

Faculty Handbook:
Policies and Procedures of the
USC Upstate Faculty

University of South Carolina Upstate

2013

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Preface

The *Faculty Handbook: Policies and Procedures of the USC Upstate Faculty* brings together policies and procedures that supplement material in the *Faculty Manual*, may be more frequently changed, and do not require approval by the President of the University or the Board of Trustees. The Bylaws of the Faculty Senate are also included. This *Handbook* is cross-referenced to the *Manual* so that the relationship between policies and procedures published here and related discussions in the *Manual* may easily be found. Although every effort has been made to eliminate duplication between the *Manual* and the *Handbook*, there is significant duplication of material from the Bylaws of the Faculty Senate in Chapter 2 of the *Faculty Manual*. The overall organization of the *Faculty Handbook* may be gleaned from the Table of Contents. Because individual documents from this *Handbook* will be downloaded from the website, particularly as they are revised, the book has grouped the individual documents in broad categories rather than in designated chapters. To facilitate finding individual documents, each of the policies and procedures indicated in bold in the Table of Contents begins on a new page and headers are given for the individual documents rather than for the broader categories.

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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.

Bylaws of the Faculty Senate

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 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.

Research Policies

Research Support

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.

Student Opinion Polls

Student Opinion Polls

Policy for the Administration of Student Opinion Polls

1. 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.
2. 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."
3. All student opinion polls must use the same evaluation scale.
4. If student opinion polls are administered during the regular face-to-face class time, if there is one, the professor must remain outside the room.
5. Professors will not receive the results of the polls until after their grades have been turned in to the Registrar.

Promotion and Tenure Procedures

Regulations and criteria for tenure and promotion are discussed in Chapter 7 of the *Faculty Manual*.

File Components

Faculty members in their penultimate year of a probationary appointment must submit a file to be considered for tenure. Faculty members applying for promotion and/or tenure must submit their file on the first day of the fall semester of the year of application.

Other faculty members wishing to be considered for promotion to full professor must also submit a file.

The candidate bears ultimate responsibility for preparation of the file on which the decision is based. Copies of the current USC Upstate format for promotion and tenure files and the current promotion and tenure calendar are available in the office of the Senior Vice Chancellor for Academic Affairs and on the USC Upstate Website.

The promotion and tenure file is limited to a maximum of five notebooks. The first notebook, the summary file, is a three-ring, one-inch binder. Electronic media may be submitted as part of the file. Candidates are responsible for ensuring that electronic media can be easily reviewed.

Each candidate's file must be complete before the Peer Review Committee evaluates the file and votes on the candidate. Each candidate must include the following items in his/her file:

1. The candidate's letter of appointment, with salary information blacked out.
2. A letter from the Office of the Provost and Senior Vice Chancellor for Academic Affairs that clearly indicates the penultimate year of the candidate's probationary period. This letter is not necessary if the candidate is applying early for tenure.
3. A one-page curriculum vita that clearly documents major accomplishments in all 3 components: teaching, scholarship & creativity, and service.
4. Copies of all Administrative and Peer Reviews from the probationary or review period.
5. At least three letters of evaluation for the application for promotion and/or tenure must come from tenured, full-time USC Upstate faculty who were employed within the calendar year of the candidate's file submission. The evaluator may not be a member of the Peer Review Committee in the candidate's academic unit or a member of the Promotion and Tenure Committee. Letters of evaluation may not be requested from any other individual who will be required to evaluate the candidate's file. All letters must be written within the calendar year of application for tenure and/or promotion.
6. 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). The letter must be written within the calendar year of application for tenure and/or promotion. The external evaluator will be selected by the candidate with the approval of his or her rating administrator. External reviewers must be tenured faculty members at an accredited institution. They must also be active scholars in the field of research or creative activity for which the candidate is being evaluated. The external reviewer may not be a co-author or research collaborator with the candidate, nor may he or she have been a member of the candidate's dissertation committee.

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7. All letters of evaluation for promotion and/or tenure must be written within the calendar year of review, addressed to the Chair of the candidate's Peer Review Committee, and submitted by the date the file is due to the Peer Review Committee.
8. Student opinion polls for the last five years of teaching. Student opinion polls must be grouped by course and then semester, in reverse chronological order.
9. Numeric summaries of all student opinion polls for all classes taught in the last five years. For non-digital SOP's, either photocopies or originals of these documents are acceptable.
10. Should a faculty member with other college teaching experience be hired with years toward tenure or promotion, he or she must document this prior experience in the file.
11. An evaluative summary of teaching effectiveness by the candidate's rating administrator. The rating administrator must provide an evaluative summary of student opinion polls for all courses during the previous five years for which such polls exist, and in the case of library faculty, an evaluative summary of effectiveness as a librarian by the Dean. The summary is sent to the candidate prior to the date for the submission of the files. The candidate places this evaluation in his or her summary file.
12. Material documenting teaching, scholarship and creative activity, as well as service.

The Chair of the Peer Review Committee lists in the candidate's summary file all letters sent directly to the Peer Review Committee. The chair inserts the letters into their proper section of the summary file. At any time prior to the final vote of the Peer Review Committee, candidates may review and revise their files, except for letters solicited by the candidate and those sent directly to the Chair of the Peer Review Committee. After the final vote of the Peer Review Committee, neither the candidate nor any other person may add or remove from the file any document or information other than the following, which must be added:

1. The Peer Review Evaluation Form (Teaching Faculty or Library Faculty)
2. The Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure].
3. Recommendations of the rating administrator, Dean, Senior Vice Chancellor for Academic Affairs, and Chancellor.
4. The Promotion and Tenure Committee Form for Candidates Requesting Promotion [and/or Tenure].
5. The candidate's responses relating to the application for promotion and/or tenure and to any of the above recommendations or votes (if applicable).
6. The Promotion and Tenure Committee Reconsideration Form for Candidates Requesting Promotion [and/or Tenure] (if applicable).

Files should not be removed from the administrative offices of the appropriate reviewer of the file.

Procedures of the Peer Review Committee

The function and membership of Peer Review Committees is discussed in Chapter 6 of the *Faculty Manual*.

The Chair of the Peer Review Committee and the candidate have joint responsibility for ensuring that candidates' files are in the required format for promotion and/or tenure review.

The Chairs of all Peer Review Committees may consult or be consulted by the Chair of the Promotion and Tenure Committee.

Committee Review Procedures

The Peer Review Committee discusses only material contained in the candidate's file. Any faculty member of the Committee may submit in writing any matter into the candidate's file for the purpose of consideration, provided that the material introduced is made known to the candidate and that the candidate is allowed to respond in writing at least five working days before the Committee's formal vote on promotion and/or tenure. The Chair of the Peer Review Committee is also responsible for notifying the Committee that additional material has been introduced into the file.

All members of the Peer Review Committee must meet formally to discuss the files of each candidate. The Committee members complete promotion and/or tenure ballots for each candidate. These separate ballots are unsigned.

For each candidate, the Chair of the Peer Review Committee provides a Peer Review Evaluation Form (Teaching Faculty or Library Faculty) and a Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure], including a summary of the Committee's justification. Each member of the Committee must sign and date the Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure].

The Chair of the Peer Review Committee is responsible for inserting the original copy of the Peer Review Evaluation Form (Teaching Faculty or Library Faculty) and the Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure] in the summary file.

At the conclusion of the promotion and tenure process, each committee member destroys all personal notes concerning candidate files.

Candidate and Rating Administrator Notification and Optional Response Letter

The Chair of the Peer Review Committee is responsible for sending a copy of the Peer Review Evaluation Form (Teaching Faculty or Library Faculty) and the Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure] to each candidate being reviewed and the candidate's rating administrator. Within five working days of receiving the Peer Review Evaluation Form and Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure], a candidate may respond in writing to the Committee's recommendation. The response is sent to the Chair of the Peer Review Committee. The Chair of the Peer Review Committee inserts the candidate's written response in the summary file.

The file is then forwarded to the rating administrator for his/her recommendation.

Documents to be Archived

The individual ballots, a copy of the Peer Review Evaluation Form (Teaching Faculty or Library Faculty), and a copy of the Peer Review Voting Summary for Candidates Requesting Promotion [and/or Tenure] must be archived. These documents are confidential and must be sent in a plain 8 x 10 sealed envelope to the Office of the Senior Vice Chancellor for Academic Affairs and addressed to the attention of the Chair of the Promotion and Tenure Committee. The envelope must be labeled with:

1. Candidate's name
2. Candidate's voting unit
3. Candidate's requested action (i.e., "promotion" or "tenure," in separate, labeled envelopes within the 8 x 10 envelope)
4. Date

Promotion and Tenure Procedures

Procedures for the Rating Administrator (Chair or Unit Supervisor)

After the Peer Review Committee completes its recommendation, the candidate's rating administrator reviews the file, writes a letter assessing the candidate's qualifications, and makes a recommendation on promotion and/or tenure to be included in the candidate's summary file.

Candidate Notification and Optional Response Letter

The candidate is notified in writing with an explanation for the rating administrator's decision. The candidate may write a response to the rating administrator's recommendation. The response must be made in writing to the rating administrator within five working days after receiving notification of their recommendation. The rating administrator adds the candidate's response to the file.

The file, including the rating administrator's letter of recommendation, is then forwarded to the dean of the school or college.

Procedures for the Dean

The candidate's Dean reviews the file, writes a letter assessing the candidate's qualifications, and makes a recommendation on promotion and/or tenure to be included in the candidate's summary file.

Candidate Notification and Optional Response Letter

The candidate is notified in writing with an explanation for the dean's decision. The candidate may write a response to the dean's recommendation. The response must be made in writing to the dean within five working days after receiving notification of their recommendation. The dean adds the candidate's response to the file.

The file is then forwarded to the Office of the Provost and Senior Vice Chancellor for Academic Affairs who will forward the file to the Promotion and Tenure Committee for its recommendation.

Procedures for the Promotion and Tenure Committee

Calendar. By April 15, the Promotion and Tenure Committee publishes a calendar for promotion and tenure that includes deadlines for file submission to the Peer Review Committees, and for recommendations from Peer Review Committees, rating administrators, deans, the Promotion and Tenure Committee, the Senior Vice Chancellor for Academic Affairs, and the Chancellor. Each candidate is responsible for submitting a file to the appropriate Peer Review Committee by the published deadline.

Confidentiality. Once submitted to the Promotion and Tenure Committee, files are kept in locked cabinets under the general supervision of the administrative assistant assigned to the Committee. Committee members review the files only in an area designated by the Chair of the Promotion and Tenure Committee.

Committee Review Procedures

The Chair of the Promotion and Tenure Committee provides members a list of candidates to be reviewed and designates the order in which the files will be reviewed. Each file is assigned to a Committee member from an academic unit other than the candidate's own. The committee member has the responsibility of presenting the assigned candidate's file to the committee; however, all members must read and be prepared to discuss the file of every candidate.

When the Committee is ready to review the candidate's application, the assigned member presents the candidate's file, giving the candidate's name, a summary of the file contents in relation to the unit criteria for promotion and/or tenure, and the recommendations of the Peer Review Committee, the rating administrator, and the dean. The floor is then open for discussion.

The Committee discusses only material contained in the candidate's file. Any member of the Committee may introduce in writing any matter into the candidate's file for the purpose of consideration, provided the material introduced is given to the candidate and the candidate is allowed to respond in writing at least five working days before the Committee's formal vote on promotion and/or tenure. The Chair of the Promotion and Tenure Committee is also responsible for notifying the Committee that additional material has been introduced into the file.

After the presentation of the candidate's file and discussion, each Committee member votes and writes a justification for his or her vote. Each vote is taken in the presence of the full Committee. All Committee votes are confidential. The ballots are placed in an envelope and handed to the Chair for tabulation. In order to vote, eight Committee members must be present. A recommendation in favor of promotion and/or tenure requires six affirmative votes if all nine members are present, or five affirmative votes if eight members are present.

The chair prepares a Promotion and Tenure Committee Form for Candidates Requesting Promotion [and/or Tenure]. Each Committee member verifies the compiled justifications and signs the Promotion and Tenure Committee Form for Candidates Requesting Promotion [and/or Tenure]. The chair inserts the form in the summary file.

At the conclusion of the promotion and tenure process, each Committee member destroys all personal notes concerning candidate files.

Candidate Notification and Optional Response Letter

The Chair of the Promotion and Tenure Committee notifies each candidate in writing of the Committee's recommendation. The candidate does not receive the numerical vote.

A candidate may request reconsideration of the Committee's recommendation. The request must be made in writing to the Chair of the Promotion and Tenure Committee within three working days of receiving notification of the Committee's initial recommendation. After reconsideration, a candidate may respond in writing to the Committee's second recommendation. Reconsideration of files must be completed five working days prior to the time the files are due to the Senior Vice Chancellor for Academic Affairs.

After evaluating any request for reconsideration, the Promotion and Tenure Committee adds its final recommendation to the file on the Promotion and Tenure Committee Reconsideration Form for Candidates Requesting Promotion [and/or Tenure]. The Chair of the Promotion and Tenure Committee notifies the candidate and the rating administrator and/or dean. Within three working

Promotion and Tenure Procedures

days, the candidate may send a written response to the Committee to be added to the candidate's file. The Chair of the Promotion and Tenure Committee inserts into the file all written responses made by the candidate.

The Chair of the Promotion and Tenure Committee forwards the file to the Office of the Provost and Senior Vice Chancellor for Academic Affairs.

Documents to be Archived

The ballots remain confidential and must be placed in a sealed 8 x 10 envelope and archived by the Office of the Provost and Senior Vice Chancellor for Academic Affairs. The envelope should be labeled with the:

1. Candidate's name
2. Candidate's voting unit
3. Candidate's requested action (i.e., "promotion" or "tenure")
4. Date

Promotion and Tenure Committee Annual Report

The Chair of the Promotion and Tenure Committee announces the number of positive recommendations of the Committee for promotion and/or tenure to the general faculty in the Committee's annual report.

Procedures for the Provost and Senior Vice Chancellor

The Provost and Senior Vice Chancellor for Academic Affairs reviews the file and makes a recommendation regarding promotion and/or tenure. The recommendation is added to the candidate's file, and the candidate is notified in writing with an explanation for the decision.

Candidate Notification and Optional Response Letter

Copies of the Provost and Senior Vice Chancellor of Academic Affairs' final recommendation are sent to the candidate, the candidate's rating administrator and/or dean, and the chair of the promotion and tenure committee. The candidate may write a response to be included in the file within three working days of notification of the Provost and Senior Vice Chancellor's recommendation. The candidate has the option of a personal meeting with the Provost and Senior Vice Chancellor. The Provost and Senior Vice Chancellor inserts the candidate's written response into the file.

After making a recommendation, the Provost and Senior Vice Chancellor forwards the file to the Chancellor.

Procedures for the Chancellor

The Chancellor reviews the file and makes a recommendation regarding promotion and/or tenure. The recommendation is added to the candidate's file, and the candidate is notified in writing with an explanation for the decision.

Candidate Notification and Optional Response Letter

Copies of the Chancellor's final recommendation are sent to the candidate, the candidate's rating administrator and/or Dean, Chair of the Promotion and Tenure Committee, and the Provost and

Senior Vice Chancellor for Academic Affairs. The candidate may write a response to be included in the file within three working days of notification of the Chancellor's recommendation. The candidate has the option of a personal meeting with the Chancellor. The Chancellor inserts the candidate's written response to the file.

If there are differences between the recommendations of the Promotion and Tenure Committee and those of the Chancellor, the Chancellor meets with the Promotion and Tenure Committee to discuss the differences prior to sending his/her recommendations forward to the President.

If the recommendations of the Chancellor vary from those of the Promotion and Tenure Committee, the Committee may add to the candidate's file a written response addressing the Chancellor's recommendations.

No later than March 1, the files, including all recommendations and responses, are sent to the President of the University who sends his/her recommendation to the Board of Trustees. The President informs the Chancellor of his/her recommendation to the Board of Trustees. The President notifies, in writing, candidates who have not been recommended. In the event of a negative recommendation by the President, the candidate may appeal the recommendation to the USC Upstate Faculty Welfare Committee. Such appeal shall follow the published grievance procedures. The President of the University makes the final decision concerning a grievance.

The ultimate decision regarding all faculty requests for promotion and/or tenure is made by the President of the University of South Carolina and the Board of Trustees.

Post Tenure Review Policy

The requirement for post-tenure review is discussed in Chapter 6 of the *Faculty Manual*.

Administrative reviews of tenured faculty members will be conducted by the appropriate administrator.

Post tenure review is required every ten years. Administrators teaching a 50% load or less will not be reviewed until they have moved back into the teaching ranks for the ten year period required for post tenure review. Should a faculty member receive promotion within ten years of being awarded tenure, the first post tenure review will occur ten years after the awarding of the promotion.

The Senior Vice Chancellor for Academic Affairs will compile a list of faculty members who must be considered for post tenure review. The dean of the faculty member under review and the faculty member will be notified of the review by the Senior Vice Chancellor for Academic Affairs during the year prior to the post tenure review.

Faculty members within three years of retirement may submit a letter petitioning the Senior Vice Chancellor for Academic Affairs to allow the faculty member to forego post tenure review. However, if the faculty member decides later to continue in position for more than the three years, he/she will be required to undergo post tenure review.

Faculty members subject to post tenure review must submit their completed files to the Chair of the Peer Review Committee by January 30. The post tenure review file will be reviewed initially by the Peer Review Committee. The Peer Review Committee must determine if the candidate is "maintaining professional performance at rank" or "not maintaining professional performance at rank." This review must be completed by February 21.

The post tenure review file will be minimally comprised of the following:

1. A current curriculum vita.
2. Copies of each annual review completed during the period under review.
3. Files submitted for each annual review during the period under consideration.

If the review is positive, a letter is sent forward to the rating administrator, the dean, and the Senior Vice Chancellor for Academic Affairs informing them of the Committee's decision. The administrator at each level may request a review of the candidate's file; otherwise, upon a positive recommendation from the Peer Review Committee, the post tenure review is sent forward for signatures only. If an administrator has concerns about a positive review, the administrator may request that the Peer Review Committee reconsider the file.

If the faculty member under review is recommended as "maintaining professional performance at rank," then the appropriate dean will determine the level of merit based on the annual review.

Post Tenure Review Policy

Should the Peer Review Committee determine that the post tenure review candidate is “not maintaining professional performance at rank,” the file is moved forward for review as follows: the rating administrator must complete the review by March 1; the dean must complete the review by March 15; and the Senior Vice Chancellor for Academic Affairs must complete the review by March 31. Files must be returned to the candidate by April 15.

Each faculty member under post tenure review has the option to respond in writing within three days of the completion of the review at each level before the files are sent forward. The response letters are placed in the candidate’s file before it is sent forward to the next level.

The faculty member under review may appeal to the USC Upstate Promotion and Tenure Committee within seven working days after receipt of the final post tenure review from the Senior Vice Chancellor for Academic Affairs. The Promotion and Tenure Committee will review materials and make a recommendation to the Senior Vice Chancellor for Academic Affairs within ten working days.

In the event that the faculty member under review is assessed as “not maintaining professional performance at rank” at all levels of the post tenure review process, the appropriate dean will devise a remediation plan in consultation with the Peer Review Committee and the faculty member under review. This plan will include a reasonable timetable, normally not less than one year nor more than three, for the completion of the remediation process. “Not maintaining professional performance at rank” is defined as habitual neglect of duty under the terms of the USC Upstate Faculty Manual. A faculty member who wishes to grieve a remediation plan can file a grievance through the regular University grievance process.

When the remediation process has been judged unsuccessful by the appropriate dean and the Peer Review Committee, the case will be referred to the Senior Vice Chancellor for Academic Affairs, who can recommend termination of tenure through appropriate channels. If a decision is made to terminate the employment of a faculty member under review, the faculty member under review can file a grievance through the regular University grievance process.

Sabbatical Leave Policy

The purpose and eligibility requirements for sabbatical leave are discussed in Chapter 4 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:

<u>Number of Faculty Eligible for Sabbatical Leave in the Academic Unit</u>	<u>Number of Sabbatical Leaves Available Pending Availability of Funds</u>
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.

Sabbatical Review Guidelines

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 (original and eight copies) 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:

1. a vita, including dates of employment at USC Upstate and previous sabbaticals.
2. a signed letter of support from the dean (and unit chair if appropriate)
3. a time-line for the work to be done
4. a budget (if additional funding will be needed)
5. if another agency, organization, or institution will be involved, a letter indicating its intent to cooperate with the project

Sabbatical Leave Policy

6. a statement detailing any expected outside compensation or reimbursement

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

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

The Committee forwards the ranked proposals to the Senior Vice Chancellor for Academic Affairs by the first Monday in November. The Senior Vice Chancellor for Academic Affairs 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 Senior Vice Chancellor for Academic Affairs 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 Senior Vice Chancellor for Academic Affairs. The Senior Vice Chancellor for Academic Affairs distributes the reports to the heads of the appropriate voting units, and places copies in the archives of the USC Upstate library.

Promotion Review Procedures for Non-Tenure-Track Faculty

The promotion review process for non-tenure-track faculty is outlined in Chapter 6 of the *Faculty Manual*.

Application

Application for promotion to senior instructor is made by letter to the unit administrator (i.e., the rating administrator) at the beginning of the sixth consecutive year of service. Copies of the letter should be sent to the dean (if not the unit administrator) and the Senior Vice Chancellor for Academic Affairs.

Unit Criteria

Each unit employing non-tenure-track faculty is responsible for adopting unit criteria for promotion to senior instructor rank. Unit criteria may be based on existing criteria for promotion in the tenure-track, but should be adapted with consideration for the reduced service or scholarship expectations for non-tenure-track faculty. In the event that a unit does not have published criteria for promotion for non-tenure-track faculty, the promotion process is based on the general criteria specified in the *Faculty Manual*. Unit criteria may specify additional requirements for promotion and additional documentation for the promotion review file.

Calendar

Promotion Review parallels Administrative Review. The promotion review committee and review by the dean should be completed by March 31. Each unit establishes dates for application and the submission of files.

File Preparation

Candidates for promotion to senior instructor should prepare a promotion review file consisting of the usual documentation for the previous year as required by the unit for Administrative Review, and a detailed summary of the past five years. Individual units may require additional documentation as specified in unit criteria.

The detailed summary should include:

1. Copy of university and unit criteria for promotion
2. Current CV
3. Copies of Administrative Reviews for the past five years. Summaries of all major activities in teaching/librarianship and assigned administrative duties for the past five years. Classroom faculty should list all courses taught, summarize the numerical averages from student opinion polls, and detail any especially important aspect of their work with students in the classroom. Library faculty should list their contributions to reference, library instruction, collection development, liaison duties, and coordinating areas. Depending on documentation required from the past year, candidates may elect to include course syllabi and samples of assignments, tests, peer observations of teaching, and other materials.
4. Summaries of contributions to service and scholarship. Candidates should explain the weight given to these areas and how they are balanced with teaching or librarianship and other assigned duties.
5. Other documentation required by unit (if any).

Promotion Review Committee

The purpose of the promotion review committee is to aid the unit administrator in determining whether the candidate has met university and unit criteria for promotion and to provide accountability to the faculty. Membership in the committee is specified in the *Faculty Manual*. Each committee member examines the file and the committee votes on whether the candidate has or has not met university and unit criteria for promotion. The unit administrator summarizes the vote and any pertinent comments from committee members and includes the results in the letter recommending or not recommending promotion.

Optional Interview

The unit administrator and faculty member may meet for an optional interview after the promotion review committee has voted.

Notification of Progress and Candidate's Response

Candidates for promotion must be notified in writing of the decisions at each stage of the process: by the unit administrator within 5 days of the decision by the promotion review committee, by the dean within 5 days of a promotion decision, and by the Senior Vice Chancellor for Academic Affairs when the final decision has been made. Candidates have the right to respond to recommendations by the promotion review committee and dean as specified in the *Faculty Manual*.

Selection, Appointment, Review, and Termination of Part-time Faculty

Basic selection and appointment procedures for part-time faculty are covered in Chapter 5 of the *Faculty Manual*.

Documentation

Before approving an appointment for a part-time faculty position, the Office of Academic Affairs requires the following items:

1. Academic Personal Information Form;
2. a current *curriculum vitae*;
3. official transcripts, both graduate and undergraduate, OR copies of transcripts and copies of appropriate Transcript Request Forms;
4. the appointment letter ready for the Senior Vice Chancellor's signature.

To be added to the USC Upstate payroll, successful candidates must provide the following items to the Office of Human Resources:

1. employment eligibility verification (Form I-9);
2. tax forms (W-4 and VA-4);
3. a signed acceptance of the appointment; and
4. any other documents required for some candidates because of citizenship status or other special circumstances.

Notice of Employment

Usually, part-time faculty members will be informed of their employment and teaching assignment at least a month before the semester begins. When a person is hired shortly before the start of a semester, this period necessarily will be shorter. The appointment letters should be sent by the Office of Academic Affairs, should be signed by the candidate and returned to the dean or chair, who will copy the letter and forward the original to the Office of Human Resources. Part-time faculty contracts of employment are for a single semester only.

Pay Scale

Fringe Benefits

A copy of the current part-time pay scale is available from the hiring academic unit.

USC Upstate pays Social Security benefits, unemployment, and workers' compensation for part-time faculty members and provides access to direct deposit of wages. Part-time faculty members can participate in the South Carolina Retirement System and may participate in tax-deferred annuities. Every effort will be made to provide access to office space, computer use, and other amenities normally afforded a faculty member.

Annual Leave

Part-time faculty members do not earn annual leave. All instructional faculty members share with students the various breaks and vacation times of the academic calendar, as published in the academic calendar.

Sick Leave

Missing Assigned Duties

Part-time faculty members are not eligible for sick leave.

If part-time faculty members miss assigned duties for two weeks or less, their pay may be reduced commensurate with the actual time missed. If more than two weeks of work are missed, the appointment agreement may be terminated, and they will not be paid for the remainder of the semester.

Orientation

New part-time faculty members receive orientation from the hiring academic unit. The Office of Academic Affairs may provide a packet of orientation materials.

Supervision

The hiring dean or chair is the direct supervisor of the part-time faculty member. That unit administrator will provide the part-time faculty member with teaching and office assignments as well as with information on terms of employment, professional responsibilities, and working conditions. Comments on the quality of this supervision should be directed on a confidential basis to the Senior Vice Chancellor for Academic Affairs.

Evaluation

Part-time faculty will be evaluated by their unit administrator each year. By March 15 of each year, part-time faculty will compile a brief portfolio and submit it to the unit administrator. The portfolio will include materials from the previous calendar year: the Self-Evaluation form, Student Opinion Polls for each course taught, course materials prepared by the faculty member (syllabi, sample tests, handouts, etc.), and other materials as appropriate. Evaluation materials may also include the evaluator's observation. Once completed, the adjunct will receive a copy of the evaluation and will have the right to accept it or to write a response letter. The evaluation and any response letter will become part of the adjunct's file in the academic unit office. Adjuncts must receive at least a Satisfactory rating in evaluations to continue employment at USC Upstate.

Termination of Employment for Cause

Employment of a part-time faculty member during the semester may be terminated for cause. Cause includes, but is not limited to, the following:

- Professional incompetence or lack of teaching effectiveness;
- Failure to verify award of the appropriate degree with an official transcript;
- Willful misrepresentation of academic credentials, required licenses or certification, publications, or previous work experience;

- Neglect of duty;
- Serious misconduct;
- Moral turpitude;
- Physical incapacity or medical disability.

The Senior Vice Chancellor for Academic Affairs is responsible for making the termination of employment decision, in consultation with the appropriate dean or chair.