

Chapter 5

Faculty Review

All full-time faculty members undergo reviews corresponding to different stages of the faculty member's career. The purpose of the various reviews is to provide a basis for professional improvement and development, and to provide grounds for decisions on retention, promotion and tenure. USC Upstate maintains the following types of faculty review:

- annual review for full-time faculty members
- third-year review for tenure-track faculty
- tenure and promotion for tenure-track and tenured faculty
- post-tenure review for tenured faculty
- promotion for instructors

PRINCIPLES

Unit Criteria

All reviews assess faculty in the traditional three areas of responsibility: teaching or librarian effectiveness; scholarship and creativity; and service to the profession, to the University, and to the community. Teaching effectiveness receives the major emphasis in all academic units; librarian effectiveness receives the major emphasis for the library.

For all reviews, faculty are evaluated based on the criteria established by the faculty member's unit. These criteria are the ones developed for promotion and tenure and are in line with recommendations from the Promotion and Tenure Committee. Within each academic unit, the tenured and tenure-track faculty members formulate and approve specific unit criteria for promotion and tenure. These criteria are then approved by the Promotion and Tenure Committee and Provost.

Definitions of Evaluative Terms

For all academic units, the evaluative terms for all reviews are the ones used for promotion and tenure.

Excellent. Faculty members considered excellent are those that significantly exceed the normal requirements of their position. Their level of performance indicates extra thought, time, effort and imagination. They make important contributions to the University and its mission. Individual unit criteria provide examples of specific performance indicators.

Highly Effective. The category of highly effective is reserved for faculty members whose performance exceeds the normal requirements of their position. The quality of their performance makes significant contributions to the University and its mission. Individual unit criteria provide

examples of specific performance indicators.

Effective. The category of effective is reserved for faculty members whose performance meets the requirements of their position. Their accomplishments support the mission of the University. Individual unit criteria provide examples of specific performance indicators.

Less than Effective. Less than effective is applied to those faculty members whose performance falls slightly short of the requirements of their position. Continued performance at this level would risk impeding the mission of the University. Individual unit criteria provide examples of specific performance indicators.

Ineffective. Ineffective is applied to those faculty members whose performance falls far short of the requirements of their position. Continued performance at this level would certainly impede the mission of the University. Individual unit criteria provide examples of specific performance indicators.

File Preparation

Candidates bear ultimate responsibility for preparation of the file on which the evaluation is based. Faculty submitting files for review should follow the file preparation guidelines for each type of review. More detailed guidelines for putting the file together are included in the Appendices (Appendix V and VI). The Promotion and Tenure Committee is responsible for maintaining and periodically recommending changes to these guidelines.

Statement of Ethical Responsibility

Candidates may consult colleagues not involved in the review process for advice. All Peer Review and Promotion and Tenure Committee members adhere to the following ethical guidelines:

- 1. The proceedings of the Committees are confidential with respect to all materials, all discussions, and all votes.*
- 2. There shall be no discussion of files among individual Committee members except during formal Committee meetings.*
- 3. The Committees shall discuss only material contained in the files of the candidates under consideration.*
- 4. Committee members shall not enter into communication with other faculty, including candidates, concerning candidates for review.*
- 5. No information about candidates, candidate files, Committee deliberations, or Committee actions will be conveyed using email or the Internet.*
- 6. Committee members shall abstain from participation in cases in which their personal prejudices or personal self-interest may unduly affect their judgment. No Committee member may participate in the deliberations or vote on the candidacy of a spouse or*

other relative.

7. The members of the Peer Review and Promotion and Tenure Committees must meet formally to deliberate candidate files, to ballot, and to write summary recommendations. Committee members' votes shall reflect their best judgment of a candidate's qualifications in meeting the stated criteria as presented in candidates' files.

Complaints about possible violations of this code, or any of the review-related procedures, should be made to the Chair of the Faculty Welfare Committee or to the Vice Provost. The Vice Provost will determine whether any appropriate action is to be taken.

Complaints about possible violations of this code can also be made by candidates in their written response to a review that is inserted into the file. Candidates can respond to violations in this way at any stage of the review and during any type of review.

PROCEDURES

USC Upstate maintains two types of procedure for conducting reviews: administrator-based and peer-based. All reviews are done, regardless of procedure, using the Faculty Review Form and proceed according to the master review calendar (see Appendix VII and VIII)

Administrative review procedure

The administrator-based procedure is used for the annual review. In this case, the review is conducted by the faculty member's unit administrator. The procedure and responsibilities of candidates and administrators are described below in the annual review section.

Peer review procedure

The peer-based procedure is used for the third-year review; the tenure and promotion review for tenure-track and tenured faculty; and the post-tenure review for tenured faculty.

Peer Review Committee. Peer-based review is conducted by a committee of faculty peers, or Peer-Review Committee (PRC). Each academic unit has a PRC. The committee is composed of at least five faculty members elected in the spring semester by the unit's tenure-track and tenured faculty members. Only those faculty members who will have achieved tenure by the faculty return date in fall semester are eligible to serve on the committee. PRC members elect the Chair.

Not eligible to serve on a peer review committee are the following: faculty members in their first three years of employment at USC Upstate; faculty undergoing peer review for promotion and/or tenure; faculty undergoing post-tenure review; faculty serving on the Promotion and Tenure Committee; and faculty who conduct annual reviews. Members of the PRC may not have faculty supervisory responsibilities.

If there are insufficient tenured faculty members within a unit to form a PRC of five faculty members, then eligible faculty members from outside the unit may be nominated and elected by the tenure-track faculty within the unit.

Peer Review Process. The general procedures and responsibilities for reviews conducted by a PRC are described here. Additional guidelines are indicated in the different types of reviews described in the subsequent sections.

The peer review process is initiated by the PRC Chair. The Chair informs all faculty members seeking peer review of committee deadlines at least 30 days prior to the deadline for submitting peer review files (see Master Schedule in Appendix VII). The PRC Chair provides candidates with the calendar, the unit criteria, and guidelines for preparing the file. The PRC Chair also distributes to the committee members the names of faculty to be reviewed, the calendar of deadlines for peer review, the procedures pertaining to peer review, and any appropriate forms (see procedures/guidelines in Appendix V and VI). The PRC Chair is also responsible for collecting letters of evaluation and submitting them into the candidate's file.

Faculty members undergoing peer review prepare a file according to the established procedures and guidelines (see guidelines in Appendix V and VI). Candidates submit their file to the PRC by turning it in to the office of the administrative assistant of the academic unit of the PRC Chair.

Once submitted, every member of the PRC examines each review file. Files must be read in a private area. Each PRC member is responsible for keeping confidential the contents of the candidate files. Committee members are required to complete a Faculty Review Form for each faculty member submitting a file (see Appendix VIII for form). Committee members must provide written comments on each section of the review to support their evaluation. The separate reviews are not signed. Committee members are required to meet in person at least once to discuss the files. Only the Chair of the PRC acting on behalf of the committee may request additional documentation from the faculty members evaluated.

The PRC produces a summary review of each candidate. The Chair is responsible for collecting the reviews done by individual members and compiling them into a written summary of the committee's evaluation on the Faculty Review Form. A tally of the rankings is recorded on the final summary Faculty Review Form. The PRC Chair is responsible for ensuring that the summary review is signed and dated by each member of the peer review committee, thus indicating that each member has seen the summarized comments. If disagreement arises over the summarized comments, then the Chair is responsible for rewriting the summary review until agreement is reached and all signatures are in place.

The PRC Chair is responsible for submitting the signed summary Faculty Review Form into the candidate's file and providing a copy of the signed summary review to the reviewed candidate. The Chair is also responsible for providing instructions about the individual review sheets. Procedures vary depending on the type of review.

Faculty members under review may write a response to the PRC review within five working days after receiving the summary statement. The faculty member's response must be signed by the PRC Chair to acknowledge receipt and distributed by the chair to all members of the PRC. The Chair submits the signed copy into the candidate's file.

The next step in the peer review process varies depending on the type of review being conducted (see various reviews in subsequent section).

ANNUAL REVIEW

Full-time faculty members at USC Upstate are evaluated on an annual basis, according to the academic year and the master review calendar (see Appendix VII). For the initial six years of employment, full-time faculty members must be evaluated annually by their unit administrators. Thereafter, tenured faculty members may opt to undergo annual review once every three years. The purpose of the annual review is to evaluate faculty in the three areas of responsibility: teaching, service, and scholarship or creative activity.

Annual reviews are completed by tenured unit administrators. In most cases, chairs or program directors act as the unit administrator. In the School of Nursing and the Library, unit administrators may be the dean, associate or assistant dean, or program director.

Administrators notify faculty one month prior to the deadline and provide materials and guidelines for preparing the file. For faculty members completing their first year of service, the annual review and required interview must be completed by March 1. For all other faculty, the deadline for submitting the file is May 15; the review and the optional interview must be completed by July 1.

Faculty members are responsible for compiling their review files in accordance with the appropriate procedures and guidelines (see Appendix VI). To avoid unnecessary duplication of faculty files, faculty undergoing peer review (third-year, tenure and/or promotion, post-tenure) may use their peer review files for annual review. Faculty members submit their annual review files in the office of the administrative assistant of the academic unit.

Once submitted, review files are read by the unit administrator. After reviewing the faculty member's file, the unit administrator completes the Faculty Review Form and presents the written review to the faculty member. Either the faculty member or the unit administrator may request an interview. The faculty member and unit administrator sign the review, though the faculty member's signature does not necessarily mean agreement with the review. A copy of the signed annual review is provided to the faculty member. The signed form is submitted into the candidate's annual review file.

Annual reviews are submitted to the dean of the school or college and then to the Provost.

Faculty members may respond to the reviews submitted by the unit administrator. That response is included with the faculty member's annual review file. Appeal of an administrative review must begin within ten days of receiving the review.

THIRD-YEAR REVIEW

All full-time tenure-track faculty members undergo a peer review in their third year. The purpose of the third-year review is to assess faculty in the three areas of responsibility and their

progress toward tenure. The peer review must be completed according to the master review schedule (see calendar in Appendix VII). Faculty members may request a peer review during other years as well.

The PRC Chair notifies candidates on the first day of class of the fall semester about the upcoming review and provides candidates with unit criteria and guidelines for preparing the third-year review file (see Appendix VI).

Candidates prepare the review file in accordance with peer review procedures described above and with file preparation guidelines in the Appendix, and submit the file to the PRC.

PRC members, including the Chair, review the candidate's file in accordance with peer review procedures described above. The PRC Chair provides a copy of the summary review form to the candidate and submits the form to the candidate's file. Once complete, the signed summary statement is submitted by the PRC Chair to the faculty member's Chair, Dean, and the Provost. The Chair also ensures that individual review sheets are destroyed.

Faculty members under review may respond to the reviews submitted by the PRC. Appeal of the review must begin within ten days of receiving the review. That response is included with the faculty member's third-year review file.

TENURE AND PROMOTION

This section applies to faculty members applying for tenure and promotion to Associate Professor, and those applying for promotion to full Professor.

USC Upstate generally adheres to the standards of the American Association of University Professors regarding the rights, privileges and benefits accorded faculty members; where University policies differ from those standards, the regulations stated herein, or as subsequently modified by the University, apply. No change shall be made in the University-wide promotion and tenure regulations except by vote of the tenured and tenure-track faculty of the University or by direction of the Board of Trustees.

Tenure Regulations

Automatic Tenure. Under no circumstances will untenured faculty receive tenure automatically without following the established procedures for tenure decisions. Tenure must result from a positive action of the University, according to its prescribed procedures.

Award of Tenure at Time of Appointment. Tenure at the time of appointment will only be awarded if it is in the best interest of the University. Permission to negotiate with respect to the award of tenure to the rank of associate professor or professor must be secured in advance through appropriate channels from the Chancellor's Office to the President. When permission has been granted to consider awarding tenure at the time of appointment, members of the Promotion and Tenure Committee vote on the award by secret ballot. The tally of the votes and any written comments concerning the appointment are forwarded as part of the committee's recommendation

to the Senior Vice Chancellor for Academic Affairs.

New Appointments. New faculty members are notified of their tenure status in their letters of appointment. They are informed of the tenure regulations applicable on the effective date of their appointments. Any credit for prior teaching, service and scholarship is awarded by the Provost and is clearly stated in the appointment letter. Evidence documenting the quality of that experience must be provided for promotion and tenure decisions.

Maximum Probationary Period. The maximum probationary period for all full-time faculty members appointed at the rank of professor/librarian or associate professor/librarian is continuous service at the rank for six years at USC Upstate. The maximum probationary period for all full-time faculty members with the rank of assistant professor is continuous service in the rank for seven years at USC Upstate. The maximum probationary period at any combination of ranks is the probationary period of the faculty member's first tenure track appointment at USC Upstate.

Rank	Maximum Probationary Period	Decision Date
Professor/librarian	6 years	During fifth year
Associate professor/librarian	6 years	During fifth year
Assistant professor/librarian	7 years	During sixth year

Extension of Probationary Period. For documented reasons of a serious health condition (of a faculty member and/or the faculty member's spouse, child or parent), and for requirements of childbirth, adoption, or placement of a foster child, faculty members holding a probationary term of appointment may request in writing that the maximum probationary period be extended, with no resulting change in employment obligations, in order to provide them additional time to demonstrate fully their professional qualifications for tenure. Documentation may include, for example, a letter from a physician or other health care professional indicating the time period of illness.

An extension of the probationary period may also be requested with paid or unpaid leave for reasons other than health conditions, childbirth, adoption, or placement of a foster child, such as active military duty.

Requests from faculty members to extend their probationary period for tenure are submitted to the faculty member's rating administrator. Requests must be made as soon as possible, but no later than the first day of classes of the decision year. Faculty members are reminded that requests for extension may be denied, in which case promotion and tenure files are

required to meet all announced deadlines.

Requests to extend the probationary period require the recommendation of the rating administrator (if applicable), the dean, and the Provost. Each administrator has five working days in which to make a recommendation. If the five-day limit is not met, the faculty member may send the request to extend the probationary period to the next level with no penalty. The decision of the Provost is final. If an extension is granted within the first four years of tenure-track status, the mandatory peer review may also be delayed. The request can be initiated simultaneously with a request for leave or military service; however, it is not necessary to take leave to be eligible for an extension of the probationary period for reasons of serious health condition, childbirth, adoption, or placement of a foster child.

An extension request for reasons of childbirth, adoption, or placement of a foster child must be completed within twelve months of the birth or placement of the child. The maximum probationary period may not be extended more than three times. Additionally, a faculty member's probationary term of appointment may not exceed ten years.

In cases where they have been in probationary status for more than the typical years for their rank due to an extension, faculty members shall be evaluated as if they had been in probationary status for the normal probationary period, not longer. Faculty members within the probationary period who have been given a terminal contract are not eligible to extend the probationary period under this policy.

Early Submission of Files. In exceptional cases, candidates may submit an application for promotion or tenure or both prior to the year indicated in their contract. These candidates must earn an evaluation of "excellent" in the areas of teaching, service and scholarship to receive early promotion or tenure or both. Failure to receive promotion or tenure early does not prohibit candidates from subsequently applying.

Withdrawal of Files. Faculty not in their penultimate year may withdraw without prejudice their promotion and/or tenure application at any time before the application is forwarded to the President of the University. Applications for promotion to professor may also be withdrawn without prejudice before files are forwarded to the President of the University.

Final Action in Tenure Decisions. Final action in any award of tenure requires approval of the Board of Trustees.

Non-renewal of Probationary Appointments. If, during the first year of a probationary appointment, it is deemed in the best interest of the University not to renew the appointment, notice of such non-renewal is given in writing by March 1 (July 1 for a second semester appointment). If, during the second year of a probationary appointment, it is deemed in the best interest of the University not to renew the appointment, notice of such non-renewal is given in writing by December 15 (April 15 for a second semester appointment).

Thereafter, notice in writing of the non-renewal of any appointment to which the provisions of this section apply is given at least twelve months prior to the date of non-renewal.

Eligibility. To promote its welfare, the University in general extends the opportunity for full-time tenure track faculty members to become tenured. Only full-time faculty members holding the rank of assistant professor/librarian, associate professor/librarian, and professor/librarian are eligible for tenure. Appointments to all other faculty ranks are on an annual basis and service in such appointments is not considered part of a probationary period for tenure consideration.

Regulations for Faculty Administrators in Academic Affairs. The tenure status of a member of the faculty appointed to an administrative position is not affected adversely by such an appointment. Only years during which the faculty-administrator teaches at least six hours count toward the probationary period for tenure or toward years in rank for promotion.

Eligibility for Classroom Faculty

To be eligible for tenure, faculty members must possess a record of *highly effective* performance in teaching and must have made *effective* contributions to scholarship and creativity as well as service. Faculty members are expected to hold the earned terminal degree or other appropriate degree (as in law and certain of the performing or creative arts) and have successfully completed their probationary years at USC Upstate. Individual unit criteria provide examples of specific performance indicators.

To be eligible for the rank of assistant professor, faculty members must possess strong potential for academic development. Faculty members are expected to hold an earned terminal degree or other appropriate degree (as in law and certain of the performing or creative arts). Individual unit criteria provide examples of specific performance indicators.

To be eligible for the rank of associate professor, faculty members must at a minimum possess a record of *highly effective* performance in teaching and have made *effective* contributions to scholarship and creativity as well as service. Faculty members are normally expected to hold the earned terminal degree or other appropriate degree (as in law and certain of the performing or creative arts) and have at least five years of relevant experience. Individual unit criteria provide examples of specific performance indicators.

To be eligible for the rank of professor, faculty members must at a minimum have a record of *excellent* in teaching and must also have made *highly effective* contributions to service or scholarship and creativity and effective contributions to the other category. Faculty members are expected to hold the earned terminal degree or other appropriate degree (as in law and certain of the performing or creative arts) and have at least nine years of relevant experience. Individual unit criteria provide examples of specific performance indicators.

The normal educational requirements for each rank may be waived in cases where individuals (a) have made extraordinary contributions in teaching, service, or scholarship and creativity or (b) are in disciplines where the earned terminal degree is not commonly required for undergraduate teaching. Individual unit criteria provide examples of specific performance indicators.

Eligibility for Library Faculty

To be eligible for tenure, library faculty members must possess a record of *highly effective* performance in librarianship and have made *effective* contributions to scholarship and creativity as well as service. Library faculty members are expected to hold a master's degree from a program accredited by the American Library Association and to have successfully negotiated their probationary years at USC Upstate. Individual unit criteria provide examples of specific performance indicators.

To be eligible for the rank of assistant librarian, faculty members must have a minimum of two years of relevant library experience and must possess strong potential for development. Library faculty members are expected to have an earned master's degree from a program accredited by the American Library Association. Individual unit criteria provide examples of specific performance indicators.

To be eligible for the rank of associate librarian, faculty members must at a minimum possess a record of *highly effective* performance in librarianship and must have made *effective* contributions to scholarship and creativity as well as service. Library faculty members are expected to hold an earned master's degree from a program accredited by the American Library Association and have a minimum of five years of relevant library experience. Individual unit criteria provide examples of specific performance indicators.

To be eligible for the rank of librarian, faculty members must at a minimum possess a record of *excellent* in librarianship and must also have made *highly effective* contributions to service or scholarship and creativity and effective contributions to the other category. Library faculty members are expected to hold a master's degree from a program accredited by the American Library Association and to have a minimum of nine years of relevant library experience. Individual unit criteria provide examples of specific performance indicators.

Library faculty members not meeting these criteria are eligible for the rank of instructor. Additional advanced degrees will be looked on favorably for promotion consideration. The normal educational requirements for each rank may be waived in cases where a person has made an extraordinary contribution as a librarian.

Procedure for Tenure and/or Promotion

Notification of All Faculty Members. By April 15, the Chair of the Promotion and Tenure Committee informs all faculty members of the dates for submitting files. Those considering a request for promotion and/or tenure are asked to notify the Chair of the Promotion and Tenure Committee by April 30 of the academic year preceding review.

Candidates in Penultimate Year. At the end of the spring term of each year, the Provost notifies, in writing, faculty members entering their penultimate year. Candidates in their penultimate year must submit a promotion and tenure file. Faculty members hired into the tenure track are responsible within their probationary period for meeting the unit tenure and promotion criteria and University standards in effect at the time of their hiring.

For all subsequent promotions, the faculty member is responsible for meeting either (1) the current voting unit criteria and University standards or (2) unit criteria and University standards in effect at the time of his or her previous promotion or those in effect five years before the current application, whichever of these latter two is more recent. It is incumbent upon faculty members to identify the preferred criteria and standards in their application for promotion and/or tenure.

For faculty members considered for tenure and/or promotion, the review must be completed in accordance with the PRC procedures described above and with the file guidelines, procedures and calendar established by the Promotion and Tenure Committee (see the “Promotion and Tenure File Guidelines, Procedures and Calendar” on the Promotion and Tenure Committee webpage).

File Preparation Guidelines. Faculty applying for promotion and/or tenure must follow the required procedures of file preparation required for promotion and tenure. The contents of files for faculty being reviewed for promotion and/or tenure are governed by guidelines established by the Promotion and Tenure committee (in Appendix V). Candidates bear ultimate responsibility for preparation of the file on which the decision is based.

POST-TENURE REVIEW

All tenured faculty members are required to undergo peer review at least once every ten years, regardless of whether they are seeking promotion. The dates, policies and procedures of tenure-track peer review apply to post-tenure peer review (for more information see “Post-Tenure Review Procedures, File Guidelines and Calendar” on the website).

PROMOTION FOR INSTRUCTORS

After six consecutive years of service, an Instructor or Instructor Librarian may apply for promotion to the rank of Senior Instructor or Senior Instructor Librarian. Promotion to this rank may include additional duties compensated by a reallocation of some teaching responsibility.

Candidates for promotion are evaluated based on performance during the years as Instructor. Candidates submit a letter of application to the unit administrator and the dean. The dean makes a recommendation to the Provost. The final decision is made by the Provost.