
Chapter 6

Faculty Review Procedures

Administrative Review & Peer Review

USC Upstate maintains two procedures for the review of faculty performance: administrative review for all full-time faculty members, and peer review for tenure-track and tenured faculty. An important objective for both review processes is to provide a basis for professional improvement and development. Administrative reviews and peer reviews provide grounds for decisions on retention, promotion, and tenure.

In all academic units, the criteria for both administrative review and peer review are the promotion and tenure criteria of 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. The contents of faculty files for administrative review are determined within each academic unit. Additional documentation may be provided by all faculty members. The contents of files for peer review for faculty reviewed for promotion and/or tenure are governed by policies on promotion and tenure; the contents of faculty files submitted for Peer Review at any other stage are determined within each academic unit.

Administrative Review

Administrative reviews are completed by tenured unit administrators. Within the College of Arts and Sciences, chairs or program directors act as the unit administrator. In the professional schools and the Library unit administrators may be the dean, associate or assistant dean, or program director. For the initial six years of employment, full-time faculty members at USC Upstate are evaluated annually by their unit administration. Thereafter, tenured faculty members undergo administrative review once every three years. Faculty members may request a review during any year.

Responsibilities in Administrative Review

Reviewed Faculty. Faculty members to be reviewed are provided with a copy of the Administrative Review objectives, criteria, and any necessary forms by their unit administrator. Faculty members are responsible for compiling their review files, which consist of the documentation of their teaching, as well as scholarship and service if appropriate to the position, for their administrative review. To avoid unnecessary duplication of faculty files, academic units may allow faculty undergoing peer review to use their peer review files for administrative review. Faculty members submit their administrative review files in the office of the administrative assistant of the academic unit. Once submitted, review files are read only by the unit administrator.

Unit Administrators. After receiving the faculty member's file, the unit administrator completes the appropriate form and presents the written review to the faculty member. 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 administrative review is provided to the faculty member. For faculty members completing their first year of service, the administrative review and required interview must be completed by March 1. For all other faculty, the review and the optional interview must be completed by March 31. Either the faculty member or the unit administrator may request an interview.

Faculty members may, within 5 days of receiving their administrative review, respond to the unit administrator. That response is included with the faculty member's administrative review. Administrative reviews are submitted to appropriate dean of the school or college and then to the Senior Vice Chancellor of Academic Affairs.

Appeal of Administrative Review Evaluation

Appeal of an administrative review must begin within ten days of receiving the review. If the rating administrator is the chair, program director, or associate dean, then the appeal of the administrative review is to the dean of the college or school. If the dean cannot resolve the dispute, the appeal proceeds to the Senior Vice Chancellor for Academic Affairs. If the rating administrator is the dean, then the appeal advances directly to the Senior Vice Chancellor for Academic Affairs. Within ten days of receiving the appeal, the dean or Senior Vice Chancellor for Academic Affairs notifies in writing the faculty member and rating administrator of the decision.

Peer Review

Faculty members undergo peer review in their second and fourth years, in promotion and/or tenure, and in post-tenure review. Faculty members may request a peer review during other years as well.

For faculty in their second and fourth years of teaching at USC Upstate, the peer review must be completed by November 1 (Faculty hired in the Spring semester will be reviewed in the following November.). For faculty members considered for promotion and/or tenure, peer review must be completed in accordance with the Promotion and Tenure Committee deadlines. For faculty undergoing the mandatory post-tenure review, the peer review must be completed by February 21. For faculty not returning in the following academic year, post-tenure review is not required.

Membership of the Peer Review Committee

Each academic unit has a Peer Review Committee. The committee is composed of at least five faculty members elected in the Spring semester from among tenure track faculty members who will have achieved tenure by faculty return date in Fall semester. 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 administrative reviews. The committee is elected by the tenure track faculty members in the unit. Members of the Peer Review Committee may not have faculty supervisory responsibil-

ities.

If there are insufficient tenured faculty members within a unit to form a Peer Review Committee 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 Committee members make explicit recommendations to the Promotion and Tenure Committee on candidates seeking promotion and/or tenure. The Peer Review Committees base their recommendations for promotion and/or tenure upon criteria found in the section Promotion and Tenure.

Responsibilities in Peer Review

Peer Review Committee Chair. The peer review committee chair informs all faculty members seeking peer review of committee deadlines at least 30 days prior to the deadline for submitting peer review files. Prior to peer review, the peer review committee chair 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. Only the chair of the peer review committee acting on behalf of the committee may request additional documentation from the faculty members evaluated.

Reviewed Faculty. Faculty submitting files to their unit's peer review committee as part of the application for promotion and/or tenure must follow the required procedures of file preparation required for promotion and tenure. Faculty members submitting their files at any other stage of peer review should compile their files in accordance with their respective academic unit. The peer review committee chair in each academic unit provides faculty of

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that unit with guidelines for preparing peer review files. Faculty members submit their peer review files in the office of the administrative assistant of the academic unit. Once submitted, peer review files are read by the peer review committee in a private area of the academic unit.

Peer Review Committee. Every member of the peer review committee examines each review file and completes an evaluation form for each faculty member submitting a file. Committee members are required to provide written comments on each section of the review to support their evaluation. The separate reviews are not signed. Specific responsibilities of the peer review committee in evaluating candidates for promotion and tenure are established in the *Faculty Manual* section on *Promotion and Tenure*. Each peer review committee member is responsible for keeping confidential the contents of the candidate files.

The peer review committee chair, in conjunction with the committee, writes a summary review for each faculty member undergoing peer review. A tally of the rankings is recorded on the final summary review. The peer review committee 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. If agreement proves impossible, the chair includes each reviewer's confidential written comments in the summary statement signed by all members of the committee.

For faculty seeking promotion and/or tenure, the peer re-

view committee chair is responsible for including the signed summary review within the candidate's file, as well as providing a copy to the candidate. For faculty seeking promotion and/or tenure or undergoing post-tenure review, the individual review sheets remain confidential and are sent to the Senior Vice Chancellor of Academic Affairs. For all other faculty undergoing peer review, the signed summary statement is submitted by the peer review committee chair to the faculty member's chair (in the case of faculty within the College of Arts and Sciences), dean, and the Senior Vice Chancellor of Academic Affairs, as well as providing a copy to the reviewed faculty member. Individual review sheets for all faculty members not undergoing peer review for promotion and/or tenure or post-tenure review are destroyed.

Response to Peer Review

Faculty members may write a response to the summary review within 5 working days after receiving the summary statement. The faculty member's response must be signed by the peer review committee chair to acknowledge receipt and be distributed by the chair to all members of the peer review committee.

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.