

# **Faculty Manual**

**University of South Carolina Upstate**

Approved by General Faculty  
May 3, 2019

Approved by  
*The Board of Trustees*  
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## Preamble

The *Faculty Manual* embodies the essential elements of the employment relationship between the faculty, individually and collectively, and the University. It establishes the terms of employment, the manner of appointment, the procedures and standards for tenure and promotion, the duties of faculty members, and the procedures and standards for termination of employment. It delineates faculty organization and confirms the authority of the faculty to participate in the governance of the University, especially in regard to academic matters. Amendments to the *Faculty Manual* are generally presented for the consideration and approval of the faculty and the administration before submission to the Board of Trustees.

Much information is of interest and importance to the faculty that does not need to be included in the essential contract between the faculty and the University. Such information has been placed in the appendices of this edition of the *Manual*, clarifying what material is part of the essential contract between the faculty and the University. The appendices may be amended in appropriate cases by the University without faculty or trustee approval. Any changes to the Appendices must be reported to the Senate at its next meeting.

## Foreword

The *Faculty Manual* is designed primarily for faculty members teaching in undergraduate and graduate programs at the University of South Carolina Upstate. Contained herein is information concerning University regulations and procedures considered to be of particular interest to faculty.

Faculty members and staff are urged to examine regularly the agendas and minutes of the General Faculty and Faculty Senate. Action by these bodies may modify the content of this *Manual* (subject to the approval of the University Board of Trustees). Changes in policies and regulations go into effect following the requisite approvals. The most current official version of the Faculty Manual is on the University web site at <https://www.uscupstate.edu/faculty-staff/faculty-governance/faculty-manuals/>.

The *Faculty Manual* has been edited by the Chair of the Faculty Senate and the Faculty Advisory Committee, with the cooperation of the Chancellor and the Provost. Members of the faculty are invited to make suggestions and recommendations for the improvement of future editions of the *Manual*.

Clifton Flynn  
Provost and Senior Vice Chancellor for Academic Affairs

## **USC Upstate Mission, Vision and Values**

We, the faculty of the University of South Carolina Upstate, recognize our special responsibility to honor and exemplify the values affirmed by the University. The University's core values serve as the philosophical underpinnings of the institution's mission. They also serve to govern attitudes, behaviors, and decisions in daily activities among stakeholders.

### **MISSION**

University of South Carolina Upstate aims to become one of the Southeast's leading "metropolitan" universities ... a university that acknowledges as its fundamental reason for being its relationship to expanding populations along the I-85 corridor. It aims to be recognized nationally among its peer metropolitan institutions for its excellence in education and commitment to its students, for its involvement in the Upstate, and for the clarity and integrity of its metropolitan mission.

As a senior public institution of the University of South Carolina with a comprehensive residential campus in Spartanburg and commuting and degree completion operations at the University Center Greenville, the University's primary responsibilities are to offer baccalaureate education to the citizens of the Upstate of South Carolina and to offer selected master's degrees in response to regional demand.

USC Upstate strives to prepare its students to participate as responsible citizens in a diverse, global and knowledge-based society; to pursue excellence in their chosen careers; and to continue learning throughout life. Curricula and services are designed for the University's students, four to seven thousand in headcount, who are diverse in background, age, race, ethnicity, educational experience and academic goals. Students are drawn in large proportion from the Upstate, where many choose to remain for their careers. A broad range of major curricula are provided in arts and sciences and in professional fields of study required by the regional economy, including business, education and nursing. Through on-site instruction, distance learning, continuing education and inter-institutional articulation agreements, both traditional students and working professionals are served across the region.

Consistent with the international character of the Upstate, the University promotes global perspectives across its programs. Supporting the regional employment objectives of most of its students, it provides extensive experiential learning opportunities.

The University's metropolitan mission rests upon a foundation of partnerships with the education, corporate and service organizations of the Upstate. The faculty provides leadership in promoting the Upstate's economic, social and cultural development. This is achieved through its teaching, professional and public service, basic and applied scholarship and research, and creative endeavors.

*Approved by the S.C. Commission on Higher Education, May 30, 2006. Approved by USC Board of Trustees, June 29, 2006.*

## CORE VALUES

The University's core values not only serve as the philosophical underpinnings of the institution's mission, but they serve to govern attitudes, behaviors and decisions in daily activities among stakeholders. As such, the University of South Carolina Upstate affirms that:

**PEOPLE** come first. We are committed to creating an inclusive environment wherein we respect our differences as we pursue our common academic purposes. Our employees, students, parents and partners are the University's most valuable assets. We aim to work hard, work smart and always do the right thing. We cooperate and collaborate with colleagues and constituents, aiming to be responsive, flexible, accessible and friendly in our service. We strive to be goodwill ambassadors for the University, and to advance its reputation and its metropolitan mission.

**STEWARDSHIP** of resources is critical to accomplishing the University's mission. We understand the importance of evaluating and reflecting on our daily activities in order to gain the highest value in return for the University's and our own professional investments. As employees, we aim to apply principles of honesty and fiscal responsibility in order to conserve student, partner, and University resources as though they were our own.

**INTEGRITY** as an academic institution drives our daily activities. That integrity includes a passion for teaching and learning, and a belief that every employee and student has a right to learn and progress as far as he or she is able. We seek, therefore, to provide a distinctive learning environment that supports and encourages employee growth and personal and professional development.

## STRATEGIC GOALS

- **Student Success.** Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives.
- **Engagement & Inclusion.** Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.
- **Excellence in Academia.** Support implementation of outstanding academic programs.
- **Institutional Stature.** Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.
- **Enrollment Management.** Create enrollment capacity to meet the needs of the growing Upstate population.



- **Operational Excellence, Management and Accountability.** Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.

# Chapter 1

## Faculty Organization

### FACULTY MEMBERSHIP AND RANKS

The University faculty consists of the Chancellor, Provost, and Deans; professors, associate professors, and assistant professors; librarians, associate librarians, and assistant librarians; senior instructors, full-time instructors, and adjunct lecturers; visiting faculty and emeriti professors; and such other persons as the faculty chooses to elect to its ranks.

The responsibilities and roles of full-time faculty necessarily vary by discipline and position, though all full-time faculty members recognize that excellence in education remains the central purpose of our University mission. Academic units generally rely on a combination of tenure-track professors, non-tenure-track instructors, and part-time faculty in staffing courses. To maintain accreditation and consistency with institutional goals, academic units should rely primarily on tenured and tenure-track professors with terminal degrees in their area of teaching emphasis. A number of factors cause reliance on full- and part-time, non-tenure-track faculty, including vital professional experience held by those without a terminal degree, accreditation standards requiring clinical experience, staffing flexibility within the academic unit, and budget constraints.

Tenure-track faculty members consist of the ranks of Assistant Professor, Associate Professor, and Professor, and Assistant Librarian, Associate Librarian, and Librarian. Tenure at USC Upstate matches the conventions practiced at many universities across the country: After a probationary period, tenure-track faculty members may be granted tenure, which recognizes their positive contributions to the University with increased job security and expanded participation in peer review and other responsibilities. Tenure-track faculty members are evaluated according to their contributions in teaching or librarianship, scholarly and creative production, and service. Full-time, non-tenure-track faculty members are hired at the Instructor or Instructor Librarian rank. Instructors are normally expected to possess a master's degree in their field, and to meet SACSCOC or other accreditation requirements to teach in their area of expertise. Instructor Librarians are expected to possess a master's degree in library science from a program accredited by the American Library Association. Instructors typically maintain a higher teaching load than tenure-track faculty, and they are evaluated during annual review accordingly, with less weight given to scholarly and creative production and service.

After six consecutive years of service, an Instructor or Instructor Librarian meeting the unit criteria for promotion 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.

All full-time faculty members with terminal degrees who teach graduate courses at USC Upstate are Graduate Faculty. All faculty members who teach graduate courses and are not full-time faculty or who do not hold a terminal degree are Adjunct Graduate Faculty members.

Specific criteria and procedures for selection and evaluation of Graduate Faculty and Adjunct Graduate Faculty are determined by individual academic units and approved by the Provost.

## **UNIVERSITY LEADERSHIP**

Some of the faculty described in the general membership occupy key administrative roles and execute managerial and supervisory functions. These include the Chancellor, Provost, and Deans. In matters of faculty governance, those holding administrative positions shall refrain from voting.

### **Chancellor**

The Chancellor for USC Upstate is the chief administrative officer of the campus. The Chancellor is responsible for the operation and development of the campus and the implementation of applicable University policies. The Chancellor reports to the President of the University of South Carolina.

### **Provost and Senior Vice Chancellor for Academic Affairs**

The Provost and Senior Vice Chancellor<sup>1</sup> is the chief academic officer for the University. The Provost is responsible for curricula planning and development of the total educational program, and for faculty, library and other academic services. The Provost is appointed by the Chancellor (see Chapter 3, *Procedures*) and represents the Chancellor when appropriate.

### **Academic Deans**

Deans are appointed by the Chancellor upon recommendation from the Provost following the prescribed search procedures (see Chapter 3, *Procedures*). The dean is the chief academic administrator of a college or school. Deans report directly to the Provost. Deans are responsible for the personnel and program administration of the college or school; they review curricula and programs in the college or school; they appoint chairs of departments and assign their duties, they supervise the use of funds, space, and equipment, and prepare the budget of the school or college. Deans are the presiding officer of the faculty of the school or college. Deans of colleges or schools that are not departmentalized also have the duties and responsibilities of department chairs. Deans consult the faculty of the college or school on significant matters concerning academic personnel and curricula.

The Deans may also appoint Assistant or Associate Deans to assist the Dean in administering the college or school. They serve at the pleasure of the Dean.

### **Dean of Library**

The Dean of Library is appointed by the Provost and serves as the chief librarian of the University. The Dean of Library reports to the Provost.

### **Department/Division Chairs**

Department/Division Chairs are appointed following the prescribed procedures (see Chapter 3, *Employment*). The Chair is responsible for implementing University policies as they apply to the affairs of the unit. The Chair is responsible for personnel and program administration within the

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<sup>1</sup> Hereafter referred to as Provost.

unit. The Chair consults and seeks the advice of the faculty with respect to educational policy and unit governance. Chairs report to the Dean. When delegated by the Dean, they represent the Dean of their school or college.

The Chairs may also appoint Assistant Chairs to assist the Chair in administering the department or division. They serve at the pleasure of the Chair.

## **STATEMENT ON ACADEMIC FREEDOM**

USC Upstate adheres in principle to the American Association of University Professors' 1940 Statement of Principles on Academic Freedom and Tenure.

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free expression. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

- *Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties. However, research for pecuniary return should be based upon an understanding with the authorities of the institution.*
- *Teachers are entitled to freedom in the classroom in discussing their subject. However, they should be careful not to introduce into their teaching controversial matters that are not related to their subject.*
- *College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When faculty members speak or write as citizens, they are free from institutional censorship or discipline. They indicate that they are not speaking for the university.*

## Chapter 2

### Faculty Governance

USC Upstate is committed to the principle and practice of shared governance in that it supports and promotes cooperative action and shared responsibility among the components of the academic institution.

The Board of Trustees is the governing body of the University and the powers of the President and the faculty are delegated by the Board.

In all matters pertaining to the standards of admission, registration, requirements for the granting of degrees earned in courses, the curricula, instruction, research, extracurricular activities, discipline of students, the educational policies and standards of the University, and all other matters pertaining to the conduct of faculty affairs, including the discipline of its own members, the faculty has legislative powers subject to the review of the Chancellor, the President, and the Board of Trustees.

The faculty has the responsibility to consider the appointment of all principal officers and, through an appropriate committee, to communicate its views to the Chancellor. Faculty members are also invited to communicate, through an appropriate committee, views on the selection of the President of the University and the Chancellor for USC Upstate.

#### FACULTY MANUAL

The USC Upstate *Faculty Manual* sets forth the policies and procedures of the University regarding the faculty and its rights and responsibilities. Changes to the *Faculty Manual*, with the exception of changes to the chapter on promotion and tenure, may be made by the Faculty Senate or the general faculty by majority vote of those faculty members present and voting at the Faculty Senate or General Faculty meeting. Proposed changes must be approved by the Chancellor, the President, and Board of Trustees of the University of South Carolina. Changes to University promotion and tenure criteria require a vote of two-thirds of the tenured and tenure-track faculty present and voting at a General Faculty meeting.

Proposed changes to the *Faculty Manual* must be provided to the faculty in writing at least one month prior to the meeting at which these changes will be considered. When approved by the Board of Trustees, the amendment is placed in the *Faculty Manual*. If the Chancellor does not approve an amendment passed by the Faculty Senate or the general faculty, the amendment is returned to the Faculty Senate or the general faculty by the Faculty Chair within 30 days, together with the reasons for disapproval. The Faculty Senate or the general faculty may revise the amendment or return it without revisions to the Chancellor, who, within 30 days of receiving it forwards the proposal to the President and notifies the Faculty Chair of the action.

Extensions of all deadlines for amendments may be granted by the Faculty Chair upon request of the faculty or the administration.

## GENERAL FACULTY

**Membership.** The University faculty consists of the President, the Chancellor, other USC Upstate administrators with faculty status, and all full-time faculty members.

**Voting.** All persons recognized as members of the faculty, except for those in administrative roles (Chancellor, Provost, and Deans) have the right to present motions and vote. Voting members may attend and exercise their right to vote during absences from the University that are temporary in nature such as sabbaticals and leaves of absence. There is no provision for proxy voting. Voting on non-personnel matters may be done electronically. In all cases, deliberation and voting by peer review committees and the Promotion and Tenure Committee must be done in committee meetings and cannot be done electronically.

**Academic Units.** Separate academic units are the Library (LIB), Mary Black School of Nursing (MBSN), and the academic departments and divisions of the College of Arts, Humanities, and Social Sciences (CAHSS), the College of Science and Technology (CST), the School of Education, Human Performance, and Health (SOEHPH) and the George Dean Johnson, Jr. College of Business and Economics (JCBE). Membership in an academic unit determines a faculty member's rights for voting, committee assignments, and any other kind of participation in decisions made within the academic disciplines taught by the faculty member. Courses taught in an academic unit or individual disciplines in a different academic unit do not confer upon a faculty member the right to participate in decisions made by that unit.

**Officers.** The Faculty Chair and the Recording Secretary are elected by the faculty. The Faculty Chair serves for four years. S/he serves as Chair-elect for the first year, then serves as Faculty Chair in the following second and third years, and then serves as Past Chair in the fourth year. The Faculty Recording Secretary serves one year.

**General Faculty Meetings.** General Faculty meetings are held in August and April. The President, Chancellor, or the Faculty Chair may call a special meeting of the faculty. A special meeting of the faculty may also be called by 25% of the voting members of the faculty who submit a written request to the Faculty Chair. Upon receiving the request, the Faculty Chair sets a date for a meeting to be held within seven days.

**Conduct of Business.** The faculty follows *Robert's Rules of Order* (Revised) unless otherwise stipulated. The Faculty Chair-elect serves as parliamentarian. Any member of the faculty may request voting by written ballot.

An agenda is prepared by the Faculty Chair for the regularly scheduled General Faculty meetings. The agenda is distributed at least 10 days before the meeting. The regularly scheduled meetings include election of officers and faculty committees. Faculty members may contribute to the agenda by submitting items to the Faculty Chair.

## FACULTY SENATE

**Membership.** Membership in the Faculty Senate is confined to full-time faculty

members, except for those in administrative roles (Chancellor, Provost, Deans, Assistant and Associate Deans, and Chairs). Representation is allocated as follows: one representative for each seven full-time faculty members, or portion thereof. The representatives from each voting unit are elected by members of the faculty of the unit prior to the General Faculty meeting of the fall semester. The term of office is for three years, with the terms of one-third of the Faculty Senate expiring each year. The Faculty Chair-elect or Past Chair, and the Recording Secretary are voting members of the Senate. The Faculty Chair presides and votes only in the case of a tie.

***Senate Officers.*** The presiding officer of the Faculty Senate is the Faculty Chair, who is called the Chair of the Faculty Senate when acting as the presiding officer. The Faculty Chair-elect (or past Chair) presides over the Faculty Senate in the absence of the Faculty Chair and serves as parliamentarian for meetings of the Faculty Senate. The Faculty Recording Secretary serves as Secretary to the Faculty Senate, General Faculty meetings, and the Faculty Advisory Committee. The Faculty Recording Secretary records and distributes to the members of the faculty minutes of the Faculty Senate meetings, and annually compiles and publishes a summary of faculty actions.

***Conduct of Meetings.*** All meetings of the Faculty Senate are open to all members of the faculty; all members of the faculty have the right to address the Faculty Senate. Votes taken in the Faculty Senate may be by voice, show of hands, or electronic means. Any senator may request a written ballot. A decision by the Faculty Senate may be overruled by a majority of the faculty present at a regular or called faculty meeting.

The Faculty Chair must call a faculty meeting for reconsidering an action of the Senate upon receipt of a petition signed by 25% of the voting members of the faculty.

## **FACULTY STANDING COMMITTEES**

### **Committee Procedures**

***Creation.*** The faculty establishes such standing or special committees as it deems necessary. The members of such committees are elected by the faculty or appointed by the Chancellor. All student members of standing faculty committees are voting members. There is no proxy voting in case of absence.

***Meetings.*** Each standing faculty committee meets at least four times a year. Each standing faculty committee is an agency of the faculty and makes written reports containing a summary of its activities and actions to the faculty at the April general faculty meeting. These reports become a part of the minutes. Each standing committee has an agenda and minutes for each meeting. Each develops a schedule of meetings and a plan of action for the academic year and submits it to the Faculty Chair by the end of September. Committees should avoid duplication of effort. The Faculty Chair reviews committee rosters, reports, and activities to ensure compliance.

***Membership.*** Membership on Standing Committees is confined to full-time faculty members, except for those in administrative roles (Chancellor, Provost, Deans, Assistant and

Associate Deans, Chairs, and Associate Chairs). It is recommended that committee members may not succeed themselves on the same committee unless otherwise noted. Faculty members elected to fill unexpired terms on committees are eligible for re-election. It is recommended that faculty members not serve simultaneously on more than two standing faculty committees and that faculty members serve on no more than one standing or *ad hoc* University committee and two college, school, or departmental committees. Faculty members may chair only one faculty standing committee at a time.

***Terms and Elections.*** Terms of all appointed and elected committee members are for three years. Faculty standing committees are elected in April by the general faculty. Grievance pool members are appointed in the fall. New committee members assume duties after the spring commencement.

***Ex officio Members.*** *Ex officio* members are not considered members of a committee when computing maximum committee assignments. The role of *ex officio* members of a committee is to serve in an advisory capacity. *Ex officio* members should make available to the committee their knowledge, but they are not empowered to vote. An *ex officio* member cannot chair a committee.

The Chancellor and Provost are *ex officio* members of all faculty standing committees.

***Vacancies.*** When committee members cannot serve their full terms, vacancies are filled by appointment or election according to the way the position originally was filled. Replacements serve for the remainder of the vacated term. Vacancies created by sabbaticals or unforeseen contingencies are filled by the academic unit of the faculty member.

***Committee Chairs.*** Committee chairs are elected by the committees in April of each year. Committee chairs usually do not succeed themselves. In circumstances where chairs succeed themselves, they may not serve more than three consecutive years.

The Faculty Chair may appoint a replacement for a committee chair who resigns until the committee can elect a chair. With the exception of the Chair of Promotion and Tenure, chairs vote only in the case of a tie. Committee chairs file written reports with the Faculty Chair summarizing committee activities. Certain committee chairs with exceptional responsibilities are eligible for additional compensation (see *Policies*).

***Modification or elimination.*** The faculty may modify or eliminate standing or special committees as it deems necessary. A majority vote in the Senate is required to modify or eliminate a standing committee.

## **Standing Committees**

***Academic Affairs Committee.*** The Academic Affairs Committee is composed of one faculty member from each unit of the University. The Academic Affairs Committee considers and recommends to the Faculty Senate action on all requests for the addition, modification, or deletion of undergraduate and graduate curricular programs and courses. The Committee



considers matters concerning undergraduate and graduate academic requirements and standards, and reviews current policies and practices to make recommendations to the Faculty Senate. The Committee also considers faculty petitions for grade changes and of students seeking relief from University scholastic regulations, following the recommendations of the appropriate unit administrator.

Units requesting programmatic changes must submit all relevant course material information to the Academic Affairs Committee. Each academic unit develops procedures for individual undergraduate or graduate course approval or deletion; proposals for individual course changes are also submitted to the Academic Affairs Committee.

**Assessment Committee.** The Assessment Committee consists of one elected representative from each of the professional schools or college (JCBE, SOEHPH, MBSN), three elected representatives from the College of Arts, Humanities, and Social Sciences, and two elected representatives from the College of Science and Technology.

Principal responsibility for successful program assessment, as for curriculum and instruction, rests with the faculty within the discipline. Upon request of the academic unit, the committee provides technical support in the measurement of unit-determined goal outcomes, the measurement of improvement, and the interpretation of assessment results. The Assessment Committee is responsible for developing campus-wide awareness and understanding of outcomes assessment, developing a systematic process for collecting and maintaining unit assessment plans, and providing guidance to departments and programs on the assessment requirements of external agencies.

**Faculty Advisory Committee.** The Faculty Advisory Committee consists of the Faculty Chair, the Faculty Chair-elect or Past-Faculty Chair, the Recording Secretary, and one Faculty Senate member elected from each academic unit. The elected members serve for terms of one year. Terms are renewable. The Committee meets when called by the Faculty Chair.

The Faculty Advisory Committee makes recommendations to the Chancellor and Provost regarding any aspect of University operations. The committee is a conduit for communicating faculty concerns to the Chancellor and Provost. The committee communicates strategic issues from the Chancellor and Provost to the Faculty Senate and/or general faculty for discussion and recommendations. It serves as a small-group “sounding board” for the Chancellor and Provost.

The Committee may request and receive reports from standing and *ad hoc* committees at any time and make recommendations for actions to the Chancellor, Provost, and the faculty, as required.

The Committee presents to the faculty a slate of nominees for regularly elected positions on standing committees and the Faculty Athletic Representative.

**Faculty Excellence Committee.** The Faculty Excellence Committee consists of one faculty member elected from each academic unit of the University.

The Committee recommends the disbursement of the Teaching and Productive Scholarship fund that is allocated by the Provost for faculty development according to criteria developed by the Committee. The Committee arranges for seminars, workshops and selection of professors for honors and other activities in support of faculty development.

After consultation with the Provost, the Committee establishes deadlines and calls for proposals for sabbaticals. The Committee reviews and ranks proposals according to established criteria and then forwards all proposals to the Provost. The Committee receives, reviews, and forwards final sabbatical reports to the Provost.

The Committee receives nominations for both the annual faculty scholarship award and the faculty service award and selects the award recipient for each based on established criteria.

***Faculty Welfare Committee.*** The Faculty Welfare Committee consists of one faculty member elected from each academic unit. The Committee is a means for faculty members to express their thoughts relating to matters of faculty welfare. The Committee communicates faculty concerns to the appropriate administrative officers or to the Faculty Senate.

In general, areas of Committee concern apply to the faculty as a whole rather than to individual faculty members. Committee concerns include but are not restricted to salaries, benefits, and rank; policies regarding teaching load and assignments; policies regarding University programs and activities affecting faculty welfare; policies regarding conduct and professional ethics; professional relations among faculty, and between faculty and the administration; faculty involvement in campus decision-making and governance; general faculty morale; and equal opportunity and affirmative action.

Before the end of the fall semester, the Committee distributes to the faculty a summary of annual review rankings of faculty for the previous year by each academic unit; a summary of all faculty salaries by salary interval, including a breakdown of salaries by gender and race, as permitted by law; and numerical results of faculty evaluations of administrators, and each academic or administrative support office and department.

Complaints about matters relating to possible violations of review policies and procedures can be reported to the chair of the Faculty Welfare Committee.

Faculty members filing a grievance do so with the Chair of the Faculty Welfare Committee according to the guidelines for Faculty Grievance Procedures (see Chapter 6, *Faculty Grievance Process*).

***General Education Committee.*** The General Education Committee is composed of one designated representative from each unit.

The Committee reports to the Faculty Senate. The Committee is responsible for the management and assessment of the General Education Program. The Committee is responsible for reviewing all courses suggested for inclusion in the General Education Curriculum. The Committee determines if the courses included in the General Education Curriculum contribute to

the goals of general education as they are stated in the *USC Upstate Academic Catalog*. It may also review the General Education Curriculum to determine if the curriculum meets the objectives established by the faculty of the University. In addition, the Committee makes recommendations to the Faculty Senate on the consequences of any change in general education course requirements.

***Graduate Committee.*** The Graduate Committee consists of one faculty member elected from each academic unit with a graduate program, plus two additional faculty members without graduate programs.

The Committee is responsible for reviewing all proposed graduate programs and program revisions and recommending acceptance or rejection prior to submission to the Academic Affairs Committee. The Committee also recommends revisions to the faculty manual regarding policies related to graduate programs and faculty. The Committee assists in the development of a University-wide strategic plan for graduate studies. It also recommends standards for graduate admission; reviews appeals regarding admission decisions, degree requirements, or course credit; and recommends policies regarding graduate assistantships.

***Promotion and Tenure Committee.*** The Promotion and Tenure Committee consists of nine elected faculty members. Three members are from CAHSS, two from CST, one from each of the professional schools/college and library. Terms are for three years. Only tenured associate professors, associate librarians, professors, or librarians who have taught at USC Upstate for one year or more are eligible to serve on the Promotion and Tenure Committee. Elected positions are filled by vote of the general faculty. No academic unit can have more than one representative on the Committee. Committee members may not succeed themselves on the Committee. Elections of members of the Committee are held at the General Faculty meeting in the spring, with nominations from the floor.

Elected Committee members who are not able to serve out their terms shall be replaced by the academic unit. The newly elected member serves until the next General Faculty meeting, at which time the faculty elects a replacement. The newly elected member serves until the term is completed or until the originally elected faculty member returns to the Committee.

The Promotion and Tenure Committee recommends to the faculty criteria for promotion and tenure and sets procedures and guidelines for the implementation of promotion and tenure policies, subject to approval by the faculty. Within each academic unit, tenured and tenure-track faculty members formulate specific unit criteria for promotion and tenure; these unit criteria are approved by the Promotion and Tenure Committee.

The Promotion and Tenure Committee, in accordance with approved University criteria and procedures and with specific unit criteria, makes recommendations to the Provost and the Chancellor regarding the granting of promotion and tenure. The Committee hears appeals of post tenure reviews and makes recommendations to the Provost.

The Committee reviews and makes recommendations to the Provost on all promotion and tenure applications.

See the *Promotion and Tenure* section of Chapter 5 on faculty review in this *Manual* for a description of the promotion and tenure criteria, guidelines, and process.

***Student Services Committee.*** The Student Services Committee consists of one faculty member from each of the professional schools or college, three elected representatives from CAHSS, two from CST and one student representative appointed annually by the Chancellor from nominations submitted by the Student Government Association.

The Committee is responsible for recommendations to the Faculty Senate regarding admission and continuation policies within University guidelines and the Academic Honor Code and Campus Discipline Code. Any policy of any academic support unit that affects its patrons may be reviewed at the discretion of the Committee. The Committee reviews and determines appeals for students who are not making satisfactory academic progress, in accord with federal statute.

At least every three years, the Committee considers admission and continuation policies within University guidelines and, where advisable, recommends to the Faculty Senate and the Chancellor modifications to these policies. The Committee may suspend normal entrance and continuation requirements for individual students, as permitted by University guidelines. The Committee may establish special procedures for reviewing student applicants during summer terms.

The student member of the Committee does not participate in deliberations of any student appeals.

## **FACULTY ATHLETIC REPRESENTATIVE**

The Faculty Advisory Committee, in consultation with the Athletics Director, submits nominations for the position of Faculty Athletic Representative (FAR) from among the members of the faculty who are interested in athletics (coaches excluded). The FAR is elected by the faculty. The length of term is for three years; terms are renewable.

The FAR is responsible for abiding by NCAA and Conference compliance rules. The FAR's performance is reviewed annually by the Chancellor, with governance and compliance forming one component of that review. The FAR assists the Associate Athletic Director for Compliance with collecting and reviewing Academic Performance Program data.

The FAR should attend any campus meetings, including Faculty Senate meetings, during which athletics issues are being discussed. The FAR serves as the senior faculty advisor on athletics to the Chancellor.

The FAR recommends to the Faculty Senate conference affiliations, the addition or deletion of sports, and other major changes in athletic policy. The FAR reviews the records of all student-athletes each semester (including summer sessions), reviews the Satisfactory Progress Report information collected by the Registrar, and acts on any student deficiencies.

In addition, the FAR:

- *Provides oversight for academic advising of student athletes; advising the University Admissions Committee regarding prospective student-athletes whose academic credentials are below the institutional and/or NCAA admissions standards. The FAR participates in the exit interview of student-athletes, including gathering information related to academic experiences while participating in athletics.*
- *Provides information to coaches and student-athletes at the beginning of each academic year related to NCAA and USC Upstate academic regulations; describes the importance of academics to the student-athletes and the consequences of violations of academic regulations. The FAR ensures the enforcement of all institutional academic and student activities rules and regulations as they apply to student-athletes.*
- *Investigates instances of student-athlete misconduct, both on and off the playing fields and ensures that student-athletes are treated fairly in these investigations. The FAR attends Student Government courts, hearings, etc., with student-athletes.*
- *Oversees USC Upstate's compliance with NCAA rules and regulations. The FAR is required to sign forms that are sent to the conference and retained in the Athletic Office. The FAR reviews the results of periodic audits of athletics department funds and provides a report to the Faculty Senate if any significant discrepancies are encountered.*
- *Administers the NCAA Coaches Certification test, as required by the Conference Commissioner. The FAR provides information and insight to the Chancellor relating to institutional voting decisions at the NCAA conventions. The FAR serves on all committees relating to hiring of athletics department administrators at the level of head coach or above. The Athletic Director and the FAR serve as the campus delegates to the athletic association and conferences, in the absence of the Chancellor.*

## **Chapter 3**

### **Employment**

#### **EQUAL OPPORTUNITY**

It is the policy (ACAF 1.06) of the University of South Carolina Upstate to recruit, hire, train, promote, tenure, and otherwise make educational and personnel decisions without regard to race, color, religion, sex, gender, national origin, age, disability, sexual orientation, genetics or veteran status (except where sex or age is a bona fide occupational qualification) (See University Policies EOP 1.00 Equal Opportunity and Affirmative Action and EOP 1.04 Non-Discrimination Policy; ACAP 1.00). USC Upstate is an affirmative action/equal opportunity institution.

#### **SEARCH PROCEDURES**

##### **Procedures for Full-time, Tenure-track Faculty Members**

Full-time Faculty in the appropriate academic unit, the unit chair, and the dean are responsible for selection and appointment of full-time, tenure-track faculty members. The process of recruitment and appointment of tenure-track faculty follows certain guidelines designed to hire quality and diverse faculty through a fair and open search process. Practices are in compliance with applicable state and federal laws requiring adherence to equal opportunity and affirmative action provisions. ACAF 1.00 Policy: Recruitment and Appointment of Tenured, Tenure-Track, and Non-tenured Faculty fully prescribes the process briefly outlined below.

The search process begins with a vacancy due to the budget prioritization process or by resignation/termination/unexpected retirement of a current faculty member. After the process for requesting a search and establishing a requisition number, the steps for advertisement are then followed.

The school or department selects a search committee of four faculty from within the unit in which the vacancy has occurred and an additional faculty member from outside the academic unit. If the unit has insufficient faculty to staff the search, then the committee features additional faculty from other units. The chair and/or dean appoints the chair of the search committee.

The search committee is responsible for determining the criteria used to evaluate all candidates, conducting the same review for each candidate, and determining the most qualified candidates for on-campus interviews after conducting an initial round of interviews by phone, video conference, or in person, generally at a professional meeting and contacting the candidates' references.

The search committee presents their list of candidates for campus interviews to the chair and/or dean and assures the proper paperwork is completed. Following approval by the Provost, the committee arranges on-campus interviews. The search committee makes every effort to ensure that each faculty member within the school or department has the opportunity to meet each candidate invited for an interview. Interviews should also include a teaching demonstration and a

presentation of scholarly and creative activities. Faculty members are invited to submit written comments and evaluations on each candidate. The search committee is responsible for ensuring that each candidate is treated in as equal a fashion as possible, and all interviews and itineraries are as similar as possible in order to maintain equal opportunity for all candidates.

The committee chair verbally presents strengths and weaknesses of each candidate to the chair, who makes a hiring recommendation to the dean.

The dean then makes a recommendation to the Provost and seeks approval to make an offer. If approval for the offer of employment is granted, the dean makes the offer and the letter of appointment is forwarded to the candidate from the Provost. Should the candidate reject the offer, subsequent offers may be made by the dean with the approval of the Provost. In the case where the dean and Provost determine there are no suitable candidates, the Provost, after consulting with the dean, determines whether to extend or end the search. All documents pertaining to each candidate must be retained for three years by the appropriate unit.

Any hire with tenure and/or at a professional level (Professor) must be approved by the Chancellor, the President of the USC System, and the Board of Trustees. At the present time the only hires with tenure at a professional level of Professor are Deans.

A faculty member's academic unit is included in the appointment letter at the time of hiring. If a faculty member wishes to change academic units, the request is communicated in writing to the administrative heads of both units (deans, division, department chairs). Membership in the new academic unit requires all of the following:

- majority vote of the faculty in both academic units,
- consent by the deans involved in the change, and
- approval by the Provost and the Chancellor.

If the request is approved, the Provost issues a letter of change in academic unit and notifies the Office of Human Resources, the deans, division, department chairs, and the Faculty Chair.

### **Procedures for Full-time, Non-Tenure-track Faculty Members**

In general, the selection and appointment procedures for instructors follow that for full-time, tenure-track faculty. However, because the opportunity to hire instructors may follow a shorter calendar than that of tenure-track faculty, and because instructors may not have the service, scholarship, and governance responsibilities of tenure-track and tenured faculty, their selection and appointment procedures can be streamlined as necessary. The search committee must include at least three unit faculty members. The search committee is responsible to ensure that the evaluations of candidates are as similar as possible in order to maintain equal opportunity for all candidates. The search committee chair verbally presents strengths and weaknesses of each candidate to the chair, who makes a hiring recommendation to the dean. The dean makes the final hiring decision.

Appointment of instructors is by written letter of appointment. Initial appointments are one year; subsequent appointments are for up to three years, renewable by the dean with the

approval of the Provost.

Instructor-level faculty members may not be moved directly to tenure-track positions, as all such selection and appointment must follow the guidelines described in the procedures for hiring full-time, tenure-track faculty.

### **Procedures for Faculty Administrators**

*Procedures for Department/Division Chairs.* Candidates for department chair must be full-time, tenured faculty, and only under unusual circumstances should untenured faculty be considered as candidates. The successful candidate should exemplify the department's mission, meet a high standard according to the unit criteria, and demonstrate experience and skills in organization, management and strategic planning.

The unit faculty elect up to three persons to serve on a search committee. Applicants' letters of interest and vitae are submitted to the committee. If the search is internal, the search committee collects letters of application and vitae from all candidates, which are circulated among all voting unit faculty. The search committee presents the names of applicants to the voting members of the unit faculty. Faculty members rate each candidate as "recommended" or "not recommended" for the position and rank recommended candidates in order of preference. The names of candidates recommended by a majority of the faculty are forwarded to the dean. The dean appoints a department chair with the approval of the Provost. External searches follow the procedures outlined in ACAF 1.00 Policy: Recruitment and Appointment of Tenured, Tenure-Track, and Non-tenured Faculty.

Interim appointments follow the same procedures described above. Interim appointments are limited to a maximum of one year or until the first summer or winter break, whichever comes first. A search committee for a department chair must be formed as soon as possible.

*Term of Appointment.* The term of appointment for a department chair is three years, though terms should be limited as necessary to allow a transition to take place over the summer or winter break. After completing a term, reappointment for an additional term may be made by the dean in consultation with the faculty of the department and the Provost. Consultation with the department faculty will include a vote on whether the current chair is recommended or not recommended for the position. The dean's office will conduct the confidential poll. In the case of reappointment, the decision will be relayed to the unit faculty accompanied by the rationale for reappointment. Normally, department chairs will not be appointed for more than two terms. Reappointment beyond the second term is restricted to cases where it is clearly in the department's and University's best interest.

The appointment of a department chair may be terminated at any time by the dean with the approval of the Provost.

*Procedures for Deans.* The selection of a dean and the evaluation of performance in that office are matters requiring the joint consideration of the faculty and administration. The following are general policies defining the procedures for faculty participation in the appointment



and reappointment of deans.

*Comprehensive Search.* Comprehensive searches are recommended for new deans. The comprehensive search includes both internal and external candidates. Before the search committee is formed, the Provost, in consultation with the Chancellor and the faculty of the college or school, determines whether unusual circumstances exist that would limit the search to present faculty members of the university.

When a vacancy occurs in the position of dean, the Provost informs the faculty of the college or school in writing and invites the faculty to elect up to three persons to serve on a search committee. Participation by faculty members in the selection of a dean is restricted to full-time faculty members at the instructor level or above who have not been officially notified of non-reappointment or final, unfavorable decisions on tenure. Instructors are eligible to participate if their participation is recommended by a majority of the unit's tenured or tenure-track faculty and is approved by the Provost. The Provost appoints up to four additional members, which could include members of the administration, staff, faculty and community, as long as the majority of committee members are faculty. The Provost appoints the chair of the search committee.

The search committee places a notice of vacancy in the appropriate professional journal or personnel newsletters and in at least one general publication, such as the *Chronicle of Higher Education*. An independent search firm also may be used, in which case that firm collects and may complete an initial screening of candidate files, which will include letters of application, vitae, transcripts, and three letters of recommendation. The search committee reviews either all of the candidate files or the files of the candidates who pass the initial screening of the independent firm. After contacting the references of the most promising candidates, the committee consults with the Provost, and the committee arranges interviews. The number of external candidates exceeds four only with the specific approval of the Provost. The search committee makes every effort to ensure that each faculty member within the college or school has the opportunity to meet each candidate invited for an interview. Faculty members are invited to submit written comments and evaluations for each candidate they meet. The search committee is responsible for ensuring that each candidate is treated in as equal a fashion as possible, and all interviews and itineraries are as similar as possible in order to maintain equal opportunity for all candidates.

The search committee must submit at least three finalists to the Provost without rank order. The Provost may meet with the search committee to discuss the pros and cons of each candidate. Upon review of the information, the Provost makes the appointment, subject to approval by the Chancellor. If none of the candidates are acceptable, the Provost consults with the search committee and determines whether to extend or end the search.

*Internal Search.* The Provost may decide to limit the search to persons already on the faculty. If the search is internal, the search committee invites nominations, collects letters of application and vitae, and makes application materials available to the faculty. Thereafter, internal searches follow the procedure for comprehensive searches with the single exception of placing notices in off-campus publications.

*Term of Appointment.* The term of appointment for a dean is five years. After completing

an initial term, reappointment for additional terms may be made by the Provost in consultation with the faculty of that college or school. Consultation with the faculty of the college or school will include a confidential poll of faculty by the office of Academic Affairs on whether they “recommend” or “do not recommend” reappointment. Usually, a dean will not be re-appointed beyond a second term. The appointment of a dean may be terminated by the Provost with the approval of the Chancellor and the President.

*Interim Appointment.* Because of the important role deans play in the administration of the college or school, the official procedure of appointment described above should be followed in all instances. Only under extraordinary conditions — such as promotion, reassignment, abrupt resignation, or dismissal of a dean — should an interim appointment prove necessary. Under such circumstances, the Provost, in consultation with the faculty of the college or school and the Chancellor, appoints the interim dean.

***Procedures for Provost.*** As the Provost is the top academic post at the university, the selection and the evaluation of performance in that office are matters requiring the joint consideration of the faculty and the Chancellor. The following are general policies defining the procedures for faculty participation in its appointment and reappointment.

When a vacancy occurs in the position of Provost, the Chancellor informs the faculty of the University in writing and invites the faculty to elect up to three persons to serve on a search committee. Participation by faculty members in the selection of the Provost is restricted to full-time faculty members at the instructor level or above who have not been officially notified of non-reappointment or final unfavorable decisions on tenure. Instructors may be eligible to participate if such participation is recommended by the majority of the University faculty eligible to vote and is approved by the Chancellor. The Chancellor may appoint up to six additional members, which could include members of the administration, staff, faculty and community, as long as the majority of committee members are faculty. The Chancellor appoints the chair of the committee.

The search committee places a notice of vacancy in the appropriate professional journal or personnel newsletters and in at least one general publication, such as the *Chronicle of Higher Education*. An independent search firm also may be used, in which case that firm collects and may complete an initial screening of candidate files, which will include letters of application, vitae, transcripts, and three letters of recommendation. The search committee reviews either all of the candidate files or the files of the candidates who pass the initial screening of the independent firm. After contacting the references of the most promising candidates, the search committee consults with the Chancellor, and the committee arranges interviews. The number of external candidates exceeds four only with the specific approval of the Chancellor. The search committee makes every effort to ensure that each faculty member has the opportunity to meet each candidate invited for an interview. Faculty members are invited to submit written comments and evaluations for each candidate they meet. The search committee is responsible for ensuring that each candidate is treated in as equal a fashion as possible, and all interviews and itineraries are as similar as possible in order to maintain equal opportunity for all candidates.

The search committee must submit at least three finalists to the Chancellor without rank order. The Chancellor may meet with the search committee to discuss the pros and cons of each

candidate. Upon review of the information, the Chancellor makes the appointment, subject to approval by the President. If none of the candidates are acceptable to the Chancellor, the Chancellor consults with the search committee and determines whether to extend or end the search.

*Term of Appointment.* The term of appointment for the Provost has no defined limit. The appointment of a Provost may be terminated by the Chancellor with the approval of the President.

## **EMPLOYMENT POLICIES**

Responsibility for academic personnel on the USC Upstate campus is delegated to the Provost with, as appropriate, consultation with the System offices of the Provost and the Vice President for Human Resources. On the USC Upstate campus, the Office of Human Resources is responsible for maintaining employee records for all USC Upstate employees, including academic personnel, and for supplying benefit information to all employees. For information on employment records or benefits such as retirement or workers' compensation, faculty members work with the USC Upstate Office of Human Resources. Contact the USC Upstate or USC Columbia Office of Human Resources for more information.

### **Term of Employment**

In the absence of special arrangements, employment of the members of the faculty is for a period of nine months. For fall semester, faculty report on August 16 (the first day of employment) and work up through to the day the University is closed in December. For spring semester, faculty report on the first day of employment designated by the date when the University is opened and work through to May 15, the last day of employment. The salary for one semester is one-half that of the nine-month period.

### **Summer Employment**

Faculty members may teach during summer sessions for additional remuneration. Generally, full-time faculty members receive 7½% of the salary received during the previous academic year for each summer course.

Faculty members must advise the department chair or dean at the beginning of the fall term of their summer school intentions and at that time may be assigned to teach in a summer session, as conditions warrant. On the recommendation of the dean and the Provost, faculty members may be assigned special duties for this period.

### **Outside or Dual Employment**

Faculty members may be permitted to do professional work of an expert character outside the University and to receive pay for it when the work contributes to their professional development. Faculty members do not undertake outside professional work without the prior approval of their dean and follow the annual reporting procedures outlined in Policy 1.50. The University reserves the right to declare a conflict of interest at any time.

No members of the teaching staff can receive compensation for tutoring students in any

course for which they are empowered to grant the student credit or over which they have any authority. This regulation does not prohibit tutoring for remuneration in subjects over which the tutor has no control.

State law regulates dual employment.

### **Faculty Dual Career Accommodation**

The University of South Carolina is committed to recruiting and retaining outstanding faculty and academic personnel on all campuses and in all schools and divisions. Candidates for these positions are often part of dual career couples. A candidate's final decision to accept or reject an offer of employment is increasingly influenced by the University's ability to identify appropriate employment for the candidate's spouse or partner. The ACAF 1.61 *Faculty Dual Career Accommodation* policy and guidelines are designed to assist department chairs, program directors, and other administrators attempting to explore a spouse/partner hire.

### **Consensual Relations Policy**

Instructional staff members must refrain from engaging in any romantic or sexual relations with students over whom they have academic or supervisory control. Violation of this policy may result in dismissal from the University.

### **Political Activity**

Faculty members may seek public office if the candidacy will not interfere with their normal duties or present a conflict of interest. Before a faculty member announces for public office, the Chancellor must approve each candidacy. If the Chancellor determines that the candidacy would interfere with the faculty member's normal duties, the Chancellor may require the faculty member to take leave without pay or resign before announcing for office.

No person may use University or other government personnel, equipment, materials or facilities in an election campaign.

Full-time faculty members normally shall not engage in or manage statewide campaigns or seek political positions that pay compensation.

### **Leave Policies**

***Leave without Pay.*** Leave without pay may be granted for active military service or for an extended period of disability because of illness, injury or family leave.

The Chancellor may grant leave without pay on the recommendation of the Provost if the best interest of USC Upstate will be served. If a faculty member fails to return after the period for which leave has been granted, the appointment is terminated. The authorization of leave without pay is a matter of administrative discretion and may be considered for extended absence in the interest of USC Upstate, such as advanced academic training, research, or experiences leading to increased competence of the faculty member. Such leave may be granted for a maximum

continuous period of one year, unless extended by the President.

Leave without pay for reasons other than those stated above may be granted by the chair or dean for up to 10 consecutive calendar days. Upon request by the chair or dean, the Provost may grant leave without pay in excess of 10 consecutive calendar days. Failure to obtain approval prior to taking leave without pay may result in the absence being charged as unauthorized leave.

Annual leave and sick leave do not accrue during periods of leave without pay, but accumulated totals are not forfeited. Before beginning leave, faculty members should consult the USC Upstate Human Resources Office for information on the continuation of retirement, insurance and other employee benefits during the period of leave.

Leave without pay does not affect tenure; however, a period of time during which a faculty member is on leave without pay is not counted toward the acquisition of tenure.

***Sabbatical Leave.*** Sabbatical leaves are intended to allow full-time tenured faculty members relief from normal duties in order to pursue significant projects designed to improve their capabilities as scholars and teachers and hence to increase their future contribution to the mission of USC Upstate. Sabbatical leaves are designed to permit faculty members to achieve educational goals that could be reached only over an extended period if pursued under the demands of regular University duties. Consequently, recipients of sabbatical leave are to be separated from all University duties during the leave.

To be considered for sabbatical leave, a faculty member must be a tenured associate professor or professor with six or more years of full-time service and must be eligible to serve for a reasonable period following completion of leave, under no circumstances less than one year. Faculty members who do not choose to return for whatever reason are liable to USC Upstate for the full amount paid during the period of sabbatical leave. However, in the event of death or permanent disability due to illness or accident while on sabbatical leave, USC Upstate does not exercise its right of repayment.

Before beginning sabbatical leave, faculty members should contact Human Resources about the continuation of health and dental insurance, and other benefits.

Twelve-month faculty members do not accrue annual leave while on sabbatical leave.

A sabbatical leave provides one-half pay for a full academic year, or full pay for one-half of an academic year. Granting sabbatical leaves of absence is dependent upon budget limitations, workloads, and other considerations. Therefore, it is a matter of administrative discretion. Faculty members shall not be granted sabbatical leave more frequently than every seventh year. See *Policies & Procedures* for more information on Sabbatical Policy and Guidelines (see Appendix III).

***Modified Duties.*** All full-time faculty members (tenured, tenure-track, and Instructors) are eligible for modified duties. The University encourages faculty to utilize this policy as

needed to respond to anticipated or unanticipated life events or situations. Academic unit heads, deans and college/school leaders and administrators are expected to work with faculty to accommodate these situations, in accordance with ACAF 1.6 *Modified Duties Semester for Faculty* and other applicable Academic Affairs (ACAF) and Human Resources (HR) policies. This policy is not intended to diminish the rights and benefits of the Family Medical Leave Act or any other state or federal law (see guidelines in Appendix III).

***Fellowship Leave.*** Recognizing that it is in the interest of the University to encourage and support faculty who apply for and receive nationally competitive fellowships, USC Upstate has adopted a policy for supporting faculty members who receive Fulbright grants and similar awards. Faculty accepting such grants will receive half salary for the duration of the grant and will continue to be considered employees of USC Upstate. This means they will continue to have access to full health and retirement benefits in accordance with their individual plans and that the time they serve as a Fulbright Scholar will be credited toward salary increases and retirement. Faculty may request an extension of the probationary period, in accordance with policies covering extension. Faculty should discuss their Fulbright plans with their chair and dean prior to applying for the grant so that the unit can adequately plan for their absence. For more information, see ACAF 7.09 2008 (see Appendix III).

***Court Leave.*** Faculty members summoned to jury duty or subpoenaed as witnesses for litigation in which they are not parties are granted leave with pay

***Other Leave Policies.*** The HR 1.03 *Human Resources* policy sets forth the University of South Carolina's Annual Leave Policy for all employees eligible for annual leave, pursuant to regulations of the South Carolina Division of Human Resources. The HR 1.06 *Sick Leave* policy sets forth guidelines for sick leave for eligible employees of the University. HR 1.07 outlines the *Family Medical Leave* policy and 1.09 pertains to the *Other Leave Without Pay*.

## **Benefits**

This section describes benefits pertaining specifically to faculty. Otherwise, all HR policies apply to faculty as employees of the University.

All benefits are subject to state regulations, University policies and procedures, the individual plan document, and the duly executed and recorded Notice of Election forms.

***Tuition Assistance.*** Eligible faculty and staff members may apply to their supervisor, chair or dean to take, tuition-free, one three-hour course (or a four-hour laboratory course) per academic term. Eligibility is determined by the HR 1.61 Human Resources *Tuition Assistance* policy.

***Distinguished Professor and Emeritus Titles.*** Upon recommendation of the dean and approval of the Board of Trustees, the title *Distinguished Professor* is awarded to tenured full professors who do not hold named or chaired professorships in their final year of service. Upon retirement, the title is changed to *Distinguished Professor Emeritus*. A professor who holds a named or chaired professorship at the time of retirement is awarded the title *emeritus* upon

retirement. The title *emeritus* professor normally is conferred on any tenured assistant or associate professor at the time of retirement. Citations are presented to *emeritus* recipients and every effort is made to provide them with office space, parking privileges and other professional amenities.

Retired faculty members are entitled to all available benefits under law and through the state retirement system or the Optional Retirement Program. The University may provide part-time employment for retired faculty members on an annual basis. It may approve part-time service upon the written request of a retired faculty member, the recommendation of the chair or dean, and the approval of the Provost and Chancellor.

***Faculty Ombudsperson.*** The faculty ombudsperson offers an informal, impartial and neutral avenue for faculty to discuss problems or issues within the University. The faculty ombudsperson strives for impartiality, fairness and objectivity in the treatment of people and the consideration of issues.

The identity of all persons meeting with the faculty ombudsperson are kept confidential, as are all discussions between the faculty member and the faculty ombudsperson, unless permission is given to disclose the identity and/or information. The only exception to confidentiality is when such a disclosure is required by law, University policy or where there appears to be imminent risk of serious harm.

The faculty ombudsperson does not take a side in disputes. As an informal resource, they do not participate in any formal adjudicative or administrative procedure related to concerns brought to their attention. The faculty ombudsperson advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization. These unique characteristics distinguish the ombudsman from mediators, arbitrators and other alternative dispute resolution professionals.

Communications made to the faculty ombudsperson are not notice to the organization. However, the ombudsman may refer individuals to the appropriate place where formal notice to the University can be made.

While the faculty ombudsperson reports administratively to the Provost, they operate in an independent and confidential manner and have no formal decision-making authority. While maintaining confidentiality, the faculty ombudsperson will provide feedback to the administration (or others in authority) when a common issue or trend occurs.

The faculty ombudsperson adheres to the principles of the International Ombudsman Association.

## **Chapter 4**

### **Faculty Responsibilities**

USC Upstate recognizes the customary threefold role of faculty members including teaching, service and scholarship.

#### **TEACHING**

##### **Introduction**

Teaching encompasses both instruction and a broad range of faculty-student relationships. Individual attributes may vary, and the extent to which individuals exhibit an attribute may differ, but the following traits are those which are commonly valued in a teacher: command of subject matter; familiarity with advances in one's field; organization and presentation of material in a confident and logical manner through the use of a variety of methods; active involvement of students in the learning process; capacity to awaken in students an awareness of the general objectives of one's discipline; ability to make one's discipline relevant to the students' lives and values; ability to guide advanced students to creative work; maintenance of a high standard of achievement among all students; and fairness and good judgment in grading students' performance.

The extent and skill of a faculty member's participation in the general guidance and advising of students and contributions to student welfare are of importance in appraising a teacher's value to the University. A teacher's ability to communicate effectively with students is valued.

Librarian faculty members contribute to the educational mission of the University in a variety of ways that involve direct interaction with students and faculty as well as services that support the curriculum. The following traits are those commonly valued in a librarian: command of the principles of librarianship; familiarity with advances in librarianship and ability to serve users by anticipating and contributing to their needs through reference and/or research consultations, library instruction, collection development or by improving systems of organization or retrieval of information; the ability to effectively coordinate library programs and services, and to contribute to the administration of library activities by developing library policies and procedures.

Individual unit criteria for promotion and tenure and annual review provide examples of specific performance indicators.

##### **Distance Education and Online Learning**

Academic units may design and offer synchronous or asynchronous hybrid, online or other distance-based courses and programs to meet the needs of the USC Upstate student body. Based on academic unit and program needs, some faculty members may be hired with a predominantly or entirely online, hybrid or distance-based course load.

All teaching faculty should be proficient in methods appropriate to the teaching modality employed. New faculty members are required to complete a course in online teaching or provide



evidence of training completed through another institution prior to teaching any online course offerings. This training course is offered through the Department of Learning Technologies and Office of Distance Education. Faculty developing courses are expected to follow their academic unit guidelines for distance education and online learning design, delivery, assessment and evaluation.

### **Course Syllabi and Learning Outcomes**

Faculty members are responsible for clearly stating the objectives of each course they teach at the beginning of each term. Instruction should be directed toward the fulfillment of course objectives and achievement of learning outcomes. Faculty members are responsible for ensuring that the content of the courses that they teach conforms to the course descriptions published in the *USC Upstate Academic Catalog*. Faculty members are expected to distribute to students and file with their dean and division or department chair copies of current syllabi for courses taught. Faculty teaching courses remotely in online or other modes are expected to post the syllabus in their online course materials. Syllabi should include information for students stating faculty expectations, how learning is to be assessed, and grades computed.

### **Class Meetings**

Faculty workload in any teaching modality is calculated on credit hour offerings where, according to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), one credit hour meets the federal regulations for “no less than one hour of classroom or direct faculty instruction and a minimum of two hours out of class student work each week for approximately fifteen weeks for one semester” or the equivalent amount of work over a different amount of time, recognizing that programs may exercise flexibility both in the ratio of direct instruction and out-of-class work and in the delivery method of instruction.

Faculty members teaching face-to-face or remote courses with synchronous instruction are expected to meet regularly scheduled classes at scheduled times. Faculty teaching flipped, hybrid, online or other distance-based courses with asynchronous instruction are expected to meet the required credit-hour criteria through a combination of strategies which may include online lectures, simulations, discussions, case studies, interactive programs or textbooks, or other text-based or multimedia materials beyond the assigned course texts as well as faculty-student and student-student interactions that serve as the counterpart to face-to-face class participation.

In case of illness or any other emergency, faculty members notify the dean or the department chair so that appropriate action may be taken.

### **Office Hours**

Teaching involves more than classroom or online interaction with students. Teaching also includes spontaneous interaction involving courses, career counseling, advisement, and conversations outside of disciplinary matters. All faculty members teaching both traditional and online classes must post and maintain office hours. For full-time faculty members with a full teaching load, a schedule of five office hours a week, not on a single day, is considered acceptable. Faculty teaching online or other remote classes are expected to maintain office hours on campus at regularly scheduled times and to establish and post specific channels of contact (e.g. email, chat, text, phone, videoconference, face-to-face, or other communication

applications). Faculty members are expected to post their office hours for students and to submit a copy of their schedule to their dean or department chair.

### **Advising**

The University highly values strong advisement as a component of the role of teaching faculty. Integral elements of effective advising include knowledge of University academic regulations and curriculum requirements, knowledge of student referral resources, and responsiveness to student questions and concerns.

### **Final Examinations**

Final examinations are scheduled at the end of each semester or term. A calendar of examination times is published by the Office of the Registrar each semester. All final examinations must be administered during the time published in the calendar for examinations. Faculty teaching online or other asynchronous and/or distance-based courses may either administer the final examination online or as a proctored test in a controlled testing environment. Exceptions from this policy should be addressed to the department chair or dean. Instructors may allow students to switch from one examination section to another when that instructor teaches multiple sections of the same course. Laboratory examinations are normally scheduled during the last meeting of the lab.

### **Evaluation of Teaching**

Essential to the mission of USC Upstate is excellent teaching. Teaching is evaluated in a variety of ways. Student evaluations of teaching must be conducted according to University procedures. Faculty members are also encouraged to develop mid-semester evaluations or other measures as a supplement to University-administered student evaluations.

In addition, evaluations of teaching by reviewing administrators, peer evaluations, and/or formal observations and consultations through the Center for Excellence in Teaching and Learning offer valuable assessments of faculty members' teaching and suggestions for improvement of courses and pedagogical approaches. Faculty teaching online and distance-based courses may find any unit-specific evaluation procedures outlined in their academic unit's guidelines for distance education and online learning.

Ongoing course design and improvement and participation in faculty development activities related to teaching are considered further evidence that faculty members are fulfilling their teaching responsibilities.

### **Grading**

Faculty members are responsible for informing students in their classes of the methods employed in determining the final course grade and of any attendance requirements. Online or other distance-based course attendance or its participation equivalent is determined by faculty and stated in the syllabus. At the request of the student, a faculty member should make available information, an evaluation, or both, of the student's progress. Faculty members should provide students with an appraisal of their progress in the course prior to the published drop date.

As an essential element to ensure success of first-year students, faculty members teaching courses where first-year students are enrolled are expected to apprise students of their course progress early and often.

Examinations, papers and other assignments are graded within sufficient time to make meaningful contributions to the student's learning experience and are provided to the student for inspection and discussion. Similar to their face-to-face counterparts, online and other asynchronous courses should offer multiple, regular opportunities for detailed feedback from faculty on student work throughout the course. See unit guidelines for distance education and online learning for expectations about frequency, response time, and other policies for student-faculty interactions through graded work.

Final examinations are retained for one semester to provide the opportunity for review with the instructor, if the student desires.

### **Grading System**

For a detailed discussion of the current grading system, consult the current issue of the *USC Upstate Academic Catalog*.

### **Grade Reports and Changes of Grades**

All final grades are due by the date and time requested by the Registrar. Grades are entered electronically by the faculty of record. All students on the grade sheet must be assigned a grade. If a grade is assigned in error, the faculty member completes a change of grade form and submits it to the Registrar. Grade changes must be approved by the Academic Affairs Committee.

In accordance with the 1998 policy of the American Association of University Professors titled *Academic Freedom and Assignment of Course Grades*, faculty members have the right to assign grades based upon their professional assessment of student performance or upon standards agreed to in advance among faculty colleagues. Administrators may assign grades only if the teacher of record becomes incapacitated or unable to perform this function. All changes to grades must undergo review through faculty-approved processes.

### **SERVICE**

Faculty members have a responsibility to help enable the University to accomplish its mission through service to the University, the community and the profession. Since faculty members play an important role in the formulation of University policies, recognition is given to those who participate effectively in faculty governance and the development of institutional procedures, whether assigned or assumed voluntarily. Service includes contributions to local, state, national and international communities; and service leading to the advancement of a profession. Additional remuneration or University release time does not lessen the worth of such contribution in evaluating a candidate's performance.

Individual unit criteria for promotion and tenure and annual reviews provide examples of specific performance indicators.

## **SCHOLARSHIP AND CREATIVITY**

One of the responsibilities of faculty members is scholarship and creativity. Scholarship and creativity vary depending upon academic disciplines. Individual unit criteria for promotion and tenure and annual reviews provide examples of specific performance indicators. Commonly valued contributions include, but are not limited to, application of knowledge in one's academic field of interest; publication of scholarly books; articles in scholarly refereed journals; refereed conference proceedings; other publications; professional reports and reviews; scholarly presentations at state, regional, national and international conferences; participation in projects of scholarly interest; successful application for external grants; and public scholarship (See Appendix IV for statement about public scholarship). Applied research and consultation for business, industry, government, education and service agencies are also included. Because librarians' scholarship and creativity may also include facilitating the work of others, significant contributions to the research or scholarly work of others and participation in scholarly projects that result in the better organization of information or access to information are valued.

In certain fields, such as art, music, and literature, distinguished creativity and performance receive consideration equivalent to distinction attained in research and other scholarly endeavors. Creative activities often receive public recognition as reflected in professional awards, the assignment of special tasks and commissions, the acceptance of the faculty member's work in permanent collections, publication in leading professional journals or multiple publications of a significant article, invitations to participate in juried exhibits, and any other public honor. Additional remuneration or course release time for scholarship and creativity does not lessen the worth of such contribution in evaluating a faculty member's performance.

Individual unit criteria for promotion and tenure and annual reviews provide examples of specific performance indicators.

# 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.

<b>Rank</b>	<b>Maximum Probationary Period</b>	<b>Decision Date</b>
<b>Professor/librarian</b>	6 years	During fifth year
<b>Associate professor/librarian</b>	6 years	During fifth year
<b>Assistant professor/librarian</b>	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.

# Chapter 6

## Faculty Grievance Process

USC Upstate faculty members have the right to grieve decisions affecting their employment through the failure to follow appropriate written and approved policy and procedures. Such circumstances may include but are not limited to unlawful discrimination; inadequate or improper documentation; use of impermissible criteria; or denial of academic freedom.

The grievance process is reserved for instances in which all other appropriate avenues of appeal or arbitration have been exhausted. The outcome of the process is limited to recommending appropriate action to the Chancellor.

### GENERAL

The grievance process should be reserved for instances in which other appropriate avenues of appeal or arbitration have been pursued. Prior to initiating the formal grievance process, faculty members are encouraged to attempt to resolve the matter informally. These informal measures may include bringing the complaint or dispute to the individual(s) with whom there is a grievance in an attempt to resolve the problem through informal discussion, consulting with unit administrators, and/or seeking resolution through the Provost. If the grievance remains unresolved, the faculty member may begin the grievance process by submitting a written statement of the issue(s) to the Chair of the Faculty Welfare Committee. The outcome of the grievance process is limited to recommending remedial action to the Chancellor.

### DEFINITIONS

A GRIEVANCE is a complaint by a faculty member that his or her professional activities have been adversely affected. USC Upstate faculty members have the right to grieve decisions affecting their employment through the failure to follow appropriate written and approved policy and procedures. Such circumstances may include, but are not limited, to

- unlawful discrimination
- violations of USC Upstate's discrimination and harassment policies
- violations of USC Upstate's Civility Policy
- inadequate or improper documentation
- use of impermissible criteria
- denial of academic freedom.

The grievance procedure may not be used for:

1. A complaint, the resolution or remedy of which would conflict with a policy approved by



the Board of Trustees of the University, federal, state, or local law or regulation, or any contract to which the University is party.

2. A complaint pertaining to an issue within the purview of any other standing committee or policy of the University or School (for example, Promotion and Tenure decisions), unless the complaint arises from a committee's alleged failure to act or to follow the policies or procedures of the University.

A FACULTY MEMBER means any person currently holding a full-time or part-time appointment to the faculty of the University.

A GRIEVANT is a faculty member who brings a grievance as outlined in these procedures.

A RESPONDENT is the person(s) alleged to have violated a policy or procedure.

## **PROCEDURES**

When informal means fail to resolve a dispute, a formal grievance procedure may be initiated. Grievances must be initiated in writing to the Chair of the Faculty Welfare Committee. The written statement should be signed and dated and is to include (i) a factual description of the complaint or dispute resulting in the grievance; (ii) the name of the person(s) against whom the grievance is initiated; (iii) a brief description of all informal attempts at resolution (or, if appropriate, an explanation of why informal attempts at resolution were not pursued); (iv) the relief requested by the grievant; and (v) any other information that the grievant believes to be relevant or helpful. The grievant should attach to the written complaint any relevant documentation bearing on the subject matter of the complaint.

Faculty members who think that their academic freedom has been infringed may make a written request to the Faculty Welfare Committee or to the Chancellor that an investigation be made. The request should set forth in a clear and concise manner the events and circumstances upon which the charge is based.

All matters pertaining to the grievance process are to remain confidential; however, the Chair of the Faculty Welfare Committee may consult with the Chair of the Faculty to determine whether matters of procedure have been followed. Upon receipt of the statement of grievance, the Chair of the Faculty Welfare Committee will notify the respondent of the grievance and assemble a grievance hearing panel within 15 days (all time periods are business days). In the event a statement of grievance is received on or after May 1, the Chair of the Faculty Welfare Committee will assemble a grievance hearing panel at the earliest date all parties are available, but no later than August 15.

The grievance hearing panel is selected from a grievance pool. The Chair of the Faculty Welfare Committee ensures that the pool is elected annually at the beginning of the fall term to serve for one calendar year. The membership of the grievance pool consists of one tenured faculty member from each academic unit. Members may not have faculty administrative or

supervisory responsibilities. Membership in the grievance pool does not preclude service on other standing University committees.

Upon receiving a request for a grievance hearing, the Chair of the Faculty Welfare Committee randomly draws the names of three grievance pool members. Members of the grievant's academic unit are excluded from participation, and selected pool members may excuse themselves from the panel. The grievant and the respondent each have the right to challenge one of the three grievance pool members. In the event of a challenge or self-disqualification, a replacement will be randomly drawn from the pool. The three selected members of the grievance pool serve as the hearing panel and elect their own chair.

The chair of the panel then gathers any additional information pertinent to the grievance. Requests for information must occur within 15 days of the election of the chair of the hearing panel. Requested materials must be received by the chair of the panel within 15 days of the request. Once these materials have been collected, the chair of the panel consults with the grievant and the respondent and sets a hearing date. The grievant may request a closed hearing. The chair of the panel then sends written notification that a grievance has been filed to all parties to the grievance, the grievance hearing panel, any party required for the proceedings, and the Chair of the Faculty Welfare Committee. Notification includes the date, time, and place of the grievance hearing, as well as all information pertinent to the grievance. The hearing date must be within 15 days of the notification.

The chair of the panel presides over the grievance hearing. The grievant and the respondent have the right to be present throughout the hearing; however, the grievant and/or respondent may waive, in writing, the right to be present at the hearing. Both parties have the right to have an advisor or legal counsel present during the grievance hearing. Both parties have the right to cross-examine witnesses.

Upon conclusion of the hearing, the panel deliberates and produces a recommendation to the Chancellor. The chair of the panel provides the recommendation and its rationale, in a written notification, to the hearing panel, all parties to the grievance, the Chair of the Faculty Welfare Committee, and the Chancellor.

Within 15 days, the Chancellor provides a written decision and written justification to the hearing panel, all parties to the grievance, and the Chair of the Faculty Welfare Committee.

## Chapter 7

### Termination of Tenured Faculty

Faculty can be subject to two types of termination.

#### ADMINISTRATIVE TERMINATION

Administrative decisions for termination or dismissal of tenured faculty will only be for cause. "Cause" shall mean one or more of the following:

- *failure to complete the remedial conditions of a negative post-tenure review and/or to remedy the concerns raised by the review;*
- *failure to perform adequately the duties of the position so as to constitute incompetence and/or habitual neglect of duty, including, but not limited to, failure to satisfy the conditions of the remediation process established as the result of a negative post-tenure review;*
- *misconduct related directly and substantially to the fitness of the faculty member in his or her professional capacity as a teacher, researcher, or librarian;*
- *conduct or action which is not protected by the Constitution or laws and which clearly interferes with the academic functions of the University;*
- *prolonged inability for medical reasons to perform the duties required for the position; termination of a tenured faculty member for medical reasons will be based upon clear and convincing medical evidence that he or she cannot continue to fulfill the terms and conditions of appointment;*
- *lapse or withdrawal of licensure to practice in the State of South Carolina; the loss of licensure in any professional area may also be considered as a cause for termination if the license is necessary for the performance of one's academic duties; and*
- *bona fide reduction in staff, which may be caused by financial exigency or by discontinuance or reduction in size of a program or instructional unit for reasons not related to financial exigency.*

After it becomes evident to the Chancellor that termination may be desirable, there must be discussions between the faculty member and the Chancellor with the intent of arriving at a mutually agreed-upon resolution. The Chancellor may assign the faculty member to new duties if his or her continuance in normal duties threatens immediate harm to the faculty member or to others.

If the Chancellor and the faculty member are unable to reach a resolution, the

Chancellor informs the Chair of the Faculty Welfare Committee of his or her intention to terminate a tenured member of the faculty. The Chancellor gives this Chair and the faculty member a statement of charges, framed with reasonable particularity, and the basis for these charges, also stated with reasonable particularity.

The Chair of the Faculty Welfare Committee draws by lot the names of three members from the grievance pool, excluding those from the faculty member's academic unit, to serve as a Grievance Panel. The panel chooses its own chair. The function of the Grievance Panel is to determine whether the facts alleged, if true, establish the charge and whether the charge is of such a nature as to warrant termination. The discussions, records, and recommendations of the Grievance Panel remain confidential.

Within 20 days after its formation, the Chair of the Grievance Panel informs in writing both the Chancellor and the faculty member of its recommendations and the reasons for those recommendations. All days referred to in the procedure are calendar days. When the last day of the time period falls on a weekend or University holiday, the effective date is the next regular business day. The day following the actual day of notification is counted as the first day.

Should the Chancellor then wish to pursue termination proceedings, the Chancellor informs in writing the faculty member of his or her intention to terminate, including a precise statement of specific charges. The letter shall also inform the faculty member of his or her right to request a hearing by the Promotion and Tenure Committee.

If a faculty member does not request a hearing by the Promotion and Tenure Committee within ten days of receipt of notification by the Chancellor, the Chancellor, without recourse to further proceedings, may send a written letter of termination.

If a faculty member desires a hearing by the Promotion and Tenure Committee, he or she must inform the Committee and the Chancellor in writing within 10 days of the receipt of notification by the Chancellor of the proposed termination.

Upon receipt of a written request for a hearing, the Chair of the Promotion and Tenure Committee schedules a hearing no sooner than 20 days and no later than 60 days from the date of receipt. All parties must be given written notice as to the time, date, and place.

The following standards and procedures apply to the conduct of the hearing:

- *The hearing is closed.*
- *A verbatim record of the hearing(s) is taken and a copy made available to the faculty member, without cost, at his or her request.*
- *The burden of proof that adequate cause exists rests with the Chancellor and is satisfied only by clear and convincing evidence in the record, as established at the hearing, considered as a whole.*

- *Faculty members and the Chancellor are permitted to have an academic advisor and/or counsel of their choice present during the proceedings.*
- *Faculty members are afforded an opportunity to present their case and to defend themselves, to obtain necessary witnesses, and documentary or other evidence. The Chancellor cooperates with the Committee in making available documentary or other evidence.*
- *Faculty members and their advisors or counsel and the Chancellor or his or her representative have the right to confront and to cross-examine all witnesses. Where the witness cannot or will not appear but the Committee determines that the interest of justice requires admission of witnesses' statements, the Committee identifies the witnesses and, if possible, provides for interrogatories.*
- *The Committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every possible effort is made to obtain the most reliable evidence available.*
- *The findings of fact and the decision of the Committee are based solely on the hearing record.*

If it concludes that adequate cause for termination has been established, the Promotion and Tenure Committee informs the Chancellor and faculty member in question.

If the Committee concludes adequate cause for termination has not been established, or that an action short of termination is more appropriate, the Committee makes a recommendation to both the Chancellor and the faculty member giving supporting reasons. The Committee may recommend to the Chancellor that the proceedings for termination stop.

Within 10 days of receipt of the Committee's report, the Chancellor informs in writing the faculty member and the Committee of his or her decision together with supporting reasons. The Chancellor informs the faculty member of his or her right to appeal an adverse decision to the President of the University. Should the President also render an adverse decision, the faculty member, within 10 days, may appeal to the Academic Affairs and Faculty Liaison Committee of the Board of Trustees.

The Academic Affairs and Faculty Liaison Committee has 30 days to render a decision. If the faculty member takes no action within 10 days of receipt of notification by the Chancellor, the Chancellor may send a letter of termination.

### **Final Decision**

The decision by the Academic Affairs and Faculty Liaison Committee of the Board of Trustees is final within the University. If the Board's decision is to support the intention of the Chancellor, the Chancellor may then send formal notification of termination.

## **TERMINATION BECAUSE OF BONA FIDE REDUCTION IN STAFF**

### **Termination Because of Financial Exigency**

Financial exigency means an imminent financial crisis that threatens the survival of the University as a whole and which cannot be alleviated by less drastic measures than termination of tenured faculty members.

A committee of the faculty must participate with the administration in the decision that a condition of financial exigency exists or is imminent and that all feasible alternatives to termination of tenured appointments have been pursued. This committee shall consist of eight members of the faculty, no more than two from the same school, appointed by the Faculty Chair with the concurrence of the Faculty Advisory Committee. The committee must participate in the formulation of criteria for determining termination. Length of service must be appropriately included among the criteria; senior faculty will be given preference for retention. The Faculty Advisory Committee itself or through appointing persons and/or groups as agents must participate in the decision as to which appointments are to be terminated.

Faculty members receiving notification of an intention to terminate because of financial exigency are entitled to a hearing before the Promotion and Tenure Committee as specified above.

The issues in this hearing may include the following:

- *the existence and extent of the condition of financial exigency. The burden rests upon the Chancellor to prove the existence and extent of the condition;*
- *the validity of the educational judgments and criteria for determining termination; and*
- *whether the criteria are being properly applied in the individual cases.*

### **Termination Because of Reduction in Program or Instructional Unit**

The decision to discontinue or reduce a program or instructional unit is based upon long-range judgments that the educational mission of the University as a whole is enhanced by the discontinuance in contrast to considerations that reflect cyclical or temporary conditions.

The decision to discontinue or reduce a program or instructional unit must be arrived at jointly by the Chancellor and the Faculty Advisory Committee as described above under *Termination Because of Financial Exigency*.

Every effort must be made to place tenured faculty members affected by discontinuance in another suitable position within the institution. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be offered. Only if no position is available may a tenured member of the faculty be terminated for reasons of discontinuance.

A tenured faculty member receiving notification of an intention to terminate because of

discontinuance is entitled to a hearing before the Promotion and Tenure Committee in accord with the procedures described above. A faculty member receiving notification of an intention to terminate because of discontinuance or reduction in program or instructional unit is given twelve months' notice.

In all cases of termination of appointment, the place of the faculty member concerned is not to be filled by a replacement within a period of three years, unless the released faculty member is offered reinstatement and 10 working days in which to accept or decline the position.

# APPENDICES

## APPENDIX I – BOARDS, COMMISSIONS AND UNIVERSITY OFFICERS

### BOARD OF TRUSTEES

The University of South Carolina was chartered by the South Carolina General Assembly in 1801. The University is a body corporate and politic, in deed and in law under the name of the University of South Carolina. Several sections of the University's enabling legislation and bylaws are summarized below.

#### **Composition (Section 59-117-10, as amended)**

The Board of Trustees of the University of South Carolina shall be composed of the Governor of the State (or designee), the State Superintendent of Education, the President of the Greater University of South Carolina Alumni Association, which three shall be members *ex officio* of the Board; and seventeen other members including one member from each of the sixteen judicial circuits to be elected by the general vote of the General Assembly as hereinafter provided, and one at-large member appointed by the Governor. The Governor shall make this appointment based on merit regardless of race, color, creed, or gender and shall strive to assure that the membership of the Board is representative of all citizens of the State of South Carolina. The Officers of the Board of Trustees are the *ex officio* Chair who is the Governor of South Carolina; the Permanent Chair; the Vice Chair; the Chair Emeritus, if applicable; and the Secretary of the University and the Board.

#### **Terms of Elected Members (Section 59-117-20, as amended)**

The regular term of office of each trustee elected by the General Assembly shall be four years; however, such trustee shall continue to function as a trustee after his term has expired until his successor shall have been elected and qualified.

#### **Vacancies, Compensation (Section 59-117-30, as amended)**

In case a vacancy should occur in the Board among the members elected by the General Assembly, the Governor may fill it by appointment until the next session of the General Assembly. Any vacancy occurring in the office of the member appointed by the Governor shall be filled for the remainder of the unexpired term by appointment in the same manner of the original appointment. Each member of the Board shall draw such per diem and expenses as from time to time may be allowed boards, commissions and committees.

#### **Powers of the Board**

The Board of Trustees of the University of South Carolina is and is hereby constituted a body corporate and politic, in deed and in law under the name of the University of South Carolina. Such corporation has the following powers:

- (1) *Elect a President of the University to serve at the will of the Board or for such term and compensation as the Board may prescribe;*
- (2) *Elect a Secretary of the University and of the Board to serve at the will of the Board*



*or for such term and compensation as the Board may prescribe;*

- (3) Elect a Treasurer of the University to serve at the will of the Board or for such term and compensation as the Board may prescribe;*
- (4) Establish policies and goals of the University and direct the President to implement and achieve those policies and goals;*
- (5) Review and approve academic plans, including new programs and new units, and major modifications or deletions in existing programs and units;*
- (6) Approve, upon recommendation of faculties and the President, the earned degrees awarded;*
- (7) Designate academic chairs and professorships, award honorary degrees and name buildings or major portions thereof, other structures, streets, and geographic areas;*
- (8) Levy fines and charges and examine from time to time admissions policies as established by the faculties and the administration;*
- (9) Review and approve requests for appropriations;*
- (10) Review and approve annual budget and budget charges;*
- (11) Approve all gifts where restrictions are indicated, designate the use of unrestricted gifts, and approve and designate the use of testamentary gifts;*
- (12) Approve all loans, borrowing and issuance of bonds;*
- (13) Approve or authorize the Executive Committee to approve appointments and salaries or principal officials which shall be defined as those persons elected by the Board as provided in Paragraphs 1, 2, and 3 above, as well as University officers having the rank of Vice President or Chancellor or equivalent rank;*
- (14) Approve compensation policy for faculty and staff, honorary faculty titles, and extension of service;*
- (15) Approve all long-range development plans for the University including major capital projects;*
- (16) Approve or delegate authority for approval of all major contractual relationships and other major legal obligations executed in the name of the University;*
- (17) Approve or authorize the Executive Committee to approve all sales or purchases of real property, and ensure that all properties of the University are preserved and maintained;*

- (18) *Establish investment policies and procedures that will provide for the prudent investment and preservation of funds entrusted to the University;*
- (19) *Establish auditing policies and standards and appoint independent auditors; and*
- (20) *Establish and maintain within the administrative procedures of the University the policy and practice that the administrators of the University covered under Paragraphs 1, 2, and 3 above shall serve in such capacities at the will and pleasure of the Board; that the administrators of the University having the rank of Vice President, Chancellor, University Campus Dean, Academic Dean, Director or the equivalent thereof, and any other person reporting directly to the President, shall serve in such capacities at the will and pleasure of the President. It is understood that the employment of such administrators shall be on customary terms of University employment and there shall be no separate employment agreements; provided, however, it is further understood that no Athletic Department administrators will be given employment agreements in excess of one year without prior approval of two-thirds vote of the entire Board of Trustees (14 or more).*

The powers of the Board are prescribed by the provisions of Section 59-117-40, et seq., Code of Laws of South Carolina (1976), as amended.

### **The Executive Committee**

The Executive Committee shall consist of the permanent Chair of the Board of Trustees, the Vice Chair of the Board of Trustees, the Chair Emeritus of the Board of Trustees, if applicable, and not more than three other elected members of the Board who shall be elected as hereinabove provided.

The Executive Committee, during the interim between meetings of the Board, shall have all the powers of the Board of Trustees not inconsistent with the established policies of the Board or with any action theretofore taken by the Board provided, however, that the Executive Committee shall not preempt the role of a standing committee as stated in Section 1 of Article VI except in those emergency circumstances which do not permit the handling of a matter in the normally prescribed manner. The Executive Committee shall function as a continuous planning and financial committee of the Board, exercising general supervision of the finances of the University; shall review in advance the proposed budget for the succeeding year; and shall review in advance the proposed application for appropriations for the succeeding fiscal year in the light of overall University plans. It shall make reports to the Board at each meeting on all such matters occurring since the previous meeting.

The Executive Committee shall provide for an appropriate fidelity surety bond or bonds covering all officers, agents, and employees of the University who at any time shall hold any property or funds of the University and for appropriate officers' and directors' insurance to insure the officers and members of the Board against liability arising by virtue of the acts of such officers or Board members in their official capacity with the University.

**The Academic Affairs and Faculty Liaison Committee [Authorized by Article XIV of the Bylaws of the University of South Carolina, revised February 19, 1993, as amended.]**

The Academic Affairs and Faculty Liaison Committee shall consist of not less than three or more than eight members of the Board appointed by the Executive Committee following the October Board meeting of each even year. The members so appointed shall elect a Chair of the Committee at the first scheduled meeting following such appointment. The term of the office of Committee Chair shall be for two years from the date of election until the appointment of Committees by the Executive Committee in the next even year. The Committee Chair shall be eligible for re-election for not more than one additional consecutive term. In the event a vacancy occurs in the office of Committee Chair, the remaining members of the Committee shall elect a new Chair to complete the term of the vacating Chair at the first meeting of the Committee following the occurrence of such vacancy. Such service in completing a term shall not limit the Board Member so elected from serving two additional consecutive terms as Chair provided above.

The Committee shall be kept informed of all academic programs; of the conditions affecting recruitment and retention of faculty members; of the adequacy of instructional facilities; of the proposal of new degrees, major programs, or institutes; of the proposal to eliminate existing degrees, major programs, and institutes; and of such other matters relating to the educational policies and programs as may be brought before it or referred to it by the Board. It shall consider the development of new programs, degrees, institutes, and research for submission to the State Commission on Higher Education.

It shall consider and make recommendations to the Board with respect to the naming of any academic centers, institutes, or other such programs. It shall report on all such matters to the Board from time to time with such recommendations as it may consider relevant to the achievement of the University's goal of academic excellence. The Committee shall consider recommendations for tenure and promotion; honorary faculty titles; extensions of service; and appointments with tenure.

The Committee shall meet from time to time with the faculty-designated representatives, who shall have been chosen by the University faculty, on matters of concern to the faculty, and to the Board, and shall keep the Board informed of all such matters. The Committee shall review from time to time all recommendations made by the President or the Faculty Committee on Honorary Degrees and shall recommend therefrom to the Board appropriate recipients of such degrees. Approval by a three-fourths vote of the members present at the Board meeting next following the meeting at which the recommendation is made shall be required to approve the granting of such honorary degrees.

The Committee shall likewise serve as the final forum of appeal in all faculty matters pertaining to revocation of tenure and dismissal of tenured faculty members.

**Faculty and Student Representatives to the Board of Trustees**

The board, in June 1976, adopted a resolution clarifying references in its bylaws to temporary and non-voting representation at open meetings of the board from the University faculty and student government. The president of the student government at Columbia and the chair of the Faculty Senate shall be invited to sit personally in all meetings of the full board,

except executive sessions thereof, with full right to participate in the board's discussions but without the right to vote on any matter. It is a non-transferable privilege.

**SPARTANBURG COUNTY COMMISSION FOR HIGHER EDUCATION**

**Composition**

The Spartanburg County Commission for Higher Education is composed of seventeen members appointed by the Governor on the recommendation of a majority of the Spartanburg County Legislative Delegation. The membership includes one resident from Greenville County and one resident from Cherokee County.

**Terms of Members**

The terms of service for each member shall be four years, or until their successors shall have been appointed.

**Powers and Duties**

The Commission is empowered to enter into contracts, make binding agreements, negotiate with educators and educational institutions, subject to existing legislative authority and generally, to take such actions in its name as are necessary to secure for Spartanburg County and adjacent areas the necessary educational facilities to provide higher education. It shall act in the encouragement of higher education in Spartanburg County and adjacent areas.

The Commission shall approve or authorize the Executive Committee to approve all purchases, sales or leases of real property, and ensure that all properties of the Commission are preserved and maintained.

**Board of Advisors**

The Commission is authorized to appoint from Spartanburg County and adjacent areas a Board of Advisors (referred to in Act No. 36 of the 1967 Session of the General Assembly of South Carolina as the Educational Advisory Committee), which shall meet and consult with the Commission from time to time, as may be required.

**Compensation**

All members of the Commission and the Board of Advisors shall serve without compensation or fees.

**UNIVERSITY OFFICERS**

**President**

The President of the University is the chief executive officer of the University System and shall exercise such executive powers as necessary for its appropriate governance under the authority of the Board. The President shall be the primary spokesperson for the University to the alumni of the institution, the news media, the educational world, and the general public and shall administer University policies as promulgated by the Board, speak for the University as its official head, and coordinate all activities of each campus of the institution directly or

through designated representatives. The President shall report directly to the Board of the current affairs of all components of the University System and shall discuss with the Board basic issues, new or alternative directions, and recommendations on new policies. The President shall direct, coordinate and implement the planning, development, and appraisal of all activities of the University System and shall be directly responsible to the Board for its operation. The President is assisted in directing the affairs of the University by an Executive Assistant and the Vice President of the University.

### **Vice President for Academic Affairs and Provost**

The vice president for academic affairs and Provost is the second ranking officer of the University and is empowered to act for the president in the absence of the chief executive officer. The Provost has the responsibility for the overall supervision of academic affairs of the University and for ensuring the integrity of the academic mission of the institution. This officer is appointed by the president and confirmed by the Board of Trustees. The Provost is responsible for curriculum development and academic standards in the schools and colleges of the Columbia campus and represents all campuses of the University system on academic issues to the Commission on Higher Education. The Provost provides budgetary oversight for all USC Columbia academic units and academic support areas and manages the academic and strategic planning processes for those units. The Provost oversees the tenure and promotion process; the sabbatical, faculty awards and endowed chairs programs; faculty recruitment and retention; academic leadership development; the development and approval of all academic programs, University policy and procedures; and University accreditation. The Provost also supervises such academic support services as the University libraries, records and registration, and the University press, and will, when requested to do so by the president, represent the president at such times and places as may be appropriate.

Serving under the vice president for academic affairs and Provost are the vice, associate and assistant Provosts, the academic deans and the department chairs.

### **Secretary of the University and the Board of Trustees**

The Secretary of the University and of the Board of Trustees shall be elected by the Board to serve at the will of the Board and shall be one of the principal officers of the University System. The Secretary of the Board shall serve as the official medium of communication within the University System between the Board of Trustees, on the one hand, and the University faculty, administrative officers, individual members of the staff, student organizations, and students, on the other.

The sole exception to this rule of procedure shall be communications made directly to the Board or its members by the President. The Secretary shall perform other duties as may be assigned to him to the Board or by the President.

### **Treasurer of the University**

The Treasurer shall be elected by the Board. Under the supervision of the President, this officer shall be responsible for all accounting functions and for all funds of the University System and shall furnish to the Board or to the President at any time requested a financial statement of the University and shall at least once during each fiscal year supply all members of

the Board with a combined revenue and expenditure report of the University. The Treasurer shall also perform other duties as may be assigned by the Board or by the President.

### **Chancellor**

The Chancellor for USC Upstate is the chief administrative officer of the campus. The Chancellor is responsible for the operation and development of the campus and the implementation of applicable University policies. The Chancellor reports to the President.

### **Provost and Senior Vice Chancellor for Academic Affairs**

The Provost and Senior Vice Chancellor is appointed by the Chancellor. The Provost and Senior Vice Chancellor is responsible for curricula planning and development of the total educational program, responsible for faculty, library, and other academic services, including extended learning and continuing education. The Provost and Senior Vice Chancellor for Academic Affairs represents the Chancellor when appropriate.

### **Vice Chancellors**

*Vice Chancellor for Administrative and Business Affairs* is appointed by the Chancellor and is responsible for the planning, management and supervision of financial and facilities operations, auxiliary services, campus safety and security and related administrative operations.

*Vice Chancellor for University Advancement* is appointed by the Chancellor and is responsible for fundraising, University communications, alumni relations and special events, and also serves as executive director of the USC Upstate Foundation.

*Vice Chancellor for Information Technology and Services* is appointed by the Chancellor and is responsible for the design, management, maintenance, and continuous improvement of the technology and software infrastructures supporting the University's information and communication systems.

*Vice Chancellor for Greenville Campus* is appointed by the Senior Vice Chancellor for Academic Affairs and is responsible for the coordination of advisement, student affairs and facilities management within University sites in Greenville.

### **Dean of Students**

The Dean of Students is appointed by the Chancellor and is responsible for student life, counseling services, health services, disability services, judicial and related student affairs.

### **Director of Athletics**

The Director is appointed by the Chancellor and is responsible for the supervision of the University's Division I athletics program.

### **Director of University Boards and Public Affairs**

The Director is appointed by the Chancellor and is responsible for the management of the affairs of the Spartanburg County Commission on Higher Education, for legislative and governmental liaison and for special projects of the Office of the Chancellor.

### **Academic Deans**

Deans are appointed by the Chancellor upon recommendation from the Senior Vice Chancellor for Academic Affairs following the prescribed search procedures (see Chapter 5, *Procedures*). The dean is the chief academic administrator of a college or school. Deans report directly to the Senior Vice Chancellor for Academic Affairs. Deans are responsible for the personnel and program administration of the college or school; they review curricula and programs in the school or college; they appoint chairs of departments and assign their duties; they supervise the use of funds, space, and equipment; and prepare the budget of the school or college. Deans are the presiding officer of the faculty of the school or college. Deans of colleges or schools that are not departmentalized also have the duties and responsibilities of department chairs (see below). Deans consult the faculty of the college or school on significant matters concerning academic personnel and curricula.

### **Dean of Library**

The Dean of Library is appointed by the Senior Chancellor for Academic Affairs and serves as the chief librarian of the University and as a member of the Information Technology Team.

### **Department/Division Chairs**

Department/Division chairs are appointed following the prescribed procedures. The chair is responsible for implementing University policies as they apply to the affairs of the unit. The chair is responsible for personnel and program administration within the unit. The chair consults and seeks the advice of the faculty with respect to educational policy and unit governance. When delegated by the dean, they represent the dean of their school.

## **APPENDIX II – BYLAWS OF THE FACULTY SENATE**

See also the description of the Faculty Senate in Chapter 2 of the Faculty Manual.

### **Purpose and Responsibilities**

The Faculty Senate of the University of South Carolina Upstate, having been created by direction of the University faculty to act by and for that body, is endowed with all the powers and responsibilities of the University faculty except for those powers specifically reserved by that body to itself, provided that the University faculty may amend or repeal any actions of the Faculty Senate. Powers specifically reserved by the faculty include, but are not limited to, election of faculty officers and committee members.

### **Members**

The Faculty Senate membership is composed of full-time faculty members elected from each academic unit.

Representation on the Faculty Senate shall be allocated as follows: one representative for every seven full-time faculty members (or portion thereof) for each academic unit. Representatives of academic units shall be elected by the members of that unit. These representatives shall be elected prior to the General Faculty Meeting of the fall semester, except that a vacancy shall be filled as soon as practicable according to the procedure described above.

The Faculty Chair shall designate terms of one, two, and three years for Senate members so that approximately one-third of the members will be elected each year. This designation shall be made so that each electoral unit will have a reasonable balance of experienced members each term. Thereafter members of the Senate shall have terms of three years, unless chosen to fill an unexpired term.

Beginning in 2012, the Faculty Senate will be re-apportioned every three years. At the request of the Faculty Chair, administrators of each academic unit will provide a list of all voting members in the unit. The Faculty Chair shall notify the administrator of any decrease or increase in the number of the unit's senators.

A reduction in voting membership of an academic unit shall not result in the removal of any senators until the expiration of their terms. An increase in voting membership of an academic unit during the year shall not increase the number of representatives to which that unit is entitled for that year.

### **Officers**

The presiding officer of the Senate shall be the Faculty Chair. The Faculty Chair-elect shall serve as presiding officer in the absence of the Faculty Chair and as parliamentarian for meetings of the Faculty Senate. The recording Secretary shall record and distribute to the faculty written minutes of Senate meetings, and annually compile and publish a summary of Senate actions. The immediate past Faculty Chair continues to serve as a faculty officer.

The four aforementioned officers are voting members of the Senate, except that the



presiding officer shall vote only to break a tie.

### **Procedures, Stipulations, and Conduct of Business**

The Senate shall follow Robert's Rules of Order (Revised) unless otherwise stipulated.

Only members of the Faculty Senate may present motions and vote. Any member of the University faculty may attend any Senate meeting and speak on matters brought before the Senate.

Votes taken in the Faculty Senate may be by voice, show of hands, or electronic means. Any senator may request a secret ballot. Voting in elections must be conducted by secret ballot.

Faculty Committees shall report directly to the Faculty Senate. An agenda is prepared prior to the Senate meeting by the Faculty Chair and is distributed to all faculty members at least five business days prior to the Senate meeting. Senate members may contribute to the agenda by submitting items to the Faculty Chair ten days prior to the meeting.

The Faculty Chair shall call a faculty meeting for the purpose of reconsidering an action of the Senate upon receipt of a petition signed by 25% of the voting members of the faculty; a decision made by the Senate may be overruled at a regular or called general faculty meeting by a majority of the full faculty membership.

### **Meetings**

Regular meetings of the Senate shall be held monthly during the academic year.

A majority of the members of the Senate shall constitute a quorum.

Special meetings of the Senate can be called by the Faculty Chair upon the written request of ten members of the Senate or by the Chancellor, Senior Vice Chancellor for Academic Affairs, or the Faculty Chair. The specific purpose of the meeting must be stated in the call.

At least three business days' notice shall be given to the faculty and the meeting must be held within eight business days from the receipt of the written request.

### **Committees of the Senate**

The Faculty Chair may create ad hoc committees when the need for such committees arises.

### **Amendment of Bylaws**

These bylaws can be amended at any regular meeting of the Faculty Senate by a two-thirds vote, providing that the amendment has been submitted in writing at a previous regular meeting.

### **Publication of Bylaws and Rules**

The bylaws of the Faculty Senate shall accompany the Faculty Manual in such form as may be convenient for distribution.

## APPENDIX III – EMPLOYMENT LEAVE PROCEDURES

More information on employment-related policies and procedures for USC Upstate faculty can be found in Chapter 3 of the *Faculty Manual*.

### Sabbatical Leave

The purpose and eligibility requirements for sabbatical leave are discussed in Chapter 3 of the *Faculty Manual*.

Each academic unit may have no more faculty members on sabbatical leave in any academic year than is determined by reference to the following table:

Number of Faculty Eligible for Sabbatical Leave in the Academic Unit	Number of Sabbatical Leaves Available Pending Availability of Funds
0-7	1
8-14	2
15-21	3
22-28	4

In case more faculty members in a given academic unit apply for a sabbatical leave in a given year, the priority order will be determined in order of preference by the quality of the proposal, by rank (professors to be selected before associate professors, etc.), and finally, by the number of years of service since the last sabbatical leave.

Faculty members notify their supervisors by the first Wednesday in September of their desire to take a sabbatical the following academic year so that budget planning may begin. They also begin making appropriate contacts and tentative arrangements at this time so that a detailed proposal can be submitted to the chair of the Faculty Excellence Committee by the first Monday in October.

A sabbatical proposal includes a statement of the purpose and nature of the sabbatical project; a description of the importance of the work to the mission of USC Upstate; a description of the methodology to be used; a statement of the results anticipated from the sabbatical; and an indication of why a sabbatical leave is necessary for the conduct of the project (i.e., why the project is not within the normal scope of scholarly or service activities expected routinely of faculty members). The proposal should include the following attachments:

- a vita, including dates of employment at USC Upstate and previous sabbaticals
- a signed letter of support from the dean (and unit chair if appropriate)
- a timeline for the work to be done

- a budget (if additional funding will be needed)
- if another agency, organization, or institution will be involved, a letter indicating its intent to cooperate with the project
- a statement detailing any expected outside compensation or reimbursement

The Committee reviews and ranks the proposals according to the following criteria:

- quality of the proposal (clarity of work to be done, completeness of proposal, justification of need for sabbatical)
- contribution the sabbatical will make towards strengthening the faculty member as a scholar and teacher
- contribution the sabbatical will make towards fulfilling the mission of the University
- practicability of the proposal in light of available resources for the project
- number of years faculty have served at USC Upstate since their last sabbatical, if any
- results of earlier sabbaticals, if any

The Committee forwards the ranked proposals to the Provost by the first Monday in November. The Provost decides if sabbatical release can be accommodated through the reassignment of faculty, hiring of part-time faculty, or by other means and notifies the faculty of approval or disapproval of the sabbatical leave request by the first Wednesday in December. If approved, well before beginning the sabbatical leave, the faculty member meets with the dean to assure that normal responsibilities are covered, and with the Director of Human Resources to make arrangements for continued insurance coverage (including notifying the host organization, if any, of such arrangements), and for continuing retirement payments (for year-long leaves), etc.

Proposals rejected by the Provost will contain a clear statement as to the reasons for the rejection, either (1) logistical (e.g., insufficient funds) or (2) substantive (e.g., proposal was without sufficient merit or failed to meet appropriate criteria).

Within two months after the start of the major semester in which the faculty member returns the faculty member who received the sabbatical must submit a report describing accomplishments and the current status of the project to the Chair, Faculty Excellence Committee. The Committee reviews the reports and forwards them to the Provost. The Provost distributes the reports to the heads of the appropriate voting units, and places copies in the archives of the USC Upstate library.

### **Modified Duties**

Documentation required for Modified Duties includes the Modified Duties Semester Form, a letter of request or explanation and documentation as to the circumstances relevant to the request.

1. The Modified Duties Semester Form must be completed by faculty eligible for an automatic modification of duties semester or who need to request a modification

duties semester.

2. A letter from the faculty member should be addressed to the faculty member's chair and/or dean outlining the reasons for the modified duties semester. This letter should be attached to the Modified Duties Request Form and the documentation relevant to the request. In the case of a birth or adoption, the faculty member should also attach a statement confirming their responsibilities as primary or secondary caregiver during the modified semester.
3. In all situations, documentation should be supplied of the relevant event(s) or circumstances necessitating the request for modified duties. Such documentation may be a letter from a physician or healthcare provider, adoption agency or law firm, or documentation of other situations as appropriate.

All documentation required for an extension must be submitted and approved by the chair and/or dean and the Provost. Once the Provost approves, a copy of the approved Modified Duties Semester Form is sent to the faculty member, the chair and/or dean's office. A copy of the approved paperwork is also sent to the provost's office in Columbia for notification of the approval.

Normally the budget of the academic area of the faculty member having a modified duties semester is responsible for funding the semester as to coverage of classes, etc., that arise as a result of this action.

See USC system policy for modified duties <http://www.sc.edu/policies/ppm/acaf160.pdf>

See USC Upstate procedures for modified duties:

<https://www.uscupstate.edu/globalassets/facultystaff/policies/modified-duties-semester-for-faculty.pdf>

### **Fellowship Leave**

The procedures for pursuing Fellowship Leave are found in the "Compensation for Fulbright Scholars" (ACAF 7.09):

<https://www.uscupstate.edu/globalassets/facultystaff/policies/compensation-for-fulbright-scholars.pdf>

The University of South Carolina Upstate is committed to supporting faculty who are named Fulbright Scholars, and providing fair and equitable compensation for all awardees. This policy has been reviewed and supported by all deans at the University.

Upon notification of the award the faculty member submits a letter to the appropriate dean requesting a leave with partial pay as a Fulbright Scholar and completed Leave with Partial Pay Form. Copies of official Fulbright Award documentation are to be included with the letter and form.

Leave and compensation are documented with an approval Leave with Partial Pay form.

The faculty member receives compensation of Leave with Partial Pay in the form of 50% of the semester base for a semester leave of 50% of the academic year base salary for a year leave.

The appropriate dean will retain the salary savings as vacancy savings to hire temporary replacements (whether one half semester base salary or one half academic year base salary.)

This formula is not dependent on the number of required semesters as a Fulbright Scholar, the amount of the award, the country visited, or the expenses of the individual faculty member's circumstances.

## APPENDIX IV – TEACHING, RESEARCH, AND SERVICE

More information on the three areas of responsibility – teaching/librarianship, scholarly and creative activities, and service can be found in Chapter 4 of the *Faculty Manual*.

### **Administration of Student Opinion Polls**

All faculty members must have student opinion polls administered in every course they teach, including pass-fail courses, labs, performance courses, distance-education courses, practica, military courses, courses carrying one semester hour or more of credit, and team-taught courses, but not in courses with just one student. The administration is responsible for seeing that all polls are administered and that the appropriate procedures are followed.

A question mandated by the South Carolina Commission on Higher Education must appear on all student opinion polls: “The instructor is available during posted office hours, by appointment, or through email.

All student opinion polls must use the same evaluation scale.

If student opinion polls are administered during the regular face-to-face class time, the professor must remain outside the room.

Professors will not receive the results of the polls until after their grades have been turned in to the Registrar.

### **Research Policies**

***University Funds.*** Annually, the University assigns a moderate sum for research purposes through the Teaching and Productive Scholarship Fund (TAPS). Application for TAPS funding is made to the Faculty Excellence Committee.

***Outside Funds.*** Faculty members interested in externally sponsored research should consult with their chair, dean, and administrators with responsibilities for research, grants and advancement. To facilitate such support, the University serves as the contracting authority, and the Office of Sponsored Awards and Research Support assists in the preparation of proposals and in locating interested sponsors. A University signatory authority must approve any commitment to an outside agency that involves University participation. The University contributes to sponsored research when the work involved is significant to the purpose of the University.

***Payments for Research.*** Normally, payments to researchers are limited to the rate of pay they receive as members of the faculty.

***Relation of Research to Teaching Duties.*** Faculty members who have received a reduction in teaching in order to conduct research or perform other University duties are permitted, with the approval of their dean and the Senior Vice Chancellor for Academic Affairs, to teach course overloads for additional compensation.

**Grant Administration.** The principal investigator or project director of sponsored research, training, or special projects is a faculty or staff member, normally the person who conceived and proposed the activity that resulted in the grant or contract. The principal investigator is not changed without the approval of the sponsor and the University. The principal investigator or project director is responsible for the technical direction of the project, for making all required technical reports, for administering all direct funds allocated to the project, and for complying with the terms and conditions of the grant or contract. The Office of Sponsored Awards and Research Support assists the principal investigator or project director in resolving procedural or administrative problems.

**Conflicts of Interest.** Upon requests made through a department chair or dean, the Office of Sponsored Awards and Research Support, considers all suspected conflicts of interest in the area of grants and research. Should the Office of Sponsored Awards and Research Support determine there is a possible conflict of interest, it asks the individuals concerned to clarify and, if appropriate, rectify the situation. If requested to do so, the office advises and assists individuals with consulting agreements and issues relating to potential conflicts of interest. See also *On Preventing Conflicts of Interest in Government Sponsored Research at Universities* (ACE---AAUP Joint Statement, December 1964); ACAF 1.50, *Outside Professional Activities for Faculty* (University Policy for Academic Affairs).

**Use of Human Participants and Vertebrate Animals in Research.** The USC Institutional Review Board for the Use of Human Subjects in Research (IRB), a USC system faculty committee coordinated by the staff of the Office of Research Compliance on the Columbia campus, is responsible for reviewing all research involving human participants before being conducted by Upstate faculty members, staff, and students. The purpose of the committee is to protect human participants in accord with a formal assurance provided to the U.S. Department of Health and Human Services by USC. Certain research projects may be exempt from IRB review.

The USC Institutional Animal Care and Use Committee (IACUC), a USC system faculty committee coordinated by the staff of the Office of Research Compliance on the Columbia campus, is responsible for reviewing all research involving animal subjects before being conducted by USC Upstate faculty members, staff, and students. The purpose of the committee is to protect animal subjects in accord with the Principles for the Utilization and Care of Vertebrate Animals of the National Institutes of Health. The committee has implemented the recommendations of *The Guide for the Care and Use of Laboratory Animals* (National Academy Press, 1996), the Public Health Service Policy on Humane Care and Use of Laboratory Animals and is complying, and will continue to comply, with the Animal Welfare Act and other applicable laws and regulations concerning the care and use of laboratory animals. Upstate faculty members are responsible for compliance issues (for their own projects and those student projects they might be advising or assisting with) associated with the use of human participants or vertebrate animals consistent with the USC IRB and IACUC protocols.

## **Statement on Public Scholarship**

The following is a statement on the definition of public scholarship at USC Upstate,

created April 2, 2019.

## USC Upstate Public Scholarship Definition

### Institutional Issues:

- A clear definition of public scholarship provides core components that are translatable across disciplines but can be adapted to each discipline;
- A clear definition allows the creation of metrics to track progress on public scholarship at USC Upstate as relevant to the strategic plan;
- Public scholarship should be considered to extend, apply, and amplify more traditional research, not replace it – public scholarship takes a step further than traditional scholarship by finding a way to reach a larger audience and have a bigger impact for the public good.

### Issues to Leave to Unit Discussions:

- Examples of public scholarship relevant to the unit;
- The role of public scholarship in unit criteria;
- The role of peer review in public scholarship;
- The distinction between community service and public scholarship;
- Whether or not compensation is inconsistent with public scholarship.

### Overview:

USC Upstate serves as a resource for the Upstate region of South Carolina and beyond through a foundation of reciprocal partnerships with public, private, and service organizations in the area. The faculty provides leadership in promoting economic, social and cultural development through teaching, service, scholarship and creative endeavors.

### Definition:

Public scholarship refers to a collaborative mode of creating and circulating knowledge with our community partners that is often interdisciplinary and is always informed by and anchored in methodologies of traditional peer-reviewed scholarship. Public scholarship extends, applies, and amplifies traditional scholarship to produce clear and tangible artifacts intended for the public good.

### Examples:

- Extension and application of traditional scholarship – needs assessment; action research; scholarship of teaching and learning, assessment, advising.
- Amplification of traditional scholarship – public policy advocacy; op-ed articles.



## **APPENDIX V – GUIDELINES FOR FILE PREPARATION FOR PROMOTION AND TENURE**

The Promotion and Tenure file comprises two binders, a summary binder and a binder for supporting documentation. The summary binder, which is a 1-inch white binder with tabs, is provided to the candidate at the Promotion and Tenure workshop in April of the candidate's penultimate year. It is only the summary binder that leaves USC Upstate and is submitted to the Board of Trustees.

For the complete set of guidelines and forms for the summary binder for the promotion and tenure file, see the "Promotion and Tenure: Summary Binder Organization for Classroom Faculty" document on the Promotion and Tenure Committee webpage. Additional guidelines for compiling the summary and supporting documentation binders appear below.

### **GUIDELINES FOR THE SUMMARY BINDER**

- I. Promotion and Tenure Guidelines for Teaching Overview in Summary Binder
  - A. Supervisor Evaluation of Teaching
    - Tenure track faculty members applying for promotion and/or tenure will be responsible for inviting immediate supervisor to attend/observe a class period (or, in the case of online teaching, to view a course on BlackBoard) for use in evaluation of candidate's teaching.
    - Supervisors will base these evaluations on class observation, trends in SOPs, annual administrative reviews, and other appropriate measures.
  - B. Peer Review of Classroom/Online Teaching
    - Tenure track faculty members applying for promotion and/or tenure will be responsible for selecting a tenured faculty member who is not in a rating administrative role to provide a minimum of one evaluation of classroom, online, or clinical/lab teaching.
    - Individual units will select the method for peer review (e.g., narrative, rubric, template) to make a fair and informative assessment of teaching quality.
      - Recommended components include evaluation of instructional plan, communication of learning goals for class session, time management, classroom climate and level of student engagement, responsiveness to students, course syllabus and overall design.
      - Recommended components for evaluation of online courses include BlackBoard formatting for clear and accessible navigation, course content and workload, efforts to motivate student motivation and engagement, and/or sample instructor-student communication.
  - C. Candidate's Comment on Teaching
    - Create table, graph, or other effective method of compiling relevant SOP scores from the review period.

- Develop a narrative that demonstrates quality of teaching, including but not limited to the following components:
  - Description of teaching strengths and goals,
  - Summary of trends in SOPs, peer evaluation, and other relevant measures of teaching quality, as well as actions taken to maintain or improve quality of teaching,
  - Representative quotations from SOPs,
  - Short- and long-term impact of teaching quality on students (e.g., job placement, graduate school placement, enhancement of intellectual curiosity and/or overall quality of life)

II. External Reviewer Guidelines: USC Upstate requires a letter of evaluation by an individual external to USC Upstate of the candidate's scholarly or creative achievements and other professional activities (e.g. service to professional societies or professionally related community engagement).

A. Selection of Reviewers

- A list of potential external reviewers will be jointly created by the candidate and rating administrator.
- External reviewers must be tenured faculty members at accredited institutions. They must also be active scholars/artists/librarians in the field of research for which the candidate is being evaluated.
- External reviewers may not have been the candidate's co-author, research collaborator, or dissertation committee member.
- A minimum of one letter from an external reviewer is required. However, two letters should be solicited from external reviewers to guard against unexpected circumstances that might prevent one of the external reviewers from completing this task. Letters must be written in the calendar year of application for promotion and/or tenure.

B. Contacting External Reviewers

- The rating administrator will make all contacts with the external reviewers, using the standard templates provided below, and available on the Promotion and Tenure Committee's website.
- Neither the rating administrator nor anyone else should make informal contacts beforehand to determine willingness. Instead, the formal request with a partial packet of materials attached should be the first contact. Maintaining this practice avoids the appearance that the chair is picking particularly positive or negative reviewers. Should the reviewer agree to assist, a second standard letter with the full materials for review will be sent.
- It is the responsibility of the rating administrator to place these letters in the candidate's summary binder.

Initial Letter Template

[Letterhead]

[Date]

[Internal Address]

Dear Professor X:

Dr. ABC EFG, Assistant Professor in [Field] at University of South Carolina Upstate, is a candidate for Tenure and Promotion to Associate Professor during the 2018-19 academic year. This process requires comments on the quality and impact of the candidate's scholarly and creative contributions from experts in the discipline outside of USC Upstate.

You have been suggested as a reference who is knowledgeable and capable of evaluating Dr. EFG's research/scholarship contributions and stature in the profession.

I have included some information about the candidate, including a complete CV, to familiarize you with the scope of their work, so that you can determine if you have the correct expertise to provide an evaluation. If you agree to provide a letter, I will provide a more complete file including a collection of representative samples of scholarship and creative activity.

We would greatly appreciate your help with this evaluation process. Please let me know as soon as possible if you are willing, and I will send you the full file by [INSERT DATE] for your review.

Your recommendation will be due no later than [INSERT DATE]. Please let me know if you have any questions. Thank you for your cooperation.

Sincerely,

Rating Administrator  
Title

Second Letter and Official Request Template  
[Letterhead]

[Date]

[Internal Address]

Dear Professor X:

Thank you for agreeing to serve an external reviewer for Dr. ABC EFG, Assistant Professor in [Field] at USC Upstate. As you may recall, Dr. ABC EFG is a candidate for Tenure and Promotion to Associate Professor during the 2018-19 academic year. This process requires comments on the quality and impact of the candidate's creative contributions from experts in the discipline outside of USC Upstate. You have been suggested as a reference who is knowledgeable and capable of evaluating Dr. EFG's research/scholarship contributions and stature in the profession. To aid you in your task, I have included representative samples of scholarship and creative activity.

Please provide a candid assessment of the candidate's productivity, creativity, and overall impact on the field based on the intellectual products included in the package. It is important at this juncture to stress that USC Upstate is a teaching-focused institution. As such, Dr. EFG regularly teaches four courses per semester and serves as advisor to XX undergraduate students. Further, given that USC Upstate does not award doctoral degrees, any assistance to scholarly and creative efforts is typically provided by undergraduate students, if at all. Thus, the standard of performance in scholarly activities may not exactly match that of your institution. Please be mindful of these facts in crafting your assessment of the candidate's scholarly impact.

It is the policy of USC Upstate to maintain the confidentiality of your evaluation to the greatest possible extent permitted by law. Dr. EFG has [has not] signed a statement marking letters from outside referees as confidential. Additionally, we ask that you indicate in your letter that you desire that it be treated as a confidential personnel document by including the following wording: *"By signing and submitting this reference letter, I expect that my identity will be kept confidential and that my letter will be treated as a confidential personnel document."*

Your letter should be directed to me, and it will become part of the portfolio prepared for Dr. EFG. Please explicitly state your past/current relationship to the candidate in your letter. We also request from you a brief (maximum 100 word) bio sketch. Since your letter will be reviewed by others in the Institute who will not necessarily be familiar with you or your field, this information will provide perspective. I will appreciate your sending the recommendation at your earliest convenience, but no later than [date].

Due to the time-sensitivity involved, please email your letter to me at [me@uscupstate.edu](mailto:me@uscupstate.edu) and follow up with a signed copy in the mail. Thank you for your assistance in this evaluation and cooperation with our policies.

Sincerely,

Rating Administrator

Title

## **GUIDELINES FOR THE SUPPORTING DOCUMENTATION BINDER**

The Supporting Documentation Binder should begin with a Table of Contents, followed by dividers for each of the following sections: Teaching, Scholarship, and Service (subdividing as needed, without excessive use of blank pages or plastic sleeves). Cross-referencing the Summary Binder to materials within the candidate's Supporting Documentation Binder is also encouraged.

### **1) Scope**

- a) Candidates will submit representative samples of their teaching, scholarship, and service activities within this file. Refer to unit guidelines and mentoring for specific guidelines on appropriate materials to make the strongest case.
- b) The Supporting Documentation Binder is not intended to be an exhaustive detailed record of every activity undertaken during the evaluation period.
- c) Rather, the Supporting Documentation Binder should highlight the candidate's most significant activities which align with their unit criteria and provide the strongest possible evidence to support the candidates' justification for promotion and/or tenure.

### **2) Size**

- a) All materials in the Supporting Documentation Binder must be combined into a single three-ring binder no larger than 4-inch diameter (pages should turn easily).
- b) Again, the Supporting Documentation Binder is not intended to capture every illustrative detail of the review period. It is no longer appropriate, for example, to include a letter from every committee chair the candidate ever served on, every iteration of a course syllabus, or every Student Opinion Poll within one's Supporting Documentation Binder.
- c) However, if a candidate feels that, for example, including their SOPs will address concerns surrounding teaching effectiveness, that particular candidate may elect to include relevant SOPs, but still must remain within the total maximum binder size of 4 inches. Ultimately, the candidate must determine which evidentiary components are the most compelling for the application and include only those materials within the Supporting Documentation Binder.

## **APPENDIX VI – GUIDELINES FOR FILE PREPARATION FOR ALL OTHER REVIEWS**

File preparation for all reviews draws on the guidelines for file preparation for Promotion and Tenure (Appendix V).

More information on procedures for submitting and conducting reviews can be found in Chapter 5 of the *Faculty Manual*.

### **Guidelines for Preparing Annual Review File**

The Annual Review File should contain the following items:

- Completed Summary Tables for Teaching, Scholarly and Creative Activities, and Service Activities (item H in the Summary Binder organization guidelines)
- 1-2 page narrative memo describing faculty work in three areas of teaching/librarianship, scholarly and creative activity, and service

Documentation of activities should be available upon request.

### **Guidelines for Preparing Third-Year Review File**

The Third-Year Review File should contain the following items (maximum 1 binder):

- Annual reviews from years up to peer review
- 2-3 page narrative memo describing faculty work in three areas of teaching/librarianship, scholarly and creative activity, and service
- A representative sample of documentation for work in the three areas

### **Guidelines for Preparing Post-Tenure Review File**

The Post-Tenure Review File should contain the following items:

- A current c.v.
- The Annual Reviews from years up to the post-tenure review
- 2-3 page narrative memo describing faculty work in three areas of teaching/librarianship, scholarly and creative activity, and service during the five-year period

Documentation for the three areas should be available upon request.

## **Guidelines for Preparing Promotion to Senior Instructor File.**

The Promotion to Senior Instructor File should contain:

- A 1-2 page memo to the unit supervisor and the Dean, summarizing performance for the past five years, including major activities in teaching/librarianship, service or scholarship (if appropriate), and any assigned administrative duties
- Current c.v.
- Copies of Annual Reviews for the past five years

Individual units may require additional documentation as specified.

## APPENDIX VII – MASTER CALENDAR FOR FACULTY REVIEWS

	ANNUAL REVIEW	Third-Year PEER REVIEW	TENURE AND/OR PROMOTION	POST-TENURE REVIEW
<b>FALL</b>				
<b>August</b>		<b>August 22</b> PRC Chair notifies Candidates of review	<b>August 22</b> Candidate file due to PRC	
<b>September</b>			<b>September 20</b> PRC review completed	
<b>October</b>		<b>October 1</b> Candidate file due to PRC	<b>October 11</b> Chair/Unit Supervisor letter completed	
<b>November</b>		<b>November 1</b> PRC review completed, submits review to candidate, Chair, Dean and Provost	<b>November 1</b> Dean review completed	
<b>December</b>			<b>December 11</b> P&T Committee review completed	
<b>SPRING</b>				
<b>January</b>			<b>January 27</b> Provost review completed	
<b>February</b>			<b>February 17</b> Chancellor review completed	<b>February 1</b> Candidates file due to PRC
<b>March</b>			<b>March 13</b> Delivery of files to Columbia	<b>March 1</b> PRC review completed, submits review to Chair, Dean, and Provost
<b>April</b>	<b>April 1</b> Administrator notifies candidates		<b>April 15</b> Academic Affairs Office notifies Candidates in penultimate year	
<b>May</b>	<b>May 15</b> Candidate files due to Chair/unit administrator	<b>May 1</b> Peer Review Committee and Chair established (for subsequent academic year)	<b>May 1</b> Peer Review Committee and Chair established (for subsequent academic year)	
<b>SUMMER</b>				
<b>July</b>	<b>July 1</b> Administrator Review Completed, submits review to Dean and Provost			



## APPENDIX VIII – FACULTY REVIEW FORM

### FACULTY REVIEW FORM - CLASSROOM FACULTY

<b>Faculty Member:</b>	<b>Academic Unit:</b>
<b>Review:</b> Annual ( ) Peer year ( ) Tenure and/or Promotion ( ) Post-Tenure ( )	<b>Date:</b>

**Notes:** Definitions of terms on reverse. Additional pages may be attached.

**1. Teaching effectiveness.** Refer to unit criteria for indicators of teaching effectiveness.

Excellent	Highly Effective	Effective	Less than effective	Ineffective
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**Comments:**

**2. Service.** Refer to unit criteria for indicators of service.

Excellent	Highly Effective	Effective	Less than effective	Ineffective
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**Comments:**

**3. Scholarly Achievement and Creativity.** Refer to unit criteria for indicators of scholarly achievement and creativity.

Excellent	Highly Effective	Effective	Less than effective	Ineffective
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**Comments:**

**4. Overall Performance.** Narrative assessment must be included. For candidates at Assistant Professor level, narrative must include statement about progress toward tenure and promotion.

Excellent	Highly Effective	Effective	Less than effective	Ineffective
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**Comments:**

## DEFINITION OF TERMS

**Excellent.** Persons considered to be excellent significantly exceed the normal requirements of their position; the quality of their performance is such to make it worthy of special note. Their level of performance indicates extra thought, time, effort, and imagination; they make important contributions to the University and its mission. Refer to the individual unit criteria for examples of specific performance indicators.

**Highly Effective.** The category of highly effective is reserved for persons whose performance exceeds the normal requirements of their position. The quality of their performance makes significant contributions to the University and its mission. Refer to the individual unit criteria for examples of specific performance indicators.

**Effective.** The category of effective is reserved for persons whose performance clearly meets the requirements of their position. Their accomplishments support the mission of the University. Refer to the individual unit criteria for examples of specific performance indicators.

**Less than Effective.** Less than effective is applied to those persons whose performance falls slightly short of meeting the requirements of their position. Continued performance at this level risks impeding the mission of the university. Refer to the individual unit criteria for 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. Refer to the individual unit criteria for examples of specific performance indicators.

## SIGNATURES:

RELEVANT SIGNATURES	DATE
Unit Administrator	
Chair, Peer Review Committee	
Member, Peer Review Committee	
Member, Peer Review Committee	
Member, Peer Review Committee	
Member, Peer Review Committee	
Dean	
Provost	
Candidate	

## APPENDIX IX – FACULTY PROCEDURES IN AIRBORNE PATHOGEN PANDEMICS

These procedures go into effect at the discretion of the Chancellor and Faculty Chair in periods when global and local health agencies indicate widespread need for social distancing, mask use, remote work, and other measures to mitigate the spread of airborne pathogens. Because they result from urgent public health measures, these procedures temporarily supersede corollary instructions in the body of the *Faculty Manual*. Faculty are expected to adhere to policies and procedures published in the [Risk Mitigation Plan](#). The following materials provide implementation guidance for classroom faculty.

### TEACHING<sup>2</sup>

#### Classroom Safety<sup>3</sup>

Faculty are authorized to enforce public health directives during periods of communicable disease outbreak on campus; these directives include physical distancing and the application of mandatory face coverings in public spaces on campus, including all university classrooms.

For face-to-face classrooms, strict adherence to the mask and safe distancing policy will be enforced to avoid exposure. Anyone within 6 feet for >15 minutes (mask or no mask) is considered exposed. To foster physical distancing in the classroom, seats must remain spaced six feet apart, and faculty will take attendance for every class period and maintain a seating chart to help Student Health Services identify students who need to be contacted if a classmate tests positive COVID-19. Attendance tools are available in both BlackBoard and Starfish.

If a student attempts to enter a classroom without a mask, the faculty member will ask the student to remain outside the classroom for the safety of others. If the student has a mask on their person (in a pocket or backpack) they will be asked to put it on. If the student has no mask or cannot retrieve one in a timely manner, the student will be offered a disposable mask. If the student refuses to wear a mask, instructors may proceed in one of several ways, depending on their assessment of the situation:

- tell the student to leave and come to the next class in a face covering and access the online content;
- tell the student to leave or faculty will report their disruptive behavior to the dean of students;
- dismiss the class and submit a referral to the dean of students.

Most surfaces and items in all classrooms will be cleaned twice a day by custodial staff members. Wipes, paper towels, and spray cleaners will be available for instructors and students to use between classes.

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<sup>2</sup> See also *Risk Mitigation Plan*, “Teaching and Student Success,” p. 21 (July 2020).

<sup>3</sup> Adapted from UofSC document, “COVID-19 and the Classroom” (July 24, 2020). See also, *Risk Mitigation Plan*, “Face Coverings for Faculty and Instructors,” p. 17 (July 2020).

## Office Hours

In order to maintain our commitment as a faculty to interacting with students outside of direct course instruction through various forms of mentorship, all faculty members must devise and disseminate procedures for remote or in-person office hours during periods of remote teaching. Faculty members are expected to establish, post, and hold weekly office hours, indicating specific channels of contact (e.g. email, chat, text, phone, videoconference, face-to-face, or other communication applications) and communicating these details to their students and department chair or dean.

Wherever possible, virtual contact is preferred. Selecting BlackBoard Collaborate and Microsoft Teams will permit the Office of Information Technology to provide the strongest possible support. Methods of holding office hours during periods of remote teaching should prioritize the safety of students, faculty, and staff by adhering to campus regulations regarding mask use and social distancing, as well as remaining flexible enough to accommodate student needs and maintaining appropriate levels of responsiveness to students.<sup>4</sup>

To implement this procedure, faculty and rating administrators are asked to keep the following in mind:

- Faculty should be permitted to opt for no in-person office hours
- Students should always be given the option of online appointments
- In contrast to the regular office hours policy, this policy offers full-time faculty flexibility to offer a mixture of set office hours and other forms of availability that might be considered “equivalent” to 5 hours per week

## Academic Integrity and Testing/Assessment

The USC Upstate *Faculty Manual* empowers faculty to develop grading criteria characterized by “fairness and good judgment.” Airborne pathogens do not eliminate the need to assess student learning, nor do they eliminate student obligations under the USC Upstate Code of Academic Integrity. However, pandemic grading and academic integrity policy can benefit from data-driven adaptation, which may vary depending on the mode of course delivery. In this context, faculty should consider the following practices and are invited to use or adapt related syllabus templates corresponding to the following numbered list:

1. In online asynchronous courses, faculty are encouraged to develop testing procedures that provide students with a reasonably broad window of time in which to take an examination. Student work schedules, as well as family care schedules will benefit from a higher degree of flexibility during times of increased uncertainty.
2. In blended two-way delivery courses, as well as synchronous online courses, faculty should consider testing modalities that allow all students to complete an assessment at the same time. The completion of assessments in BlackBoard, for example, allows students, both in the classroom and online, to simultaneously complete an assessment.

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<sup>4</sup> Faculty should adhere to FERPA regulations and UofSC system Policy, [UNIV 1.52](#), “Responsible Use of Data, Technology, and User Credentials.”

3. When possible, faculty should adopt assessment make-up policies that recognize that airborne pathogens can create exigent circumstances that are not typical and may be less amenable to documentation. Extended deadlines on assignments and other similar modes of flexibility will be necessary to support students who are sick, under quarantine, or providing essential caregiving services to close family members. Likewise, faculty who penalize unexcused absences should clearly define that term in the syllabus. Examples of unexcused absences might include work, oversleeping, vacations, and family events. To be clear, these are merely examples, not a proposed definition of the term unexcused absence. Faculty should also recognize that students under quarantine may face changes in access to the internet and other computer technologies, especially if the quarantine forces a student to change residences. Recording lectures in BlackBoard Collaborate provides an option to faculty who wish to make class meetings available to absent students.
4. Faculty are encouraged to use services such as the Respondus Lockdown Browser and Respondus Monitor as necessary to maintain academic integrity during the completion of an assessment. In all cases, faculty should obtain training in the use of these tools if they intend to use them and should make clear syllabus statements concerning the use of these technologies. Both Respondus Lockdown Browser and Respondus Monitor have limitations, including the inability to use these tools on a USC Upstate virtual interface or on Spartan Greensky in general, the lack of compatibility with Chromebooks, and the need for a webcam in the case of Respondus Monitor. In this context, faculty using either of these tools will need to prepare alternate testing arrangements for students logging in through Spartan Greensky or using one of the virtual interfaces on campus. Faculty are encouraged to be cognizant of potential privacy concerns and security breaches with regard to the use of Respondus Monitor and to encourage students to take advantage of free anti-malware software provided by the helpdesk at <http://uscupstate.edu/its>. Faculty are also encouraged to be cognizant of access issues. Faculty should plan to accommodate students who do not have required technology, e.g. compatible device, webcam, and microphone, or to make students aware if this technology is available for checkout from the Office of Information Technology.
5. Faculty should consider using online resources related to academic integrity to supplement those resources that may be been traditionally provided face to face. The USC Upstate Library's Plagiarism Prevention Module is one such example. Faculty may wish to specifically prohibit the sharing of recorded live streams or other course material in online synchronous courses with anyone not currently enrolled in the course. Faculty may also wish to specifically prohibit the sharing of online recordings or other course materials with anyone not currently enrolled in the course.
6. It is important to recognize that Spartan Safe Start is a plan of action based on current conditions. Faculty should prepare, to the extent possible, for the interruption of blended two-way delivery and its implications for student assessment. For example, faculty may wish to prepare for their courses as if they were online (regardless of delivery method), punctuated by periodic synchronous elements. Faculty may also want to consider

developing an entirely online testing regime to allow for interruptions, as appropriate for their course.

7. Faculty should recognize that high-stakes assessments are more prone to academic integrity violations, including various forms of electronic cheating. Alternatives to high-stakes testing include frequent lower-stakes assessments, professional presentations, peer-to-peer teaching and test preparation (and accompanied faculty evaluation), periodic integrative reflective assignments, and multiple forms of the same substantive instrument.
8. Faculty teaching hybrid courses with an in-person component should integrate the campus mask requirement into their syllabi as a matter of student and faculty integrity.

**Final Examinations and Testing Restrictions – Adapted from course catalog (p.46)**

Final examinations are scheduled at the end of each semester and term. A calendar of examination times for full-term courses is published on the USC Upstate website. Examination dates for half-term courses are published in the session calendar on the USC Upstate website. During periods of airborne pathogen transmission, faculty teaching blended (options A and B) and synchronous (option C) courses should administer final exams during the time period designated in the calendar of examination times. Faculty teaching asynchronous courses (option D) are encouraged to administer final exams during a reasonably broad window of time. If the window of time is constrained to a single day, the exam window should be consistent with the calendar of examination. Students with 3 or more exams scheduled on the same day should be allowed a makeup exam at their request.

Instructors may allow students to switch from one examination section to another when that instructor teaches multiple sections of the same course. Exceptions from this policy should be addressed to the senior vice chancellor for Academic Affairs. Laboratory examinations are normally scheduled during the last meeting of the lab. A student who is absent from a final examination will receive a grade of F in the course if an excuse acceptable to the instructor, as defined in the syllabus, is not offered. When the instructor excuses an absence from the examination, a grade of I (incomplete) is awarded until the examination is made up. A student who is excused must take the examination at the convenience of the instructor. In any case, the examination must be made up within one year. Reexamination or the assignment of additional work for the purpose of removing an F or for raising a grade is not permitted.

Faculty teaching full-term courses are restricted in the scheduling of tests only during the final week of classes of a regular semester.

<b>Class Meetings Per Week</b>	<b>Testing Restrictions</b>
1	No testing during the last class meeting
2	No testing during the last 2 class meetings
3	No testing during the last 2 class meetings
4 or more	No testing during the last 3 class meetings
<i>Asynchronous</i>	<i>No testing during the last week of classes</i>

These restrictions do not apply to laboratory examinations which may be administered during the

last week of classes.

## **SERVICE**

### **Committee Work**

In order for faculty governance to sustain reasonable levels of productivity, faculty members will continue to participate in regularly scheduled meetings to conduct business. Wherever possible, virtual meetings are preferred.<sup>5</sup>

Committees are therefore permitted to communicate information by email, deliberate and vote in virtual settings, and provide digital signatures. More specific procedural details will be developed and shared by committee chairs with their committee members.

During a pandemic, many faculty members will face new and difficult challenges in the area of work-life balance. Faculty caregivers who wish to reduce their service loads should be accommodated where possible. Likewise, faculty caregivers who wish to continue their usual service commitments, but whose schedules are limited by caregiving responsibilities, should be accommodated (in meeting scheduling requests, for example) where possible.

Units are encouraged to identify and postpone non-essential service (non-urgent curriculum revision, for example) in order to decrease overall service pressures within the institution where possible.

## **RESEARCH**

Human subjects research protocols should be adapted to online data collection and remote interactions as much as possible. See [current IRB guidance](#) on resuming in-person human subjects research.<sup>6</sup>

Faculty are encouraged to document the impact of the pandemic on their research agendas, rate of productivity, and research outcomes. Faculty and administrators who conduct faculty reviews should take this global incident into account in the interest of maintaining fair and reasonable review processes on campus. For example, conference papers and workshops canceled due to the pandemic should count toward the promotion and tenure process. Moreover, the impact of a pandemic on faculty research will reverberate across a span of years and cannot be fully accounted for by the obvious short-term matter of canceled presentations.

Units are therefore encouraged to review unit guidelines and develop clear adjustments for these challenging circumstances, both in the interest of fairness and in an effort to reduce or eliminate disproportionate impacts on research by faculty caregivers. These adjustments should also be considered by rating administrators when conducting annual reviews for the current

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<sup>5</sup> See also Risk Mitigation Plan, "Meetings," p. 19 (July 2020).

<sup>6</sup> See also Risk Mitigation Plan, "University Research," p. 30 (July 2020).

academic year and subsequent years impacted by the current pandemic.<sup>7</sup>

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<sup>7</sup> References to faculty caregivers are adapted from “In the Wake of COVID-19, Academia Needs New Solutions to Ensure Gender Equity” ([Malisch et al., 2020](#)) and supporting materials.