

Organization Plan for the Department of Physics
(Faculty Approved, August 2020)

I. Department Committees for Appointment, Reappointment, Promotions, and Tenure

(a) Committee on Appointments (CA)

In the Department of Physics, the Committee on Appointments (CA) consists of all tenured and tenure-track (T&TT) faculty members holding primary appointments in the Department of Physics. The CA is chaired by the Department Chair who serves as an *ex officio* member of the committee.

The CA is responsible for the appointment of new T&TT faculty at all ranks, following procedures described below. Exceptions to any policies described in this document may be made in the case of joint appointments, where appropriate procedures will be followed as outlined at the time of appointment. Further, the CA is responsible for the appointment of non-tenure track faculty (non-TT faculty) such as teaching faculty, research faculty, and professors of the practice as detailed in Section III.

Deliberations of the CA are to be informed by the advice of the ECAP and by relevant ad-hoc Faculty Search Committees established by the Chair.

(b) Committee on Reappointments, Promotions, and Tenure (CRPT)

In the Department of Physics, the Committee on Reappointments, Promotions, and Tenure (CRPT) consists of tenured faculty at the appropriate rank (“at-rank”). At-rank faculty are those tenured faculty who are at a higher rank than the candidate at the time of promotion and, in tenure review cases, are tenured themselves. Only tenured faculty holding primary appointments in the Department of Physics are eligible to be CRPT members. The CRPT is chaired by the Department Chair who serves as an *ex officio* member of the committee.

The CRPT is responsible for the promotion, tenure and reappointment of T&TT faculty, following procedures described in Section II. The CRPT is responsible for the reappointment and promotion of non-TT faculty such as teaching faculty, research faculty, and professors of the practice as described in Sections III/IV.

(c) The Executive Committee on Appointments and Promotions (ECAP)

In the Department of Physics, the Executive Committee on Appointments and Promotions (ECAP) consists of five members plus the Department Chair who serves *ex officio* and chairs the committee.

All members of the committee must be tenured professors holding primary appointments in the Department of Physics. At the end of each academic year, the Chair will propose a slate of ECAP candidates for approval by a vote of the entire tenured and tenure-track (T&TT) faculty; the approved ECAP will serve during the succeeding academic year. In general, the ECAP should have representation from across the main research areas of the department.

The ECAP identifies appropriate faculty to evaluate the research, teaching and service of the candidate for promotion and to write the internal documents that provide an objective evaluation of the promotion case, but not a recommendation.

Further, the ECAP is an important consultative body within the Department and may be asked to provide advice or assistance to the Chair in matters related to, or of importance to, the faculty of the Department. The ECAP will also ensure that teaching evaluations and classroom visits are being performed for pre-tenured faculty on at least an annual basis, and that faculty mentoring committees meet with the pre-tenured faculty annually.

II. Procedures for Appointment, Reappointment, Promotions, and Tenure of T&TT Faculty

(a) CA Procedures for New T&TT Appointments

After consultation with the ECAP and any applicable search committees, the Department Chair may call on the CA to discuss and vote on the appointment of new T&TT faculty. Candidates for appointment may be identified through college or departmental search committees or as individuals recommended by the ECAP (“targets of opportunity”).

Physical or virtual attendance at CA meetings is recommended but not required for voting. After a CA meeting, the Chair will designate a time limit for voting and all CA member votes received before that time limit will be counted.

In the case of a single candidate being considered for appointment, an affirmative vote will consist of a majority of CA votes cast as long as the total number of votes cast is more than half of the number of eligible CA members.

When there are multiple candidates for a single position, the CA shall use rank-order voting to set the priority of offering the position to candidates.

(b) Timeline for Tenured and Tenure-Track Faculty Reappointments and Promotions

Evaluation of candidates for contract renewal, promotion and tenure is carried out as contractually mandated. The process is initiated on or around June 1 by the appropriate letter from the chair to the candidate requesting those materials required

for the promotion packet. A request for early tenure evaluation may be initiated by submitting this request in writing to the department Chair by May 1.

Promotion to full professor may be initiated by the ECAP or by self-nomination to the Chair in writing by May 1. However, it is strongly recommended that candidates begin discussing the promotion with the Chair at least one year in advance so that adequate teaching evaluations can be performed, and so that the ECAP may make recommendations to the candidate on the strengths and weaknesses of the case. When the review is not contractually mandated and the candidate had been denied promotion at the PAC level the previous year, the ECAP may decline the promotion request if they feel that there is insufficient cause to reconsider the case.

(c) Appointment to University Chair

The appointment of tenured professors to named University Chair positions is reserved for extraordinary faculty members, virtually without exception at the full professor level, where faculty members substantially exceed expectations in scholarship, as set forth herein. The faculty member must be one with international scholarly eminence, an extraordinary publication record, exceptional funding achievements appropriate for their discipline, and invitations to the top universities in the country and the world as a seminar speaker. There must be overwhelming evidence that the candidate will sustain excellence throughout her/his career. This is the highest honor bestowed upon a faculty member at Notre Dame for scholarly contributions.

In the case that a candidate outside Notre Dame is nominated for a University Chair, the CA shall consist of faculty with the rank of Professor. For nominations within the University, the CRPT shall consist of faculty with the rank of Professor.

The procedure for appointment to a named University Chair is ordinarily by nomination from the Chair of the department to the Dean, as specified in the University's *Academic Articles*. Prior to making such a nomination, the Chair is expected to have performed substantial due diligence on the appropriateness of the nomination by soliciting opinions from the department CA (in the case of an outside hire) and CRPT, and possibly from other senior faculty leaders and current chair holders at their discretion. The nomination is in the form of a letter that documents the essential nature of the case, input from the CA/CRPT and other opinion leaders in the department, a curriculum vitae from the candidate, and at least three letters of support from external experts in the field who are familiar with the contributions of the candidate, as well as the standards for appointment to a named University Chair, as specified here-in. Separately, and as specified in the University's *Academic Articles*, the Dean appoints an *ad hoc* Named University Chair Review Committee to evaluate the nomination of the CA/CRPT and to provide a written recommendation. The dean evaluates independently both the written input of the Chair, and

the written report of the Named University Chair Review Committee, in determining how to proceed with the appointment, per the University's *Academic Articles*.

(d) CRPT Procedures for Preparing Reappointment, Promotion and Tenure Cases for Tenured and Tenure-Track Faculty

In instances of reappointment, promotion in rank, and/or tenure for T&TT faculty, reports on the teaching, research, and service records are required as part of the candidate's package. The ECAP will identify appropriate faculty to develop these reports. The authors of the internal reports will hold their primary appointments in the Department of Physics, but when research (or teaching) is substantially interdisciplinary, at-rank faculty from other departments may be asked to co-author or contribute to the internal research (or teaching) report. All internal reports are evaluated and approved by the ECAP before inclusion in the candidate's portfolio. The ECAP also selects external reviewers for cases of promotion and/or tenure, from whom the Chair solicits letters.

(e) Voting Procedures in Cases of Reappointment, Promotion and Tenure for Tenured and Tenure-Track Faculty

At the beginning of the Fall semester, the Chair will designate dates for the CRPT to meet and discuss promotion/tenure cases. All eligible CRPT members are expected to physically or virtually attend the meetings or petition the Chair to be excused. When sufficient documentation to consider a promotion/tenure case is available, all faculty members who are eligible to vote on the case (that is, the CRPT) are permitted to view the portfolio of the candidate.

Faculty discussion of the case at the formal review meeting is an essential component of the process. Therefore, the formal vote to be recorded and submitted to the Dean and PAC will consist of only those faculty members present, or those teleconferencing in, at the formal review meeting. Other faculty who cannot attend may provide their written opinions to the Chair to be read at the meeting, but may not vote. A quorum for the meeting is defined as more than half of those faculty eligible to vote on the case. Voting is carried out by written ballot (or directly to the Chair if teleconferencing). Each faculty member provides his/her name and records a vote of 'approve' or 'deny'; the Chair does not vote. The numerical result of the vote is announced to the CRPT after the written ballots are tallied, but the votes of individual faculty are not disclosed to the CRPT. A positive or negative vote of the CRPT at the review meeting is defined as a simple majority of those voting; in the event of a tie, the vote of the CRPT shall be regarded as negative. The minutes of the meeting are prepared and provided to the CRPT for approval. These minutes and the vote of each faculty member at the meeting are provided to the Dean and PAC as part of the candidate's evaluation package.

A negative vote by the CRPT combined with a negative report by the Chair will prevent the promotion case from being forwarded to the PAC for consideration.

External review letters arriving after the CRPT meeting will be made available to the CRPT and members may provide written comments about these letters to the Chair. The Chair may summarize these comments in the Chair's letter to the Dean.

(f) Conflicts in Cases of Reappointment, Promotion and Tenure for Tenured and Tenure-Track Faculty

Faculty members who serve on the Department's CRPT and/or ECAP and participate in the discussion and vote on reappointment, promotion and tenure (RPT) cases are required to recuse themselves from participating in cases in which the faculty member has a primary conflict of interest with the candidate being considered. Relationships that engender a primary conflict of interest include:

- Romantic, marital, sexual or close familial relationships, whether past or present
- Advising or supervisory relationships (e.g., the relationship between a PhD advisor and advisee, or postdoctoral advisor and advisee, though not the relationship between a department chair and a member of the regular faculty), regardless of time elapsed since the relationship existed
- Direct financial or business relationships.

The highly collaborative nature of physics research, as well as the policies of the funding agencies, which tend to favor multi-investigator grants, can create a secondary class of conflicts of interest. A secondary conflict of interest arises between individuals who, within the previous three years:

- Have been co-investigators or participants on one or more common grants
- Have collaborated as co-authors on one or more published papers
- Have served as co-advisors for one or more graduate students

Faculty members with secondary conflicts of interest are not necessarily excluded from the discussion and vote, and may in fact, possess first-hand knowledge and expertise vital to the CRPT's decision process, but must declare all such conflicts openly and in writing to the Chair, unless they choose to recuse themselves preemptively from participating in all parts of the RPT process; if the conflict is between the Chair and the candidate, the conflict must be declared to the Dean and CRPT.

A close, on-going collaboration between the candidate and a faculty member eligible for the CRPT may be considered a significant secondary conflict and the Chair (or Dean) may require the faculty member be recused from the CRPT for that candidate.

The following procedure shall be followed to avoid conflicts of interest in the RPT process:

Once the slate of candidates being considered for RPT is known, the Chair shall share with the eligible CRPT members the list of candidates and ask for written statements concerning any potential conflicts of interest (both primary and secondary) between the candidates and CRPT members. If the Chair has any such conflict, he/she should report that conflict to the Dean.

CRPT members with primary conflicts of interest shall be immediately recused by the Chair (or Dean) from the case in which they have a conflict. If a CRPT member has a significant secondary conflict, the Chair (or Dean, if the conflict is with the Chair) may choose to exclude that CRPT member from the case if he/she feels that including that CRPT member might bias or otherwise threaten the integrity of the decision process or might be perceived by a reasonable person as biasing or threatening the process.

No less than a week before the CRPT meeting, any CRPT member may ask the Chair to exclude one or more CRPT members because of an undisclosed primary conflict or an unacceptably significant secondary conflict. Such a request may be made confidentially to the Chair. After investigation and determination by the Chair that a major conflict exists, the Chair will require the conflicted members to be recused from the CRPT for that case. If the Chair determines no such conflict exists, that decision may be appealed to the Dean.

At the CRPT meeting and before any discussion of the cases, the Chair (or his/her designate) will declare the secondary conflicts of any members present.

Once excluded from a case due to a conflict, that CRPT member is prohibited from viewing any material on the promotion (including external letters or internal reports) or participating in any discussion or vote on the case. But unless excluded, CRPT members with secondary conflicts are free to discuss and vote on cases with which they have a conflict. Furthermore, recusal due to a conflict of interest with one candidate does not prevent a faculty member from participating in deliberations and decisions regarding other candidates.

III. Procedures for Appointment, Reappointment, Promotions of Teaching Faculty, Research Faculty and Professors of the Practice

Teaching faculty, research faculty, and professors of the practice will hereafter be referred to as “non-tenure track” (non-TT) faculty.

New non-TT faculty candidates will be identified by *ad-hoc* search committees appointed by the Chair. Members of the search committees may be regular faculty at any rank. After consultation with the Chair and ECAP, the search committees will present candidates for non-TT position to the CA, as defined in Section I(a). The CA will select the new non-TT faculty by a majority of the voting members.

As outlined in the Academic Article IV/Section 5/Subsection b, appointment of a non-TT research faculty supported through external funds is initiated by nomination of the

candidate by a sponsoring member of the T&TT faculty that has obtained sufficient external funding to support a research professor. Such nominations should be made in writing to the Chair and ECAP and include the candidate's CV and other relevant information.

When contractually mandated, reappointment of non-TT faculty will be considered by the CRPT and approved by a majority vote. Reappointment of research faculty supported externally is contingent on continued funding and approval of the sponsoring faculty member.

Promotion of non-TT faculty is initiated by nomination of the candidate by the Chair and ECAP or by the candidate after submitting this request in writing to the Chair by June 1.

For promotion of a non-TT faculty member whose duties are primarily research, the Chair and ECAP will select a T&TT faculty member to write a report outlining the candidate's research record. The ECAP, in consultation with a candidate's research group, will develop a list of external evaluators with knowledge of the candidate's field and solicit a minimum of three external letters. At least one research evaluation from within the university will be obtained.

For promotion of a non-TT faculty member whose duties are primarily teaching, the Chair and ECAP will select a T&TT faculty member to write a report outlining the candidate's teaching record. No external evaluations are required in this case.

For non-TT faculty with significant duties in addition to their primary designation, faculty members with expertise in these areas may be asked by the Chair to write supplementary reports. These additional duties may include (but are not restricted to) research, outreach and service to the Department, College or University.

The CRPT for reappointment and promotion of non-TT faculty will consist of all T&TT faculty members.

When sufficient documentation to consider a promotion case is available, all faculty members who are eligible to vote on the case (that is, non-conflicted members of the CRPT) are permitted to view the portfolio of the candidate. A meeting of the CRPT will be called by the Chair and the case discussed with minutes of the meeting recorded. Voting is carried out by written ballot (or directly to the Chair if teleconferencing). Physical or virtual attendance at the CRPT meeting is required for voting. The numerical result of the vote is announced to the CRPT after the written ballots are tallied.

V. Conflicts in Cases of Appointment of T&TT Faculty and Appointment, Reappointment, or Promotion of non-TT Faculty

No faculty member with a conflict defined as a romantic, marital, sexual or close familial relationship, whether past or present, or a current financial or business relationship, shall participate in the discussion or vote regarding the appointment or promotion of a candidate with which they have the conflict. If a faculty member has such a conflict with an applicant for a faculty position in the Physics Department, they must recuse themselves from serving on the search committee for that position.

Secondary conflicts as defined in Section II(f) above are not relevant to the cases of appointment of T&TT faculty or appointment, reappointment, or promotion of non-TT faculty.

VI. Procedures for Revisions to the Physics Department Organization Plan

Revisions to this Organization Plan may be proposed to the Chair and ECAP. Proposed revisions approved by a majority vote of the ECAP will be communicated to the T&TT faculty. No less than 5 calendar days after the T&TT faculty are notified of the proposed revisions, faculty meeting may be held to discuss and vote on the changes. The meeting will be open to all regular faculty, but only the T&TT faculty may vote on the proposed revisions.

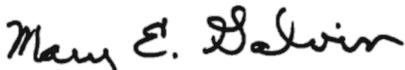
Physical or virtual attendance at the faculty meeting to discuss the revisions is recommended but not required for voting. After the meeting, the Chair will designate a time limit for voting and all T&TT votes received before that time limit will be counted.

An affirmative vote for revision will consist of a majority of T&TT votes cast as long as the total number of votes cast is more than half of the number of all T&TT faculty.



Peter Garnavich
Chair, Department of Physics

August 12, 2020
Date



Mary E. Galvin
Dean, College of Science

August 20, 2020
Date

**Appendix -- Organization Plan for the Department of Physics
(Faculty Approved, August 2020)**

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I. Expectations for Reappointment, Promotion, and Tenure for Tenured and Tenure-Track Faculty

I(a). Assistant Professor Reappointment

“The Assistant Professor should have demonstrated promise as a teacher and as a scholar, interest in students, willingness to serve the academic unit, the University, and his or her discipline, and

that genuine spirit of study necessary to keep courses current and to assure growth in knowledge and maturity.” (Academic Articles, Article IV, Section 3(a))

Research: The research program should substantially be in place and productive work initiated. For experimentally intensive faculty members, the laboratory should be substantially in place and active. Publishable original research conducted at Notre Dame should be completed or in progress at this stage. If there are extenuating circumstances for slow progress such as delays in the construction or delivery of equipment, this should be considered at this time and a recommendation made to extend the tenure clock. In the absence of appropriate publications, there should be strong evidence of attendance and participation at scientific meetings appropriate to the field and strong evidence that publications are imminent. Significant effort should be demonstrated to secure external funding for the faculty member’s research program. Such effort can be demonstrated by application for research project support through grants and contracts. If grant applications have not been successful, then help should be obtained from the faculty mentoring committee to critique grants and recommend funding sources.

Teaching: Evidence should be present from course syllabus and materials, Course Instructor Feedback, and classroom visitation to evaluate if teaching is well-prepared and well-presented and that the examinations are appropriate. If indicators for overall teaching perception and student time are below departmental norms, then a plan should be in place to rectify this situation. This plan may include the use of the faculty mentoring committee or a referral to the Kaneb Center with a specific action plan. At least two courses or sections of a course will be selected for in-depth examination in accordance with the principles of the Guidelines for Evaluating Teaching. At this stage in the candidate’s career, it may be more appropriate to assess one course taught in different semesters. Progress should be demonstrated in training graduate students in research that moves the research program forward. Evidence such as attracting graduate students to the laboratory and their normal progression through the program will be considered appropriate.

Service: A significant amount of service is not generally expected at this stage but there is an expectation to participate in some service activities. The candidate should show a willingness to participate in departmental duties and capably carry out committee assignments. Evidence of contributions to the smooth working of the department is expected. Contributing to the department in a positive way is expected. Service to the profession will also be considered. A strong commitment to cooperation, collegiality, and professionalism is expected in all service activities.

Annual Review: Performance of assistant professors is annually reviewed by the chair of the department and the dean for salary adjustments. In addition, tenure-track members of the faculty will be mentored and the mentoring committee will review progress annually. The chair will provide a written statement of annual progress to the faculty member.

I(b). Promotion to Associate Professor with Tenure

“The Associate Professor should have demonstrated excellence in teaching, growth in knowledge and maturity, salutary influence on students, service to the academic unit, the University, and/or his

or her discipline, and standing among colleagues. Notable achievement in scholarship, as shown by significant publication or its equivalent or, where appropriate, by meaningful contributions to public service, is ordinarily required for this rank.” (Academic Articles, Article IV, Section 3(a))

Research: The research program should be in place and substantial original scholarship completed. The reputation should be national, preferably international, or strong evidence that the trajectory of the research program will be internationally recognized. It is generally expected that a number of scholarly papers will have been published in top-tier journals relevant to the discipline as reflected by the impact factor and/or rank of the journal. Review articles, edited journals and books are important in certain circumstances, but original research published in highly regarded peer-reviewed journals is the expectation. There should generally be evidence of invited attendance and participation at scientific meetings appropriate to the field; invited seminars at peer and/or aspirational institutions; and under some circumstances, highly regarded government research laboratories or research-intensive corporations. Submission of peer-reviewed grant proposals is expected and, in general, successful acquisition of external funding appropriate to the discipline is expected. Contributions to proposals, as co-principal investigator or contributor, will also be considered. Strong evidence for a continuing productive and sustainable research program is essential. Candidates should compare favorably to faculty members at peer or aspirational institutions at the same stage and rank in their career and in the same sub-discipline of physics.

Teaching: Generally, teaching should meet or exceed department norms. If an intervention has been made to improve teaching quality, then this should have a demonstrably positive outcome. There should be evidence from course syllabi, student feedback, and classroom visitation that teaching is well-prepared and well-presented and that the examinations are appropriate. A summative review of a candidate’s teaching record includes an in-depth evaluation of select courses/sections that the candidate has taught in recent years, in accordance with the principles of the provost’s guidelines. Progress should be made in training graduate students when appropriate to advance the candidate’s research program. Evidence such as the number of graduate students recruited to the research effort and their normal progression through the program will be considered appropriate. Innovations in teaching, such as implementation of novel teaching pedagogies in the classroom, development of contemporary courses, and new laboratory training protocols, will also be considered.

Service: Conscientious service on committees at the departmental level is expected at this stage, as is evidence of contributions to the smooth operation of the department. A strong commitment to cooperation, collegiality, and professionalism is expected in all service activities at all levels of the University.

Early Promotion: Non-obligatory reviews for promotions are considered individually on the strength of the specific case. Such early promotion cases should be considered on the same criteria and expectation level as promotions done at the typical time.

Annual Review: Performance of associate professors is annually reviewed by the chair of the department and the dean for salary adjustments.

I(c). Promotion to Full Professor

“The Professor should possess the qualifications required for appointment as Associate Professor, should have maintained excellence in teaching; should have given significant service to the academic unit, the University, and/or his or her discipline; and should have gained widespread recognition as a scholar.” (Academic Articles, Article IV, Section 3(a))

Research: The research program should have developed to a point where a major impact has been made and leadership within the discipline recognized. The reputation should be international, and there must be evidence for sustained development beyond the work completed at the time of tenure. Research leadership within the department is expected. It is generally expected that a substantial record of publication in top-tier journals relevant to the discipline will be present. There should generally be evidence of invited attendance and participation at scientific meetings appropriate to the field, invited seminars at peer and/or aspirational institutions, and, in some cases, highly regarded government research laboratories or research-intensive corporations. A funding level from external peer-reviewed grants appropriate to the sustained research effort must be present. Evidence for a sustained productive program is essential. Other examples of research leadership include participation or leadership on block grants/submissions, development of new research initiatives with other faculty members, assisting junior and other faculty members, broadening research interests by reaching across departmental and/or college lines, and other important roles in scholarship.

Teaching: Teaching should meet or exceed department norms. Evidence of sustained teaching excellence should be present from the course syllabi, student feedback, and classroom visitation. In general, a major commitment to teaching can be demonstrated through participation in a large service course, leadership in curricular reform, implementation of innovative teaching methodology or dedication to high-quality instruction of the physics majors and/or graduate students. Progress should be made in training graduate students in research, and there should be strong evidence that Ph.D. graduates are competitive for postdoctoral or other suitable employment opportunities after graduation. Evidence such as the number of graduate students recruited to the research effort and their normal progression through the program will be considered appropriate. Innovations in teaching, such as implementation of novel teaching pedagogies in the classroom, development of contemporary courses, and new laboratory training teaching protocols, will also be considered.

Service: Service on committees at the departmental, college, and University level is expected at this stage. National service within the profession is also expected. There must be evidence of departmental leadership. Examples include chairing of key committees or leading key departmental initiatives. Evidence of contributions to the smooth working of the department is expected. A strong commitment to cooperation, collegiality, and professionalism is expected in all service activities.

Annual Review: Performance of full professors is annually reviewed by the chair of the department and the dean for salary adjustments.

Ongoing Expectations of Full Professors

It is expected that full professors will maintain and develop the strengths shown at the time of promotion and aspire to positions of leadership in research, teaching, and service within the department, the University and the scientific community as a whole. When this leadership is truly exceptional, the University may choose to recognize this accomplishment by nomination for an endowed chair. All full professors are strongly encouraged to aspire to this recognition.

Research: Full professors are expected to sustain their leadership within their discipline. The reputation of a full professor should be international. Ongoing research leadership within the department is expected. Ongoing record of publication in top-tier journals relevant to the discipline or across disciplines is expected. Ongoing attendance and participation at scientific meetings appropriate to the field, and invited seminars at peer and/or aspirational institutions, highly regarded government research laboratories, or research-intensive corporations, is expected. A funding level from external peer-reviewed grants appropriate to the sustained research effort should be present. Continuous research leadership is expected within the department and/or college; examples of research leadership may include participation or leadership on block grants/submissions, development of new research initiatives with other faculty members, assisting junior and other faculty members, broadening research interests by reaching across departmental and/or college lines, etc. Full professors are expected to contribute substantially to the mentoring process of less senior faculty. Outreach to less senior faculty is expected.

Teaching: Teaching should be comparable to or exceed department norms. Sustained teaching excellence should be demonstrated from the course syllabi, student feedback, and classroom visitation. In general, a major commitment to teaching is expected through leadership in a large service course or curricular reform or implementation of innovative teaching methodology. Training graduate students in research is expected. Innovations in teaching, such as implementation of novel teaching pedagogies in the classroom, development of contemporary courses, and new laboratory training teaching protocols are expected.

Service: Ongoing service on committees at the departmental, college, and University level is expected. Ongoing national service within the profession is expected. There must be ongoing departmental leadership in the form of chairing key committees or in leading key departmental initiatives. An ongoing contribution to the smooth working of the department is expected. A strong commitment to cooperation, collegiality, and professionalism is expected in all service activities related to the department, the college, and the University.

If a full professor is not satisfying the expectations of the department in one of the areas—research, teaching, and service—the department chair is expected to initiate a process for improvement. If the full professor fails to meet expectations over time or fails to remedy her/his situation in a reasonable amount of time, the department chair has the responsibility to assist the faculty member in identifying alternative assignments in other areas that are not, or are less, problematic.

I(d). Endowed Chaired Professorships

Endowed or named professorships are reserved for extraordinary faculty members, typically but not exclusively restricted to the full professor level where faculty members substantially exceed expectations in scholarship set forth in this document. The faculty member must be one with international scholarly eminence, an extraordinary publication record, exceptional funding achievements appropriate for their discipline, and invitations to the top universities in the country and the world as a seminar speaker. There must be overwhelming evidence that the candidate will sustain excellence throughout her/his career. This is the highest honor bestowed upon a faculty member at Notre Dame for scholarly contributions.

I(e) Reappointment, Promotion and Tenure Procedures for T/TT Faculty at all Ranks

Reappointment, Promotion and Tenure procedures shall follow the guidelines dictated by the University's Reappointment, Promotion and Tenure Guide (RPT) for Tenured and Tenure-Track Faculty, as updated annually by the Provost Office. The Chair will provide a copy of the RPT to faculty eligible for promotion in the following academic year, along with the timeline for the promotion process.

The ECAP shall have responsibility for choosing both the internal and external reviewers, working in consultation with departmental or external experts in the candidate's area(s) of research, following the guidelines set forth in the RPT. The ECAP will seek input from Notre Dame faculty in other departments and colleges on the candidate's research if the research is substantially interdisciplinary. With interdisciplinary research and large collaborative activities, it may be necessary to solicit letters from collaborators (*e.g.*, co-authors, co-PIs) to comment specifically on the candidate's contribution to the joint work; these letters shall be submitted as supplementary letters in the candidate's promotion packet. It is important that all evaluators are objective, can offer an informed opinion, and conform to the recommendations as articulated in the RPT document.

The procedures by which the ECAP and CRPT of the Physics Department conduct the review of each candidate, including procedures for handling potential conflicts of interest, are outlined in the main section of this document.

I(f). Mentoring of Faculty

A mentoring committee is formed for all tenure-track faculty within their first year at Notre Dame. The mentoring committee is composed of tenured faculty and is selected after consultation between the non-tenured faculty member and the chair of the department. The chair serves as an *ex officio* member of the mentoring committee. The committee meets at least once during each academic year to review progress, but could meet more often if deemed necessary by the committee or requested by the non-tenured faculty member or the chair of the department.

After tenure, the mentoring process is not formal but information in the form of an updated curriculum vitae and a summary of recent progress and plans is gathered annually for review by the chair and dean.

II. Statement on Expectations for Reappointment and Promotion for Research Faculty

Appointments of research faculty may serve several purposes: research faculty may have a predominantly service orientation to multiple constituencies within the University or research faculty may have a specific role within a particular research group or center. Research faculty may also have some teaching duties in the department. It is therefore important that these various roles be defined and included as criteria for renewal or promotion.

As with T/TT faculty, research faculty members are reviewed annually each spring for salary adjustment. As stated in Academic Articles, Article IV, Section 3, research faculty at the assistant level are to be considered for reappointment annually by the CRPT. At the associate level, renewals are at 3-year intervals and at the professor level they occur at 5-year intervals. A recommendation for non-renewal of the position may be made in the case of an otherwise meritorious candidate for reasons of insufficient funds to support the position.

The process of appointment, reappointment, and promotion of research faculty is described in Section III of the department organizational plan.

II(a). Assistant Research Professor Reappointment

“The assistant research professor should have demonstrated research ability, promise as a scholar, interest in students, willingness to serve the academic unit, the University, and/or their discipline, and that genuine spirit of study necessary to assure growth in knowledge and maturity.” (Academic Articles, Article IV, Section 3(b))

The assistant research professor should show sound evidence of research productivity in the form of contributions to scientific publications and grant proposals. Productivity within the research group or center should be evident by the supporting statements of the sponsoring faculty or center faculty. Where graduate students are co-supervised, progress should be made in training graduate students in research. Evidence such as the normal progression of graduate students through the program will be considered appropriate. The assistant research professor should show a willingness to participate in departmental duties and dutifully carry out committee assignments if appropriate. Evidence of contributions to the smooth working of the department is expected. Contributions to the classroom teaching of the department should be considered when appropriate.

II(b). Promotion to Associate Research Professor and Reappointment

“The associate research professor should have demonstrated outstanding research ability, growth in knowledge and maturity, salutary influence on colleagues and students, and standing among colleagues.” (Academic Articles, Article IV, Section 3(b))

The associate research professor should have demonstrated substantial independent contributions in research. Examples of such activity may include leadership in scientific publications and/or critical scholarly contributions towards successfully awarded grant proposals. There should generally be evidence of invited attendance and participation at scientific meetings appropriate to the field and

invited seminars at peer and/or aspirational institutions. Significant visibility in the professional community is expected, and may include service on journal editorial boards, participation in funding panels, and invitations to contribute towards review articles or books. Leadership should be apparent by taking the initiative to develop the service through the submission of external grant proposals for the continual upgrade of the facilities. Leadership within the research group or center should be evident by the supporting statements of the sponsoring faculty or center faculty. Where graduate students are co-supervised, progress should be made in training graduate students in research. Evidence such as the normal progression of graduate students through the program will be considered appropriate. The research associate professor should show diligent service on committees at the departmental level if appropriate. Evidence of contributions to the smooth working of the department and positive contributions to moving the department's research agenda forward is expected. Contributions to the classroom teaching of the department should be considered when appropriate.

II(c). Promotion to Research Professor and Reappointment

“The Research Professor should have given significant service to the academic unit, University and/or their discipline, and gained widespread recognition for contributions to a field of knowledge.” (Academic Articles, Article IV, Section 3(b))

The research professor should have made a major impact within their field of study, and developed a national or international reputation for scholarship. Examples of such activity may include running an independently funded research program, developing an independent reputation based on scientific publications, and invited attendance at scientific meetings and invited seminars at top quartile departments. Leadership in the professional community is expected, and may include significant contributions towards journal editing, conference organization, and leading review or writing of books. Leadership should be apparent by taking the initiative to develop the service through the submission of external grant proposals for the continual upgrade of the facilities. Leadership within the research group or center should be evident by the supporting statements of the sponsoring faculty or center faculty. Where graduate students are co-supervised, progress should be made in training graduate students in research. Evidence such as the normal progression of graduate students through the program will be considered appropriate. The research professor should show diligent service on committees at the departmental level if appropriate. National service is expected. Evidence of contributions to the smooth working of the department and positive contributions to moving the department's research agenda forward is expected

III. Statement on Expectations for Reappointment and Promotion for Professors of the Practice

Appointments of Professors of the Practice may serve several purposes: faculty of the practice may have a predominantly service orientation to multiple constituencies within the University or they may have a specific role within a particular research group or center. Faculty of the practice may also have some teaching duties in the department. It is therefore important that these various roles be defined and included as criteria for renewal or promotion.

As with T/TT faculty, professors of the practice are reviewed annually each spring for salary adjustment. As stated in Academic Articles, Article IV, Section 3, faculty of the practice at the assistant level are to be considered for reappointment annually by the CRPT. At the associate level, renewals are at 3-year intervals and at the professor level they occur at 5-year intervals. A recommendation for non-renewal of the position may be made in the case of an otherwise meritorious candidate for reasons of insufficient funds to support the position.

The process of appointment, reappointment, and promotion of faculty of the practice is described in Section III of the department organizational plan.

III(a). Assistant Professor of the Practice Reappointment

“The Assistant Professor of the Practice should have promise as a teacher and/or researcher, interest in students, willingness to serve the academic unit, the University, and/or their discipline, and that genuine spirit of study necessary to assure growth in knowledge and maturity.” (Academic Articles, Article IV, Section 3(d))

Assistant professor of the practice with primary duties in research, should show sound evidence of research productivity in the form of contributions to scientific publications and grant proposals. Productivity within the research group or center should be evident by the supporting statements of the sponsoring faculty or center faculty. Where graduate students are co-supervised, progress should be made in training graduate students in research. Evidence such as the normal progression of graduate students through the program will be considered appropriate. The research assistant professor should show a willingness to participate in departmental duties and dutifully carry out committee assignments if appropriate. Evidence of contributions to the smooth working of the department is expected. Contributions to the classroom teaching of the department should be considered when appropriate.

For faculty of the practice with primarily teaching duties, the efficient operation and ongoing improvements of their assignments are important. There should be evidence that issues with teaching are addressed promptly. When appropriate, the training and organization of teaching assistants should be effective. Communications with the teaching assistants concerning expectations for performance should be clear and implemented. Good communications with tenured and tenure-track faculty is expected. They should show a willingness to participate in departmental duties and dutifully carry out committee assignments related to teaching as appropriate. Evidence of contributions to the smooth working of the department and positive contributions to moving the department’s research and teaching agenda forward is expected.

III(b). Promotion to Associate Professor of the Practice and Reappointment

“The research associate professor should have demonstrated outstanding teaching and/or research ability, growth in knowledge and maturity, salutary influence on colleagues and students, service to the academic unit, the University, and/or their discipline, and standing among colleagues.”
(Academic Articles, Article IV, Section 3(d))

An associate professor of the practice with primary duties in research should have demonstrated substantial independent contributions in research. Examples of such activity may include leadership in scientific publications and/or critical scholarly contributions towards successfully awarded grant proposals. There should generally be evidence of invited attendance and participation at scientific meetings appropriate to the field and invited seminars at peer and/or aspirational institutions. Significant visibility in the professional community is expected, and may include service on journal editorial boards, participation in funding panels, and invitations to contribute towards review articles or books. Leadership should be apparent by taking the initiative to develop the service through the submission of external grant proposals for the continual upgrade of the facilities. Leadership within the research group or center should be evident by the supporting statements of the sponsoring faculty or center faculty. Where graduate students are co-supervised, progress should be made in training graduate students in research. Evidence such as the normal progression of graduate students through the program will be considered appropriate. The research associate professor should show diligent service on committees at the departmental level if appropriate. Evidence of contributions to the smooth working of the department and positive contributions to moving the department’s research agenda forward is expected. Contributions to the classroom teaching of the department should be considered when appropriate.

For faculty of the practice with a primary teaching role, the efficient operation and ongoing improvements of their assignments are important. Leadership in the form of the regular implementation of new course material, new methods for evaluation of students, and/or participation in the submission of grant proposals to address teaching needs or outreach are expected. There should be evidence that issues with teaching are addressed promptly. The training and organization of teaching assistants should be effective. Communications with the teaching assistants concerning expectations for performance should be clear and implemented. Good communications with tenured and tenure-track faculty is expected. They should show a willingness to participate in departmental duties and dutifully carry out committee assignments as appropriate. Evidence of contributions to the smooth working of the department is expected.

III(c). Promotion to Professor of the Practice and Reappointment

“The Professor of the Practice possess the qualifications required for appointment as an Associate Professor of the Practice; should ordinarily given significant service to the academic unit, the University, and/or their discipline, should ordinarily have made significant academic contributions beyond the faculty members own courses or achieved widespread recognition in their field.”
(Academic Articles, Article IV, Section 3(d))

A professor of the practice with primary duties in research should have made a major impact within their field of study, and developed a national or international reputation for scholarship. Examples of such activity may include running an independently funded research program, developing an independent reputation based on scientific publications, and invited attendance at scientific meetings and invited seminars at top quartile departments. Leadership in the professional community is expected, and may include significant contributions towards journal editing, conference organization, and leading review or writing of books. Leadership should be apparent by taking the initiative to develop the service through the submission of external grant proposals for the continual upgrade of the facilities. Leadership within the research group or center should be evident by the supporting statements of the sponsoring faculty or center faculty. Where graduate students are co-supervised, progress should be made in training graduate students in research. Evidence such as the normal progression of graduate students through the program will be considered appropriate. The research professor should show diligent service on committees at the departmental level if appropriate. National service is expected. Evidence of contributions to the smooth working of the department and positive contributions to moving the department's research agenda forward is expected

For faculty with a primary teaching role, the efficient operation and ongoing improvements of their assignments are important. Leadership in the form of the regular implementation of new course material, new methods for evaluation of students, and/or participation in the submission of grant proposals to address teaching needs or outreach are expected. There should be evidence that issues with teaching are addressed promptly. The training and organization of teaching assistants should be effective. Communications with the teaching assistants concerning expectations for performance should be clear and implemented. Good communications with tenured and tenure-track faculty is expected. There should be recognition outside the department and preferably, outside the University, of professional contributions and leadership such as publications, presentations, and committee work in the educational community. The professional specialist should show a willingness to participate in departmental duties and dutifully carry out committee assignments if appropriate. Evidence of contributions to the smooth working of the department is expected.

IV. Statement on Expectations for Reappointment and Promotion for Teaching Faculty

Teaching faculty have primarily an instructional role. If agreed in advance, some fraction of time may be spent on education research or physics research and this should be considered in reappointments and promotions.

As with T/TT faculty, teaching professors are reviewed annually each spring for salary adjustment. As stated in Academic Articles, Article IV, Section 3, teaching faculty at the assistant level are to be considered for reappointment annually by the CRPT. At the associate level, renewals are at 3-year intervals and at the professor level they occur at 5-year intervals. A recommendation for non-renewal of the position may be made in the case of an otherwise meritorious candidate for reasons of insufficient funds to support the position.

The process of appointment, reappointment, and promotion of teaching faculty is described in Section III of the department organizational plan.

IV(a). Assistant Teaching Professor Reappointment

“The Teaching Assistant Professor should have promise as a teacher, interest in students, willingness to serve the academic unit, the University, and/or their discipline, and that genuine spirit of study necessary to assure growth in knowledge and maturity.” (Academic Articles, Article IV, Section 3(c))

For assistant teaching professors, the efficient operation and ongoing improvements of their assignments are important. There should be evidence that issues with teaching are addressed promptly. When appropriate, the training and organization of teaching assistants should be effective. Communications with the teaching assistants concerning expectations for performance should be clear and implemented. Good communications with tenured and tenure-track faculty is expected. They should show a willingness to participate in departmental duties and dutifully carry out committee assignments related to teaching as appropriate. Evidence of contributions to the smooth working of the department and positive contributions to moving the department’s teaching agenda forward is expected.

IV(b). Promotion to Associate Teaching Professor and Reappointment

“The Teaching Associate Professor should ordinarily have demonstrated outstanding teaching ability, growth in knowledge and maturity, salutary influence on colleagues and students, service to the academic unit, the University, and/or their discipline, and standing among colleagues.” (Academic Articles, Article IV, Section 3(c))

For associate teaching professors, the efficient operation and ongoing improvements of their assignments are important. Leadership in the form of the regular implementation of new course material, new methods for evaluation of students, and/or participation in the submission of grant proposals to address teaching needs or outreach are expected. There should be evidence that issues with teaching are addressed promptly. The training and organization of teaching assistants should be effective. Communications with the teaching assistants concerning expectations for performance should be clear and implemented. Good communications with tenured and tenure-track faculty is expected. They should show a willingness to participate in departmental duties and dutifully carry out committee assignments as appropriate. Evidence of contributions to the smooth working of the department is expected.

IV(c). Promotion to Teaching Professor and Reappointment

“The Teaching Professor should ordinarily possess the qualifications required for appointment as Associate Teaching Professor; should have given significant service to the academic unit, the University and/or his or her discipline and should ordinarily have made significant academic

contributions beyond the faculty member's own courses (more generally within that faculty member's academic unit, at the University level, or through national organizations)." (Academic Articles, Article IV, Section 3(c))

For teaching faculty, the efficient operation and ongoing improvements of their assignments are important. Leadership in the form of the regular implementation of new course material, new methods for evaluation of students, and/or participation in the submission of grant proposals to address teaching needs or outreach are expected. There should be evidence that issues with teaching are addressed promptly. The training and organization of teaching assistants should be effective. Communications with the teaching assistants concerning expectations for performance should be clear and implemented. Good communications with tenured and tenure-track faculty is expected. There should be recognition outside the department and preferably, outside the University, of professional contributions and leadership such as publications, presentations, and committee work in the educational community. The professional specialist should show a willingness to participate in departmental duties and dutifully carry out committee assignments if appropriate. Evidence of contributions to the smooth working of the department is expected.

V. Policies for Faculty Seeking Concurrent and Adjunct Faculty Status

A formal structure for considering requests for concurrent or adjunct faculty status in departments is presented below. The department and college recognizes that interdisciplinary research and teaching within the University will continue to expand; relationships with other departments and colleges, research institutions, professional schools, and private industry will grow; and therefore requests for concurrent faculty status and adjunct faculty status, including access to graduate students, will accompany this growth. This document presents a framework to consider such requests with the intent to provide clear guidelines to both formalize such relationships and to encourage scholarly exchange to the benefit of all parties.

V(a). Applying for Concurrent or Adjunct Faculty Status

Individuals seeking concurrent or adjunct faculty status should apply for consideration to the chair, who will present the application to the ECAP for review. The application should contain a curriculum vitae and, depending on the purpose of the appointment, should also contain a statement of research or professional interests including intersection with departmental strengths, and a statement of teaching interests that describes how the candidate would contribute to the teaching mission of the department. The applicant may also be asked to present a research seminar, whose intent is to describe research relevant to the department, demonstrate teaching potential in the department, and suggest opportunities for future collaboration with department faculty. For adjunct faculty, the chair and ECAP will consider requests for advisement of graduate students at the time of the application and make an appropriate recommendation to the College of Science and to the Graduate School.

V(b). Retaining Adjunct or Concurrent Faculty Status

As with all department faculty, concurrent faculty submit an Annual Scholarly Report to the chair

describing where appropriate research progress, departmental teaching, extramural funding, student mentorship, and service on departmental committees as appropriate such as graduate thesis committees. Concurrent appointments are reviewed every three years to determine mutual interest and benefit and on such occasions, the Annual Scholarly Report should include a detailed justification for the continued appointment. On occasion, the department chair may proceed with an early review prior to the three-year term if department expectations are not being met. For unsatisfactory performance, the chair will set up an improvement action plan. If the faculty member fails to follow through with the plan, the appointment can be terminated prior to the end date or may not be renewed.

Consistent with University policy, adjunct appointments are made for one year and are renewable. Reappointment will be based on meeting departmental expectations for adjunct faculty during the previous year as well as the anticipated department needs in the coming year. As with all department faculty, adjunct faculty seeking reappointment should submit an Annual Scholarly Report to the chair and ECAP describing research progress, departmental teaching, extramural funding, student mentorship, and service on departmental committees such as graduate thesis committees as appropriate.

V(c). Mechanisms for Graduate Student Recruitment, Advisement, and Support

Concurrent faculty can advise graduate students. It is expected that the concurrent faculty member will participate in graduate student recruitment, host first-year student rotations where appropriate, and serve on graduate student thesis and examination committees. In addition, the concurrent faculty member should provide evidence of the capacity to support graduate students (annual stipend support and research costs, etc.) beyond any required teaching support provided by the department.

Adjunct faculty seeking to advise graduate students should meet all departmental expectations for department faculty. These include participation in graduate student recruitment, hosting of first-year student rotations where appropriate, service on graduate student thesis and examination committees, and financial contributions by the adjunct faculty member's home department or institution to the recruitment effort. In addition, the adjunct faculty member should provide evidence of the capacity to support graduate students (annual stipend support and research costs, etc.) beyond any required teaching support provided by the department.

V(d). Expectations for Graduate Student Progress to Degree

Graduate students advised by concurrent or adjunct faculty must meet normal University and departmental expectations for progress to degree. Adherence to the Departmental Guide for Graduate Students in all aspects of graduate education is required. Particular attention must be paid to attendance at departmental seminars and involvement in graduate student life within the department.