty members will have skills which may make it appropriate for them to specialize in teaching at one level more than another. In general, however, faculty should involve themselves in teaching at all levels. Innovative instructional methods, text development and new course development will be recognized as significant contributions to the teaching mission of the department.

B. Research

Research is critical inquiry directed towards the creation of new knowledge or the creative synthesis of existing knowledge. Research will result in publication in refereed journals, and will be carried on in conjunction with participation in professional meetings and service in professional societies and organizations.

Wide variations exist in funding patterns within Physics. In general, the department expects its faculty members to pursue and obtain external funding in a manner consistent with national norms for their particular specialties. All activity that reflects on the professional competence and reputation of the faculty member contributes to defining distinction in research. The primary criterion for judging excellence will be external recognition by the faculty member's peer group.

C. Service and Extension

Service is participation in the various functions and tasks necessary for the operation of the department, college, and NC State as a whole. These functions are diverse: committee service, student advising, management of common exams, supervising teaching assistants, managing Departmental facilities and personnel, and recruiting at the graduate and undergraduate level. Extension comprises service activity benefiting the people of the State of North Carolina. Examples are: liaison work with the teachers in the High Schools throughout the State, and participation in teacher education workshops. Assistant professors should not carry out service and extension activities at the expense of teaching or research. But the tenured faculty will recognize the importance of this work and will participate whenever they can usefully contribute.

III. Standards for Reappointment as Assistant Professor

Consistent with the guidelines set forth in Section II, the following specific standards will be applied in considering reappointment:

- A. Evidence of ability to teach effectively. Effectiveness will be judged from student evaluations, and from in class observation by a member of the senior faculty, chosen by mutual agreement between the candidate and the department head. Impressions of past graduate and undergraduate Physics students, determined from exit interviews by the department head, may also be used where appropriate.
- B. Evidence that scholarly research activity is in progress. This should include any or all of the following:
 - 1. papers published in refereed journals and in conference proceedings
 - 2. abstracts and talks submitted to professional meetings.

3. proposals submitted and grants and contracts in effect.
4. invited seminars and colloquia, and invited talks at professional meetings
5. service to or in professional societies and organizations
6. awards or honors received
7. graduate students supervised in research
8. books authored and edited
9. activity, honors or awards that enhance the faculty member's professional status

C. Evidence of ability to work with colleagues and evidence of participation in the intellectual life of the Department and University, e.g., faculty meetings, seminars, colloquia.

IV. Standards for Promotion to Associate Professor with Tenure

Consistent with the guidelines set forth in Section II, the following standards will be applied in considering promotion from assistant professor to associate professor with tenure.

- A. Evidence of effective teaching. This will be documented as outlined in section III.A

- B. Evidence that outstanding scholarly activity is being achieved beyond the doctoral dissertation level and that continued intellectual development can be expected. This should include all of the items listed in section III.B, together with supporting letters from the faculty member's peer group. The peer group will consist of five outside authorities (not including the dissertation adviser) who can provide an evaluation of the candidate's scholarship. Three of these outside authorities will be selected by the candidate and two will be identified by the department.

- C. Evidence of effective participation in Departmental service or extension activity. Evidence of ability to work with colleagues in the Department.

V. Standards for Promotion to Full Professor

Full professors play a crucial role in determining the academic quality of the University. The rank of full professor will be reserved for those who have clearly demonstrated continued intellectual development and who can be expected to provide leadership within the department, the University, and the scholarly community at-large. Length of service alone should not produce an expectation of promotion to full professor. Candidates who feel their case is exceptionally strong may request consideration for promotion by writing a letter to the Department Head.

Consistent with the guidelines set forth in the Section II, the following specific standards will be applied in considering promotion from associate professor to full professor:

- A. Evidence of effective teaching in both lower and upper level courses.

- B. Evidence that outstanding scholarly activity is being achieved and that continued intellectual development is assured. This should include all of the items listed in III.B, together with supporting letters from the faculty member's peer group. The peer group will consist of five outside authorities (not including the dissertation adviser) who can provide an evaluation of the candidate's scholarship. Three of these outside authorities will be selected by the candidate and two will be identified by the department.

- C. Evidence of ability to work cooperatively with colleagues at all levels, in and out of the department. Service should show evidence of active leadership or contribution at the departmental, college and University level. Extension activity should show evidence of leadership at the state or national level.

VI. Procedures for RPT Review

The department follows the guidelines published by the Office of the Provost regarding the documentation and process for conducting reviews at the department level for reappointment, promotion, and tenure. These guidelines include dossier preparation, seeking and receiving external evaluations, and formal review steps at the department level.

DEPARTMENT OF PHYSICS

PROCEDURES FOR COMPREHENSIVE REVIEW OF TENURED FACULTY

Pursuant to NC State University policy for review of tenured faculty, the Physics Department has established a Comprehensive Review Committee (CRC) whose purpose is to provide peer assessment of the performance of individual tenured faculty members over the review period. The Department's procedures are described below. University policy is described in regulation 05.20.4, Comprehensive Review of Tenured Faculty, at <http://www.ncsu.edu/policies/employment/epa/REG715.00.17.php>

I. Establishment of the CRC

1. The CRC shall consist of three tenured faculty members elected by the tenured faculty of the Physics Department. CRC members will serve staggered three-year terms with one new member being elected each year.
2. All tenured Physics Department faculty are eligible to serve on the CRC.
3. If a member of the CRC is due to be reviewed then they shall recuse themselves for their reviews and the senior member of the Departmental Advisory Committee (DAC) will serve as the third member of the CRC for that review only.
4. The election shall be held at the beginning of the academic year in conjunction with the election for the DAC and shall be overseen by the senior remaining member of the DAC. Nominations will be solicited during the first two weeks of the fall term. Reasonable effort should be made to get at least two nominees for the CRC position. Elections should be held in the third week of the semester. A candidate will be considered elected if a majority of eligible voters has voted and the candidate receives a majority of the votes cast. If these conditions are not met then a runoff election will be held during the next week. The two candidates receiving the most votes will be eligible for the runoff. In case of a tie, the senior member of the DAC will arrange for the

potential candidates to draw straws to determine who will run. For a candidate to be elected, a majority of eligible voters must have participated.

5. In case of a vacancy on the CRC, the Department Head after consultation with the DAC shall appoint a replacement to serve until the next CRC election. At that time a new member will be elected to complete the term for that position.

II. Operation of the CRC

1. In any given academic year, the member of the CRC who is serving for his or her last year will chair the committee. The Chair will be responsible for scheduling all meetings, coordinating with the Department Head, and preparing and transmitting any reports from the committee to the Head and to the faculty members who were reviewed.
2. After the election of the new CRC member, the CRC will meet with the Department Head to determine who will be reviewed during that year and what the schedule will be.
3. The main review will be held in the spring after the Department has assembled the package of materials from each faculty member to be reviewed. The CRC should have at least two weeks between the time they receive the written packages and any review meeting.
4. After all decisions are made the CRC will meet with the Department Head to report its findings.
5. The CRC shall also provide written assessment to both the faculty member and the Department Head as to whether the faculty member meets or does not meet the performance criteria. When the faculty member does not meet the performance criteria the CRC will follow University procedures as described in regulation 05.20.4.
6. All deliberations and reports will be held confidentially by the CRC members.

III. Performance Criteria

The Physics Department Promotion, Tenure, and Review Guidelines describe the high standards applied in hiring new faculty and in granting tenure and promotion to continuing faculty. The granting of tenure to a faculty member is a rigorous process, requiring a clear demonstration that the appropriate standards have been met. The Physics Department endorses the concept that, following the granting of tenure, each faculty member will continue to maintain effective contributions to the department, college, and university that are consistent with the general guidelines used in granting tenure. To assure that the high standards employed in the promotion and tenure processes are maintained throughout a faculty member's professional career, a Comprehensive Review Committee (CRC) consisting of three tenured faculty members will assess the performance of individual tenured faculty members according to the University's defined procedures. This review is in addition to the periodic reviews by the Department Head and to the submission of the annual activity report by each faculty member.

In general, tenured faculty members are expected to maintain an effective contribution to the University through an appropriate combination of teaching, research, extension, and/or service activities. It is fully recognized that the emphasis or mixture of activities may shift over time, but throughout their careers they have an obligation to maintain a productive contribution to the well-being of the students, department, college and university.

Teaching, research, extension activities and service are the fundamental activities of a faculty member, and each faculty member is expected to make significant contributions in at least one of these areas and a total effort consistent with full-time employment. A faculty member who achieves these standards would be deemed to meet the performance criteria. A decision by the CRC that the faculty member does not meet the performance criteria will result in an assessment that the faculty member is not maintaining an adequate level of professional contributions to the University. Circumstances that would cause a decision that a faculty member does not meet performance criteria consist of:

1. Consistent evaluations of instruction which are unsatisfactory.
2. A reduction in productivity in one area of activity resulting in an overall level of performance inconsistent with a full time effort, and which is not compensated by an increase in productivity in

another area.

The procedures to be followed when a faculty member is found to not meet the performance criteria are specified in regulation 05.20.4: <http://www.ncsu.edu/policies/employment/epa/REG715.00.17.php>

The CRC will conduct a review of each tenured faculty according to a schedule developed in the department. A review will be conducted at least once every three years for Associate Professors and once every five years for Full Professors. The reviews will be made on the basis of written documentation provided by the faculty member including all annual activity reports since the last review, any teaching evaluations, and may include a statement or any other documentation prepared by the faculty member being reviewed.

Approvals:

Department: 7/12/1999, update with revisions 10/1/03

College: 7/27/1999

Office of the Provost: 8/24/1999

DEPARTMENT OF PHYSICS

BYLAWS

I. Faculty Appointments

A. Appointment categories

The Department makes two types of appointment: regular and special. The titles associated with the two categories are discussed in detail on the Policies, Rules and Regulations website: www2.ncsu.edu/prr/homepage.php. Regular appointments involve teaching, research and service and are state-funded, tenure-track. Performance of regular faculty will be evaluated according to the Departmental Reappointment, Promotion and Tenure (RPT) guidelines. Special appointments involve some subset of research or teaching, and are contingent upon the availability of support. They are not tenure-track. Specific examples include research professorships and clinical (teaching) professorships. Special faculty members will be evaluated for reappointment and promotion on the basis of the RPT guideline criteria that relate to their specific duties. The appointments are renewed provided both satisfactory performance and appropriate funding are maintained.

The Departmental Voting Faculty (DVF) are the regular Full Professors and the regular Associate Professors with tenure. The DVF vote on appointment, promotion, and tenure decisions for tenure track faculty, appointment decisions for Research and Adjunct faculty, and Associate and Joint status for faculty members in other NCSU academic departments. However, Associate Professors do not vote on tenure track appointments at the Full Professor level or promotions to Full Professor level.

The Graduate Faculty members are approved by the Dean of the Graduate School, on the basis of a recommendation from the Department Head. Both regular and special faculty members are eligible for appointment to the Graduate Faculty. Physics department graduate students can be advised and supervised only by members of the Graduate Faculty. All members of the Graduate Faculty may serve on M.S. and Ph.D. committees. Regular faculty in Physics can chair M.S. and Ph.D. committees. Research faculty in Physics can co-chair M.S. and Ph.D. committees.

B. Criteria for appointment to regular faculty positions

1. Candidates for a regular faculty appointment must show potential for contributing to the teaching, research and/or extension missions of the Department. In most cases it will be expected that regular faculty will actively teach, publish and generate external funding to enhance their research programs.
2. As part of the search procedure, candidates will present a seminar to the general faculty, will be available for group and individual discussion with interested faculty, and will be interviewed by the Department Head, and the Dean of PAMS, or designate. At least three letters of recommendation must be supplied along with a current CV and proof of highest degree.
3. A decision to appoint will require a positive majority vote of the DVF and separate approval by the Department Head.

C. Criteria for appointment to research faculty positions

1. Before being considered for a research faculty appointment, candidates will normally have spent at least one year in the Department as a research associate or as a visiting scientist.
2. Candidates must have the ability to generate successful funding proposals, either in conjunction with regular faculty within the University, or as independent researchers.
3. As part of the search procedure, candidates will present a seminar to the general faculty, will be available for group and individual discussion with interested faculty, and will be interviewed by the Department Head, and Dean of PAMS, or designate. At least three letters of recommendation must be supplied along with a current CV.
4. A decision to appoint will require a positive majority vote of the DVF and separate approval by the Department Head.

D. Criteria for appointment to other faculty positions

1. Adjunct faculty. Candidates will be suggested by members of the tenure track faculty on the basis of mutual research interests. A complete CV of the candidate will be required along with at least one letter of recommendation and proof of highest degree. Appointment is approved by vote of the DVF and Department Head. Appointments are for a fixed term and terminate automatically unless renewed by the same process as the original appointment.
2. Visiting faculty, visiting scholars. Candidates will be suggested by members of the faculty on the basis of mutual teaching and research interests. A complete CV of the candidate will be required. Appointment is approved by the Department Head. A vote of the DVF is not required. Appointments terminate automatically after a year unless renewed by the same process as the original appointment.
3. Emeritus Professor. Emeritus status is available to retiring regular faculty upon written request to the Department Head. A vote of the DVF is not required.
4. Instructors, Lecturers. Candidates will be appointed by the Department Head on the basis of teaching needs within the department. A vote of the DVF is not required.
5. Research Associates and Senior Research Associates. Candidates will be suggested by faculty members on the basis of mutual research interests. Appointment is approved by the faculty member serving as Principal Investigator, and the Department Head. A vote of the DVF is not required.
6. Associate status. Faculty with regular appointments in other NCSU Departments will be eligible for associate status. Candidates will be suggested by members of the DVF on the basis of mutual research interests. Appointment is approved by vote of the DVF and the Department Head. Associate status does not confer voting privileges within the Physics Department.
7. Joint status. A faculty member at any level may be supported jointly by two departments. That faculty member will retain full voting rights, appropriate to his or her rank, in one of the departments, and associate status in the other department. This arrangement will be determined at the time of appointment. The appointment is approved by vote of the DVF and the Department Head.

II. Departmental Committees

The Department has the following standing committees:

- Advisory committee
- Comprehensive Review of Tenured Faculty committee
- Computing committee
- Course and Curriculum committee
- Personnel committee
- Physics Liaison committee for 100- 200 level courses
- Safety committee
- Staff Liaison committee
- Teaching assignment committee

Ad-hoc committees are appointed and charged by the Department Head on an as-needed basis.

The Advisory committee consists of three tenure-track faculty and ex officio the Director of Undergraduate Programs and the Director of Graduate Programs. The faculty members are chosen by the Department Head from among the regular tenure track faculty. The members serve staggered three year terms. Each fall the senior member of the committee is replaced in the following manner: The Physics faculty elect two nominees by secret ballot, then the Department Head appoints one of these two persons to the committee. A member of the Advisory Committee is eligible for re-election to the committee.

The Comprehensive Review committee is elected according to the procedures outlined in the CRTF procedures.

The RPT committee is reconstituted each January and is comprised of the past years committee chair, a new committee chair, plus one patron for each candidate who will be considered for reappointment, promotion, or tenure in the fall semester of that year. The Department Head appoints the committee chair. The individual patrons are appointed by the Department Head with the consent of the candidate in each case.

The Chair of each Committee is appointed by the Department Head, in consultation with the Advisory committee. Appointment to the committee itself is by the Department Head in consultation with the Committee chair. All members of the Department are eligible to serve on Department Standing committees. Committees dealing with undergraduate and graduate curriculum issues will also have at least one physics undergraduate and graduate student member, respectively nominated by SPS and GPSA. These students will have full voting privileges on course and curricula issues.

The Department Head appoints the following personnel:

- Director of Graduate Programs
- Director of Undergraduate Programs
- Undergraduate advisers
- Honors Program adviser and faculty adviser to SPS
- Sigma Pi Sigma adviser
- Course coordinator for 205/208
- Library liaison
- WWW page coordinator
- WebAssign contact person
- Sophomore labs coordinator
- Astronomy lab coordinator
- Senior laboratory adviser
- LH Thomas Lecture coordinator

- Open House coordinators
- Colloquium chair
- McCormick award coordinator

III. Departmental Meetings

1. General faculty meetings are called by the Department Head and will normally be held the first Wednesday of each month during the fall and spring semesters. The Department Head should publicize the agenda prior to the meeting. The general faculty consists of all faculty at all ranks, including lecturers, and all EPA Professional Staff with instructional duties. Any issue requiring a vote of the general faculty must have been discussed in at least one preceding faculty meeting in the same academic year, or be the result of a recommendation from a Departmental standing committee. A 2/3 vote of the faculty present is sufficient to suspend this rule in order to vote immediately on an issue.
2. Graduate faculty meetings are called by the Director of Graduate Programs and will be held at least once a year in the spring, to approve continuation of Ph.D. candidates. Only graduate faculty are eligible to vote.
3. Departmental voting faculty meetings are called by the Department Head and will be held during the academic year to consider the performance and progress of non-tenured faculty.
4. Committees will meet at least once per year and at the discretion of the chair of the committee. Minutes will be kept at the discretion of the committee chair. At the end of the academic year, the committee chair shall provide the Department Head with a written summary of the committee's recommendations and activities for the year.

IV. Amendment of the Bylaws

These bylaws may be amended by a majority vote of the regular tenure track faculty at two successive faculty meetings.

APPROVED by the Physics Faculty 12/8/99. Update approved 10/1/03