

# Faculty Manual

University of South Carolina Upstate  
Approved by General  
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Approved by  
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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 Faculty Chair 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*.

Pamela Steinke  
Provost and Senior Vice Chancellor for Academic Affairs

## USC Upstate Mission, Values, and Priorities

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

The University of South Carolina Upstate is a leading regional public university that transforms the lives of our diverse students, their families, and communities—advancing social and economic mobility throughout the Upstate region. Consistent with the international character of the Upstate, the University promotes global perspectives and serves as a driver of economic growth. Our innovative courses and programs are offered in a variety of formats and locations to meet undergraduate and graduate student needs. The University attracts exceptional, diverse faculty, staff, and students who engage in high-impact experiential learning, cutting-edge research, and deeply connected community engagement. A University of South Carolina education empowers students to become lifelong leaders in their professions and communities.

*Approved by USC Board of Trustees, June 24, 2021. Pending approval by the S.C. Commission on Higher Education, May 30, 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 PRIORITIES

We create transformative opportunities . . .

- By Providing Rigorous, Career Relevant, and Accessible Education
- By Enhancing the Quality of Life in Upstate South Carolina
- By Being the University of Choice for Faculty and Staff, Students, and the Community

## 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. Deans report directly to the Provost. Deans are responsible for the personnel and program administration of the college; they review curricula and programs in the 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 college. Deans are the presiding officer of the faculty of the college. Deans of colleges that are not departmentalized also have the duties and responsibilities of department chairs. Deans consult the faculty of the college 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. 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 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 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.

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



- *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.

#### 2.1 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* must be reviewed and approved by the appropriate faculty governance body, described in more detail below (see Approval Requirements), as well as by the USC Upstate Chancellor, USC President, and Board of Trustees. The Appendices may be amended in appropriate cases by the University without faculty or trustee approval; changes must, however, be reported to the Senate at its next meeting.

##### Types of Changes (UNIV 1.00 Policy on Policies)

Two types of changes may be made to the *Faculty Manual*.

A non-substantive change is a revision related to grammatical or formatting revision, URL update, titles of individuals and organization structure, material appearing only in an appendix, and other changes of similar impact.

A substantive change is a revision constituting impactful change on implementation or compliance.

#### 2.1b Proposal Process

Members of the faculty are invited to make recommendations for changing the *Faculty Manual*. Faculty members should submit those recommendations in writing to the Faculty Chair for consideration.

For any non-substantive changes of a grammatical or formatting nature, no vote is necessary, and the Faculty Chair announces the changes at the Senate. If materials to be inserted into the Appendix are notices of established policy, the Chair announces the insertion at the Senate. If materials to be inserted into the Appendix relate to the faculty review process, faculty approvals should be obtained prior to announcing the insertion of the materials into the Appendix.

For proposed changes of a substantive nature, the Faculty Chair presents the material for discussion to the Faculty Advisory Committee or Expanded Faculty Advisory, as well as other relevant Faculty Governance Standing Committees, the Senate, and the Provost and Chancellor to finalize the proposal.

The Chair prepares the proposed changes to present to the Faculty. The Chair announces the proposed changes to the Senate and makes them available to the entire faculty via email or website. The Chair announces a period of faculty review and organizes the methods for gathering feedback from faculty. The Senate may request a public forum for discussion of the proposed changes.

In coordination with Faculty Advisory, the Provost, and the Chancellor, the Chair considers faculty feedback, makes appropriate revisions, and produces a final draft of the proposed changes for the purposes of a faculty vote. The Faculty Chair presents items for a vote by the appropriate faculty body; in some cases, this will be the General Faculty, and in other cases, this will be the tenured and tenure-track faculty (see Approval Requirements).

#### 2.1 c Approval Requirements

- 1) Changes that require a *two-thirds vote of the tenured and tenure-track faculty voting on the proposal*: This approval requirement applies to modifications to university promotion and tenure criteria in Chapter 5.
- 2) Changes that require a *majority vote of the tenured and tenure-track faculty voting on the proposal*: This approval requirement applies to modifications to all other aspects of the faculty review process, excluding promotion and tenure criteria and instructor review.
- 3) Changes that require a *majority vote of the General Faculty voting on the proposal*: This approval requirement applies to modifications to instructor review policies in Chapter 5 of the *Faculty Manual* and substantive changes to all other chapters.

Non-substantive changes for the faculty review process as defined by UNIV 1.00 do not require a vote but must be reported to Senate at its next meeting.

#### 2.1d Voting Procedures

The Faculty Chair organizes the vote on proposed changes to the *Faculty Manual*. Votes cannot be taken on an abstract principle; rather, the proposed change must be submitted in the form of a revised section of the *Faculty Manual*.

Proposed changes to the *Faculty Manual* must be provided to the Faculty in writing at least one month prior to the vote. Prior to the vote, the Chair informs the faculty of the procedures and timing of the vote. Votes may be taken by voice, show of hands, or electronic means.

Votes conducted electronically should be held over a period of three business days to give faculty sufficient time to reflect and cast an electronic ballot, maximizing inclusiveness by making the vote accessible to faculty with various work and family schedules. The Chair reports the results of the vote to the faculty by email, posts them on the *Faculty Manual* webpage, and announces them at the next Senate or General Faculty meeting.

#### 2.1 e Administrative Approval Process

If approved by the Faculty, the Chair forwards the amendments to the Office of the Provost. If approved by the Provost, the Provost forwards the proposed changes to the Office of the Chancellor. If approved by the Chancellor, the Office of the Chancellor coordinates the final review process and

prepares the proposal for presentation to the Board of Trustees. For more information on preparation guidelines, see UNIV 1.00 Policy on Policies.

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.

Proposed revisions will be forwarded for comment to the USC Office of the General Counsel and the Division of Human Resources, as well as an information copy to the Executive Council. Final versions of the *Faculty Manual* revisions will be forwarded by the Chancellor's Office to the USC President and then to the Board of Trustees for approval. The Faculty Chair inserts approved revisions into the Faculty Manual, indicates the date of approval on the cover page, posts a pdf version of the manual in the Current Manual section of the Faculty Manual webpage, and announces Board approval by email and at the next Senate or General Faculty meeting.

## 2.2 THE GENERAL FACULTY

*Purpose.* The General Faculty is a core mechanism for faculty governance at USC Upstate. Gatherings and votes conducted by the General Faculty are designed to support the principle of shared governance by soliciting discussion, debate, and decision-making on matters of concern to the Faculty, including but not limited to updates to the *Faculty Manual* and the regular election of officers, senators, and new members of Faculty Governance Standing Committees. The General Faculty may also reconsider an action of the Senate (see Recalling an Action of the Senate).

### 2.2a Membership and Voting.

The University Faculty consists of the President, Chancellor, Provost, and other USC Upstate administrators with faculty status (Vice Chancellors and Deans of all academic units, Assistant/Associate Deans, Chairs, Assistant/Associate Chairs, Directors, Assistant Directors), and all full-time faculty members (tenured and tenure-track faculty, instructors, and senior instructors).

All persons recognized as members of the Faculty, excluding those in administrative roles at the ranks of Chancellor, Provost, and Deans, have the right to present motions and vote, except in matters of tenured and tenure-track faculty review, which limit voting to tenured and tenure-track faculty members (see Approval Requirements).

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 proxy voting.

Voting may be conducted electronically, as long as measures have been taken to preserve the anonymity and confidentiality of individual votes (see Voting Procedures).

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 a different academic unit do not confer upon a faculty member the right to participate in decisions made by that unit. Separate academic units are the Library (LIB), Mary Black College of Nursing (MBCON), and the academic departments and divisions of the College of Arts, Humanities, and Social Sciences (CAHSS), the College of Science and Technology

(CST), the College of Education, Human Performance, and Health (CoEHPH), and the George Dean Johnson, Jr. College of Business and Economics (JCBE).

Officers of the General Faculty retain voting rights. The Faculty Chair's voting rights are limited to cases where the Chair's vote would change the outcome.

## 2.2b Elected Officers of the General Faculty

*Faculty Chair.* The Faculty Chair is elected at the end of spring semester and serves a term of four years. The first year of the term entails service as Chair-elect, followed by two years as Faculty Chair, culminating in a final year as Past Chair. Previous experience in faculty governance is preferred.

The Faculty Chair provides faculty leadership on a variety of institutional matters; maintains regular communication with administrators regarding proposed university initiatives, personnel matters, faculty review matters, and other faculty concerns; convenes and presides over meetings of the General Faculty, Faculty Senate, and Faculty Advisory Committee; supervises the Faculty Governance Standing Committees; represents the Faculty on various university committees; and updates the *Faculty Manual* as necessary and in accordance with established procedures (see Proposal Process).

In addition, the Faculty Chair provides clear written communication about faculty governance matters by setting the faculty governance calendar; conducting elections for governance positions; managing rosters for the Faculty Senate and Faculty Governance Standing Committees; soliciting, reviewing, and providing feedback on plans of action developed by Faculty Governance Standing Committees; and updating the faculty governance website, in coordination with the Faculty Governance Webmaster.

On the system level, the Chair serves as liaison to the Board of Trustees as needed, sometimes involving attendance at meetings of the Board in Columbia; meets monthly with the other Faculty Chairs in the system; serves on the System Faculty Leadership Council; and joins the platform party at USC Upstate commencement ceremonies.

The position of Faculty Chair represents a significant time commitment; nominees should be at a point in their career that will permit them substantial focus on this leadership role. For details on reallocated time, see USC Upstate [ACAF 7.06](#). The Faculty Chair (including years as Chair-Elect and Past Chair) is not eligible to serve on Peer Review Committees or Faculty Governance Standing Committees, other than Faculty Advisory and Expanded Advisory, and should limit service primarily to the role of Faculty Chair.

*Faculty Chair-Elect or Past Chair.* The Faculty Chair-elect (or Past Chair) assists the Faculty Chair and may be designated by the Faculty Chair to represent the Faculty on committees and at commencement ceremonies in place of the Faculty Chair. The Faculty Chair-Elect (or Past Chair) presides over the General Faculty in the absence of the Faculty Chair. Faculty members serving as Chair-Elect shall focus on preparing for their term as Faculty Chair by deepening their familiarity with faculty governance procedures and the scope of the position.

The Past Chair serves in an advisory capacity to the Faculty Chair. If the Past Chair is unable to serve, the General Faculty will elect a new Past Chair *Pro Tempore* from among eligible faculty members with significant leadership experience on campus. Previous experience as Faculty Chair is preferred but not required.

*Faculty Recording Secretary.* The Faculty Recording Secretary is elected at the end of spring semester, serves a term of one year, and can be re-elected to serve additional consecutive terms. The Faculty Recording Secretary records meetings of the General Faculty in audio and written form,

finalizing the minutes in consultation with the Faculty Chair, to be distributed to the members of the Faculty. The Faculty Recording Secretary annually compiles and publishes a summary of faculty actions.

## 2.2c Appointed Officers of the General Faculty

*Faculty Parliamentarian.* The Faculty Parliamentarian advises the Chair in meetings of the General Faculty. The Faculty Parliamentarian must undergo professional training over the summer (supported by the faculty governance budget) in preparation for their term. The Faculty Parliamentarian is appointed by the Faculty Chair at the end of spring semester. The term is for one year and can be renewed for consecutive terms. The Faculty Parliamentarian retains voting rights in the General Faculty.

*Faculty Governance Webmaster.* The Faculty Governance Webmaster assists the Faculty Chair by updating webpages relating to faculty governance based on information provided by the Chair. The Faculty Governance Webmaster is appointed by the Chair. The term is for one year and can be renewed for consecutive terms. The Faculty Governance Webmaster retains voting rights in the General Faculty.

## 2.2d Meetings

*Conduct of Business.* The faculty follows *Robert's Rules of Order* (Revised) unless otherwise stipulated. An agenda is prepared by the Faculty Chair and distributed at least 10 days before the meeting. Faculty members may contribute to the agenda by submitting items to the Faculty Chair by the deadline on the Faculty Governance Master Calendar.

*Regular and Called Meetings.* General Faculty meetings are held at the beginning and end of each academic year (typically August and May). Additionally, a special meeting of the faculty may be called by the President, Chancellor, or Faculty Chair. Alternatively, the faculty may call a special meeting by submitting a written request to the Faculty Chair on behalf of a minimum of 25% of the voting members of the Faculty. Upon receiving the request, the Faculty Chair must set a date for a meeting to be held within seven days.

In years with substantive proposals to revise the *Faculty Manual*, it is recommended that the General Faculty be convened for a special meeting in March to discuss proposed revisions and prepare for a vote. This recommendation permits an opportunity to revise and reconsider the proposal before the end of the academic year. Amendments can be made from the floor and do not necessarily require an additional 30 days before the vote. Any member of the faculty may request an anonymous vote. Votes can be conducted by show of hands, written or electronic ballot during the meeting, or electronic ballot over a period of three days within a week after the meeting ends (see Voting Procedures).

In the interest of maintaining a family-friendly structure in faculty governance, meetings of the General Faculty should typically conclude by 5:00PM. It is recommended that matters still under discussion at 5:00PM be tabled until the next meeting.

## 2.3 FACULTY SENATE

*Purpose.* The Faculty Senate is a representative body of faculty governance at USC Upstate. As such, the Faculty Senate conducts discussion and votes on matters of concern to the Faculty, with a primary focus on matters of curriculum. The Senate also determines academic policies and can make resolutions or serve in an advisory manner to administration regarding any aspect of the university.

### 2.3a Membership and Voting

*Membership.* Membership in the Faculty Senate is confined to full-time faculty members (tenured tenure-track, senior instructors, and instructors), including faculty with some administrative duties (Assistant/Associate Chairs, Directors, Assistant/Associate Directors). Senate membership and officer roles exclude faculty in major administrative roles (Chancellor, Provost and Vice Provost, Vice Chancellors and Assistant/Associate Vice Chancellors, Deans, Assistant/Associate Deans, and Chairs). A minimum of one year in a full-time position at the university is recommended before serving as a faculty senator.

*Representation of Units.* Representation in Faculty Senate is allocated as follows: one representative for each seven full-time faculty members, or portion thereof. Representatives are filled by a majority vote at the General Faculty meeting in the spring, with nominations from the academic units. It is recommended that faculty members do not serve simultaneously on more than two college or departmental, or division committees while serving on Faculty Senate.

*Terms and Vacancies.* The term of office is three years, with the terms of one-third of the Faculty Senate expiring each year. Elected members who are not able to complete their terms shall be replaced by an eligible individual selected by the same academic unit. The replacement senator serves until the next General Faculty meeting, at which time the Faculty elects a senator to complete the remaining time of the unexpired term.

*Voting.* Voting during a Faculty Senate meeting is open to elected members only. The Faculty Chair-elect or Past Chair and the Recording Secretary are voting members of the Senate. The Faculty Parliamentarian is not a voting member of the Senate. The Faculty Chair votes only in cases in which the vote would change the outcome of the motion. There is no provision for proxy voting. Votes taken in the Faculty Senate may be by voice, show of hands, written ballot, or electronic means. Any senator may request a written or anonymous electronic ballot.

### 2.3 b Officers of the Faculty Senate

Officers of the General Faculty also serve as officers of the Faculty 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 Faculty Senate in the absence of the Faculty Chair. The Faculty Recording Secretary records meetings of the Faculty Senate in audio and written form, finalizing the minutes in consultation with the Faculty Chair, to be distributed to the members of the Faculty. The Faculty Parliamentarian advises the Chair in meetings of the Faculty Senate and is not a voting member of the Senate. If the webmaster is a senator, that senator retains voting rights. Otherwise, the Faculty Governance Webmaster is not a voting member of the Senate.

*Conduct of Meetings.* The Senate follows *Robert's Rules of Order* (Revised) unless otherwise stipulated. 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.

An agenda is prepared by the Faculty Chair and distributed at least 10 days before the meeting. Faculty members may contribute to the agenda by submitting items to the Faculty Chair by the deadline on the faculty governance master calendar.

In the interest of maintaining a family-friendly structure in faculty governance, meetings of the Senate should typically conclude by 5:00PM. It is recommended that matters still under discussion at 5:00PM be tabled until the next meeting.

*Reconsidering an Action of the Senate.* To reconsider an action of the Senate, a petition may be submitted to the Faculty Chair signed by 25% of the voting members of the Faculty. The Chair must call a General Faculty meeting within seven days of receiving of this petition. As stipulated in the Senate Bylaws, a decision by the Faculty Senate may be overruled by a majority of eligible faculty present and voting at a regular or called General Faculty meeting, or by a majority of eligible faculty casting a ballot in an electronic vote subsequent to the General Faculty meeting.

## 2.4 FACULTY GOVERNANCE STANDING COMMITTEES

*Creation.* The Faculty establishes standing or special committees as it deems necessary. Faculty Governance Standing Committees should avoid duplication of effort.

*Purpose.* Faculty Governance Standing Committees conduct important work reflecting the principle of shared governance at USC Upstate. They report to the General Faculty and may be asked to provide reports to Faculty Advisory, Expanded Faculty Advisory, or Faculty Senate.

*Modification or elimination.* The faculty may modify or eliminate standing or special committees as it deems necessary. A motion for modification or elimination of a committee must be brought forward by a member of the Faculty during a regular or called Faculty Senate meeting. A majority vote in the Faculty Senate is required to modify or eliminate a standing committee (see Senate Bylaws).

### 2.4a Membership, Terms, and Vacancies

*Membership.* Membership on Faculty Governance Standing Committees is confined to full-time faculty members (tenured, tenure-track, senior instructors, and instructors), including those with some administrative duties (Directors, Assistant/Associate Directors, Assistant/Associate Chairs, Assistant/Associate Deans). Membership excludes the Chancellor, Provost, Vice Chancellors, Assistant/Associate Vice Chancellors, Deans, Chairs, and faculty officers, except in *ex officio* roles.

Representatives are filled by a majority vote at the General Faculty meeting in the spring, with nominations from the relevant academic units, or are appointed by the Chancellor where designated in the committee descriptions.

No academic unit can have more than one representative on a Faculty Governance Standing Committee. Committee members may not succeed themselves on the Committee unless there are no other eligible faculty members in the area they represent.

It is recommended that faculty members do not serve simultaneously on more than two Faculty Governance Standing Committees and that faculty members serve on no more than one standing or ad hoc University committee and two college or departmental committees.

*Terms.* Terms of appointed and elected committee members in most Faculty Governance Standing Committees are for three years. New committee members assume duties after the spring commencement.

*Vacancies.* Elected members who are not able to complete their terms shall be replaced by an eligible faculty member from the area they represent or appointed by the Chancellor where appropriate. The replacement member serves until the next General Faculty meeting, at which time the Faculty elects a committee member to complete the remaining time of the unexpired term. Faculty members elected to fill unexpired terms on committees are eligible for re-election to serve a full term.



*Ex Officio Members.* *Ex officio* members are not considered members of a committee when computing maximum committee assignments. The role of *ex officio* members 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 Governance Standing Committees.

#### 2.4b Committee Business

*Meetings.* Each Faculty Governance Standing Committee is required to meet a minimum of four times a year to consider matters respective to the responsibilities of the committee (see Committee Descriptions) or matters charged to the committee by the General Faculty, Faculty Senate, or Faculty Chair. Each Faculty Governance Standing Committee meeting will be guided by an agenda to be made available to committee members at the start of each meeting. A meeting agenda should include, at minimum, the following items: meeting name, date, and items of business to be addressed.

*Reporting.* Each Faculty Governance Standing Committee is an agency of the faculty and makes two written reports each year. The Fall Report, to be delivered to the Faculty Chair by September 30, contains an official schedule of meetings and plan of action for the academic year. The Spring Report, to be presented verbally at the end-of-year General Faculty meeting, contains a summary of its activities and actions during the year, noting any outstanding items of business that will carry over to the next academic year. The Spring Reports become a part of the General Faculty meeting minutes. Spring Reports must be submitted in writing to the Faculty Chair by May 10. The Faculty Chair coordinates the publishing and archiving of these records.

The Faculty Chair reviews committee rosters, reports, and activities to support the work of the Faculty Governance Standing Committees and to ensure compliance.

*Voting.* Voting on matters considered by the committee is open to elected members of the committee only. All student members of Faculty Governance Standing Committees are voting members. Committee chairs vote only in the case of a tie, with the exception of the Chairs of Promotion and Tenure and the University Post-Tenure Review Committee.

Voting on matters considered by Faculty Governance Standing Committees may be conducted electronically, as long as appropriate measures are taken for the anonymity and security of the vote. In all cases, deliberation and voting on personnel matters (i.e., Peer Review Committees, the Promotion and Tenure Committee, and the University Post-Tenure Review Committee) must be done in committee meetings (whether in person or virtual) or in ePortfolio software and cannot be conducted by email.

#### 2.4c Committee Leadership

*Committee Chairs.* Committee chairs are elected by Faculty Governance Standing Committees by April 30. In addition to electing a committee chair each spring, the Promotion and Tenure Committee may vote on a chair-elect to learn procedures and provide support to the chair when requested.

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. Faculty members may chair only one Faculty Governance Standing Committee at a time.

Each Faculty Governance Standing Committee Chair develops a schedule of meetings and a plan of action for the academic year and submits them to the Faculty Chair by September 30 (Fall Report).

Committee chairs also file meeting documentation with the Faculty Chair by May 10 (Spring Report; see Meetings). Certain committee chairs with exceptional responsibilities are eligible for additional compensation (see ACAF 7.06).

Faculty Governance Standing Committee Chairs serve on the Expanded Faculty Advisory Committee, which meets three times a year, and may provide reports periodically to this body or to Faculty Senate throughout the academic year to promote communication among faculty governance bodies.

#### 2.4d Committee Descriptions

*Academic Affairs Committee.* The Academic Affairs Committee is composed of one faculty member from each academic 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 academic unit administrator.

Academic units requesting programmatic changes must submit all relevant course material information to the Academic Affairs Committee by the deadlines provided on the Faculty Governance Master Calendar. Each academic unit develops procedures for reviewing and approving or rejecting proposals for undergraduate or graduate program development, modification, or deletion, as well as individual undergraduate or graduate course approval, deletion, or modification.

*Assessment Committee.* The Assessment Committee consists of one elected representative from each JCBE, CoEHPH, MBCON, three elected representatives from the College of Arts, Humanities, and Social Sciences, and two elected representatives from the College of Science and Technology. The library does not have a seat on this committee.

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 academic 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 senators serve on Advisory for terms of one year; terms are renewable. The Faculty Advisory Committee is convened by the Faculty Chair for regularly scheduled meetings, three times per fall and spring semester.

Faculty Advisory serves as a small group sounding board for the Chancellor and Provost, as well as a think tank to support the work of the Faculty Chair in maintaining and updating the *Faculty Manual*.

The committee operates as a conduit for communicating faculty interests, questions, and concerns upward from the academic units to the Faculty Chair, Provost, and Chancellor. The committee also communicates strategic initiatives from the Faculty Chair, Provost, and Chancellor to the units for discussion and recommendations.

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.

On alternating meeting dates, Faculty Advisory will convene in an expanded form—to be called the Expanded Faculty Advisory Committee—for a total of three meetings per year (two in the fall, one in the spring). The Expanded Faculty Advisory Committee consists of the Chairs of all Faculty Governance Standing Committees and the Chairs of relevant *ad hoc* committees or councils (e.g., Instructor Concerns Committee, Academic Chairs and Directors Council), in addition to the officers and senators on the regular Faculty Advisory Committee. The purpose of the larger group is to increase communication, build community, and pool knowledge among the faculty governance leadership team.

*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 the Faculty and 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*). The Chair of the Faculty Welfare Committee ensures that faculty members willing to serve in the grievance pool undergo the required Title IX coordinator training before the election of the grievance pool in August.

*General Education Committee.* The General Education Committee is composed of one representative from each unit. The Committee provides recommendations to the Academic Affairs Committee.

The Committee is charged with the oversight of the design of the General Education Curriculum, ensuring it reflects current best practices. This oversight includes regularly reviewing assessment data and making recommendations based on these data when program changes are needed to better address competencies.

The Committee conducts cohesive and collaborative discussions and decisions related to the General Education Curriculum. The Committee establishes the definitions, criteria, and competencies for each University General Education area; reviews syllabi, and approves all courses used to satisfy University General Education requirements; facilitates periodic review of all courses fulfilling General Education requirements, as stated in the USC Upstate *Academic Catalog*; and makes recommendations to Faculty Senate for modification or termination of courses in the General Education Curriculum.

The Committee consults with the Office of Institutional Effectiveness and Compliance, the Office of Student Affairs, the Academic Affairs Committee, and the Assessment Committee to make informed decisions and recommendations. The Committee coordinates faculty development programming for implementing General Education student learning outcomes (SLOs). The Committee facilitates and encourages campus dialogue and communication regarding the General Education Curriculum and its underlying philosophy.

*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 library does not have a seat on this committee.

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; 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, and one from each JCBE, CoEHPH, MBCON and the 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 this Committee unless there are no other eligible members from that unit.

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 complete their terms shall be replaced by the academic unit. The replacement member serves until the originally elected faculty member returns to the Committee, or, in cases where the original member does not return, until the next General Faculty meeting, at which time the faculty elects a senator to complete the remaining time of the unexpired term. Following service as a replacement Committee member, the faculty member is eligible for election to a full term (see Vacancies).

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 and Provost before being added to the Promotion and Tenure website. 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 on all promotion and tenure applications. The Committee also hears appeals of post-tenure reviews and makes recommendations to the Provost.

*Student Services Committee.* Student Services Committee. The Student Services Committee consists of eight members, seven of which are elected positions: one faculty member from each of the professional colleges, two elected representatives from CAHSS, one from CST, and one from the Library. One student representative is appointed annually by the Vice Chancellor of Student Affairs 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 student appeals.

*System Faculty Leadership Council.* The University of South Carolina System Faculty Leadership Council provides a representative voice in system affairs and facilitates collaboration among the faculty organizations comprised in the University of South Carolina system. With respect to functions the Board of Trustees delegates to University administration, the Council has a consultative function: it represents the will of the system's faculties to such bodies as may be established to administer system affairs and serves as a means by which system administrators may communicate with faculty.

The Council coordinates faculty governance in those areas where the Board of Trustees delegates legislative powers to the faculties of individual campuses, including but not limited to standards of admission, granting of earned degrees, and curriculum. In no instance will the Council usurp authority previously delegated to campus faculties by the Board of Trustees.

USC Upstate will elect three representatives to the University of South Carolina System Faculty Leadership Council, and any other representatives as required by the bylaws of the Council. The Faculty Chair (or designee) will also serve on the Council. No more than one representative will be elected from any College or Library to serve simultaneously. Leadership experience in faculty governance, especially Faculty Senate, Faculty Welfare, or the Academic Affairs Committee, is strongly encouraged for nominees. Elected representatives will serve staggered three-year terms. The member serving the third year of their term will chair any independent meetings of the USC Upstate representatives

*University Post-Tenure Review Committee.* The UPTR Committee will be comprised of seven tenured faculty members at the rank of professor/librarian or associate professor/librarian (one from each college, one from the Library, and one faculty member-at-large) to be elected each fall for a two-year term. Dates for the completion of this term will be staggered to create continuity on the committee across multiple years.

Prior experience serving on a Peer Review Committee or the Promotion and Tenure Committee is preferred but not required. Faculty members may not serve on the UPTR Committee if they are currently serving on the Promotion and Tenure Committee; if they are undergoing post-tenure review; or if they conduct annual administrative reviews. Members of the UPTR Committee may not have faculty supervisory responsibilities.

#### 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, 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 unit 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 unit 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, 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 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 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. Consultation with the faculty of the college 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, 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 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

#### 5.0 OVERVIEW

Faculty review represents an important component of our commitment to making USC Upstate a university of choice for faculty, staff, students, and community members. A system of regular and periodic reviews ensures that all faculty members receive timely mentoring and professional advice from administrators and peers. Constructive review feedback supports a culture of continuous improvement and professional development in the areas of teaching, scholarly and creative activities, and service.

All full-time faculty members undergo regular reviews corresponding to their rank, stage of career, and classification of position. The purpose of these reviews is to provide a basis for professional improvement and development, and to provide grounds for retention, promotion, and tenure. USC Upstate maintains the following categories of faculty review (presented in more detail later in this chapter):

*Annual Administrative Reviews.* All full-time faculty members (tenured, tenure-track, senior instructors, instructors) undergo an administrative review in the spring by their rating administrator, to include a current CV and any other materials indicated by the unit.

*Tenure-Track Faculty Reviews.* Faculty on the tenure track undergo additional reviews in specific years by their peers, including: Third-Year Review, Promotion and Tenure, and Post-Tenure Review. Faculty members who have completed another review portfolio (e.g., third-year review, promotion and tenure, post-tenure review) earlier in the year may import content from their previous portfolio to avoid duplication of effort in the same year.

#### 5.1 PRINCIPLES

##### 5.1a Administrative-Based vs. Peer-Based Reviews

USC Upstate maintains two types of procedures for conducting reviews: administrator-based and peer-based. All reviews are conducted electronically.

*Administrative review.* The administrator-based procedure is used for the annual administrative review. This review is conducted by the faculty member's unit administrator. The procedure and responsibilities of candidates and administrators are described below in a later section (see Annual Administrative Reviews).

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

##### 5.1b 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, University, and 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. Within each unit, the tenured and tenure-track faculty members develop and regularly review unit criteria for promotion, tenure, and post-tenure review to reflect the expectations of that unit, the standards of the disciplines or professions within that unit, and the employment responsibilities for tenure-track faculty

members at USC Upstate. Unit criteria should indicate appropriate levels of activity and acceptable evidence or performance indicators by which to measure quality of work

Unit criteria will be reviewed within the unit every three-five years, or sooner if the unit or institution makes changes in evaluative terms or expectations. See Appendix VIII: Unit Criteria for more guidance.

#### 5.1c Definitions of Evaluative Terms

The evaluative terms below will be used for all reviews in all academic units.

*Excellent.* The category of excellent is reserved for faculty whose work significantly exceeds the 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 for excellence.

*Highly Effective.* The category of highly effective is reserved for faculty members whose performance exceeds the 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 for highly effective work.

*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 for effective work.

*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 risks impeding the mission of the University. Individual unit criteria provide examples of specific performance indicators for less than effective work.

*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 for ineffective work.

#### 5.1d 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 Appendices V-VIII based on recommendations from the Promotion and Tenure Committee.

#### 5.1 e Statement of Ethical Responsibility

Candidates may consult colleagues not involved in the review process for advice. All Peer Review (PRC), Promotion and Tenure (P&T), and University Post-Tenure Review (UPTR) Committee members must review annually and adhere to the following ethical guidelines:

- The proceedings of the Committees are confidential with respect to all materials, all discussions, and all votes.
- There shall be no discussion of files among individual Committee members except during formal Committee meetings.

- The Committees shall discuss only material contained in the files of the candidates under consideration.
- Committee members shall not enter into communication with other faculty, including candidates, concerning candidates for review.
- Discussion of candidates, contents of files, and committee deliberations or actions shall not be conveyed by email.
- 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.
- Members of Peer Review, P&T, and UPTR Committees must meet formally to deliberate files, to ballot, and to write summary recommendations. Committee members' votes shall reflect their best judgment of a candidates' qualifications in meeting the stated unit criteria as presented in their files.

Complaints about possible violations of this code, or any faculty review-related procedures, should be made to the Chair of the Faculty Welfare Committee and the Vice Provost. In consultation with the Chair of Faculty Welfare and the Chair of Promotion and Tenure, the Vice Provost will determine whether further action is warranted.

Candidates may also address these violations 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.

## 5.2 ANNUAL ADMINISTRATIVE REVIEWS

Annual administrative reviews are completed by tenured unit administrators. In most cases, chairs or program directors act as the unit administrator. In the College 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 (see Appendix VII: Other Reviews). 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 deadline for submitting the file is May 15; the review and optional interview must be completed by July 1 (see Appendix VIII).

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 electronically confirm receipt of the review. The faculty member's signature indicates having seen and understood the review and does not necessarily indicate agreement with the review. A copy of the signed administrative review is provided to the faculty member. The form is added to the candidate's annual administrative review file.

Faculty members may respond in writing to the reviews submitted by the unit administrator. The optional written response should be submitted within ten days of receiving the review and will be included with the faculty member's administrative review file. After the Chair or unit administrator submits the review, the file progresses to the Dean and then to the Provost.

## 5.2a Exemptions

Tenured faculty with administrative duties who report directly to a dean or above are exempt from annual administrative reviews as faculty members until they are no longer in an administrative position. These individuals should still undergo an annual performance evaluation to assess their work as administrators. Those evaluations may vary in format and are coordinated by the supervisor. However, if they wish to undergo post-tenure review, these faculty members must have undergone two administrative reviews during the review period (see Post-Tenure Review). Faculty in this administrative category who are instructors or are still in the probationary period of the tenure track must adhere to the established annual administrative review schedule.

## 5.2b Annual Administrative Review for Instructors and Promotion to Senior Instructor

In addition to teaching, instructors and senior instructors are reviewed in at least one other area—Scholarly/Creative Activities and/or Service—to be chosen by the instructor. After six consecutive years in a full-time instructor position, faculty may seek promotion from Instructor or Instructor Librarian to the rank of Senior Instructor or Senior Instructor Librarian based on these annual administrative reviews.

## 5.2c Adjunct Faculty

Faculty in part-time adjunct professor positions will be reviewed for teaching performance on an annual basis by the unit administrator. Adjunct reviews are conducted in the first term after hire and every twelve months thereafter.

## 5.3 Peer Reviews

Peer Review of faculty is completed at regular intervals in a tenure-track faculty member's career, including in the third-year, years in which the faculty member applies for promotion and/or tenure, and years in which the faculty member undergoes post-tenure review. Faculty members undergoing peer review prepare and submit a file according to established procedures and guidelines (see Appendix V-VII).

### 5.3a Creation of Peer Review Committees

Peer Review Committees (PRC) are formed within each unit at the end of each spring semester and elect a chair in preparation for the submission of files in August. PRC members should include five tenured faculty members. It is recommended that each PRC include at least one faculty member from a different unit to serve as an outside member. 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 in any unit; faculty serving on the Promotion and Tenure Committee; faculty who conduct administrative reviews or have faculty supervisory responsibilities; and faculty who are already serving on two peer review committees.

If there are fewer than four tenured faculty members within a unit to form a PRC, then additional eligible faculty members from outside the Unit may be nominated and elected by the tenure-track faculty within the unit to serve on the PRC.

### 5.3b Peer Review Committee Chair Duties

PRC Chairs initiate the peer review process by informing all faculty members seeking peer review within their unit of committee deadlines at least 30 days prior to the deadline for submitting peer review files. PRC Chairs provide these faculty members with the calendar, unit criteria, and guidelines for preparing the file.



PRC Chairs also distribute 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. The PRC Chair is also responsible for collecting letters of evaluation and adding them to the candidate's file.

The PRC Chair is responsible for providing instructions to committee members for completing the review. Procedures vary depending on the type of review

Acting on behalf of the committee, the PRC Chair may request additional documentation from faculty members undergoing evaluation.

The PRC Chair collects the reviews completed by individual members and synthesizes them into a written summary of the committee's evaluation of each faculty member 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 electronically signed and dated by each member of the peer review committee, thus indicating that each member has seen the summarized comments. If a disagreement arises over the summarized comments, the Chair is responsible for rewriting the summary review until an agreement is reached and all signatures are in place. The PRC Chair is responsible for submitting the signed summary Faculty Review Form to the candidate's file.

Faculty members undergoing 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.

Continuity of leadership is important to the integrity of the review process, providing all candidates for tenure and promotion in a given year with a uniform experience of review at the unit level, from the initial contact thirty days before the file's due date through the final step of completing the review. Taking on the role of the PRC Chair is a significant commitment in a process that determines the employment status of one's colleagues. Unless ethical issues arise to create a conflict of interest, PRC Chairs should expect to maintain this leadership position throughout the review cycle for which they were elected.

#### 5.3 c Peer Review Committee Member Duties

Every member of the PRC is responsible for examining each review file in detail. Files must be reviewed in a secure area to protect the confidentiality of the file review process. Committee members are required to complete a Faculty Review Form for each faculty member submitting a file. Committee members must provide written comments on each section of the review to support their evaluation. The individual committee member reviews are not signed. Committee members are required to meet (in person or in a virtual setting) at least once to discuss the files.

#### 5.4 Tenure-Track Faculty Periodic Review

The next step after the PRC evaluation varies depending on the type of review being conducted.

##### 5.4a Third-Year Review

All full-time tenure-track faculty members undergo peer review in their third year based on university and unit criteria for promotion and tenure. The purpose of the third-year review is to provide an opportunity for the tenure-track faculty member to receive support and guidance in developing the Promotion and Tenure file and assess progress toward tenure. Faculty can request a peer review during other years as well. During the preparation of the file, it is recommended that the candidate is in contact with the PRC Chair. During the candidate's file preparation, the PRC Chair will provide support and guidance upon request.

The file then moves from the PRC to the faculty member's Chair, Dean, and the Provost.

#### 5.4b Tenure and Promotion

This section applies to faculty members applying for tenure and promotion to Associate Professor/Librarian or Professor/Librarian.

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.

*Notification of All Faculty Members.* The Office of the Provost, in consultation with the Chair of the Promotion and Tenure Committee, informs all faculty members of the dates for submitting files by April 15. Those considering a request for promotion and/or tenure are asked to submit an Intent Form to the Office of the Provost and 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 each year's spring term, 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.

Faculty applying for promotion and/or tenure must follow the procedures of file preparation required for promotion and tenure (see Appendix V).

File submission, file review, and deliberation of files for promotion and tenure take place in an ePortfolio system. Institutional support will be provided to faculty members as they learn the details of the relevant platform. Faculty members bear ultimate responsibility for preparing the file and supporting documentation for promotion and/or tenure. It is the faculty member's responsibility to upload their files by the first day of Fall semester.

#### 5.4 c 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 guidelines.
- *Award of Tenure at Time of Appointment.* Tenure at the time of appointment will only be awarded if it is in the University's best interest. Permission to negotiate concerning the award of tenure to the rank of associate professor/librarian or professor/librarian 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 votes and any written comments concerning the appointment are forwarded as part of the committee's recommendation to the Provost.

- *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 or creative activities 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 and should be counted as relevant evidence by faculty review committees.
- *Eligibility.* To promote its welfare, the University generally 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.
- *Maximum Probationary Period.* The maximum probationary period for all full-time faculty members appointed at the professor/librarian or associate professor/librarian rank 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/librarian is continuous service in the rank for seven years at USC Upstate. The maximum probationary period at any combination of ranks is the probationary period of the faculty member's first tenure-track appointment at USC Upstate.

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

- *Extension of Probationary Period.* For documented reasons of a serious health condition (of a faculty member and/or the faculty member's spouse, child, or parent) and 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, to provide them additional time to fully demonstrate 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 the decision year's classes. 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 approval of the rating administrator (if applicable), Dean, and 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 unnecessary 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 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. 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 policy's probationary period.

- *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/librarian 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 University's best interest not to renew the appointment, notice of such non-renewal is given in writing by March 1 (July 1 for a spring 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 spring 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 before the date of non-renewal.
- *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.

#### 5.4d Tenure and 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/creative activities, or (b) are in disciplines where the earned terminal degree is not commonly required for undergraduate teaching.

#### 5.4 e Tenure and Promotion Eligibility for Library Faculty

*To be eligible for tenure*, library faculty members must possess a record of *highly effective* performance in librarianship performance 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 earn a master's degree from a program accredited by the American Library Association.

*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.

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.

#### 5.5 Post-Tenure Review

The primary function of post-tenure review is to support and invest in one of the university's greatest strengths, its dedicated and talented faculty. Through a combination of self-assessment, administrative review, and peer review, post-tenure review recognizes and rewards the professional accomplishments and productivity of faculty members after tenure.

Additionally, it provides a periodic occasion to examine broader patterns of career development than those visible in single-year reports and to assess directions for the future.

Finally, the process provides an opportunity for those few faculty members whose contributions have fallen below acceptable levels to find ways to re-engage their interests, talents, and energies.

Post-tenure review does not reevaluate the award of tenure and may not be used to shift the burden of proof in a proceeding to terminate a tenured faculty member. The sole process for termination of tenure remains in Chapter 7 of the *Faculty Manual*. In every stage of the post-tenure review, the principles of academic freedom and due process are protected.

#### 5.5a Terms and Timeline for Post-Tenure Review

The definition of “post-tenure” is the period of time in a faculty member’s career that begins upon completion of the tenure process. The calculation of years in the post-tenure review schedule is based on the most recent of the following dates: the awarding of tenure, last promotion, or last successful post-tenure review.

During the post-tenure period, all tenured faculty continue to undergo formal review by a unit administrator every year, called the annual administrative review. These reviews provide one mechanism for evaluating faculty after tenure but do not reflect the views of our peers, widely considered to be an important method of establishing the quality of work in the academic profession.

Post-tenure review combines administrative review with peer review. After a minimum of six years or a maximum of ten years in the post-tenure period, all tenured faculty members undergo this additional level of review. The post-tenure review file will be evaluated by the University Post-Tenure Review (UPTR) Committee and the Provost.

Faculty with administrative responsibilities (i.e., Chairs, Directors, and Associate or Assistant Deans) may choose to stop the post-tenure clock while holding these positions. In the interest of fairness and inclusivity, however, these faculty are also permitted to count those years toward post-tenure review if they feel ready to undergo this form of review. These faculty members may incorporate administrative initiatives, managerial contributions, and continuing education in academic leadership in their post-tenure review files under service or other relevant areas of review.

Likewise, faculty with course reallocations for any combination of reasons (e.g., reallocated time for research, service duties, sabbaticals, modified duties, etc.) are permitted to count those years toward post-tenure review. Years served at other institutions do not count toward post-tenure review. The post-tenure review clock stops for full-time administrators (Deans and above) until they return to faculty status.

Reviews of faculty in the post-tenure period will be conducted in the spring semester according to the master calendar. This schedule differs from the review for promotion and tenure which is conducted in the fall semester. Candidates and reviewers must adhere to the appropriate calendar, procedures, and file preparation guidelines in the *Faculty Manual* appendices.

#### 5.5b Criteria

To receive a favorable Post-Tenure Review, faculty members must possess a record of *highly effective* performance in teaching/librarianship and *effective* contributions to scholarship and creativity, as well as service. These categories will be assessed based on unit criteria, which must include specific performance indicators for the post-tenure period. The post-tenure review shall be sufficiently flexible to accommodate faculty from differing disciplines and with varying responsibilities, professional interests, and career profiles. The review acknowledges that faculty members may contribute to the institution’s mission in different ways at different points in their careers.

## 5.5 c Outcomes

*Favorable Review.* Faculty members who receive a favorable review will be eligible for a salary increase, to be added to the base pay at the start of the following academic year.

*Unfavorable Review and Development Plan.* In the event that a faculty member does not receive a favorable review, the appropriate Dean will coordinate a faculty development plan in consultation with the faculty member and unit supervisor. The faculty member can opt to invite a tenured peer or mentor of the faculty member's choice to participate in devising the development plan if consultation with peers would be beneficial. Institutional resources may be made available to support the faculty member in successfully completing the development plan.

The development plan will include a reasonable timetable, typically one to three years. Upon completion of the development plan, including a positive administrative review from the unit administrator, the faculty member can request a new Post-Tenure Review in accordance with the master calendar. If the faculty member is unable to meet the goals of the plan within the designated timetable, no salary increase will be awarded, and the Provost will determine if further actions are necessary.

*Appeal.* Alternatively, the faculty member may appeal the decision of the Provost by requesting a review by the Promotion and Tenure Committee. The faculty member must make this request in writing within five business days of receiving the decision from the Provost. The appeal should be completed by the last day of final exams in spring semester. The Promotion and Tenure Committee Chair will notify the faculty member, UPTR Committee Chair, Chair, Dean, and Provost of the appeal decision (to be selected from one of three options: support appeal, do not support appeal, neutral/abstain). The Provost will consider the outcome of the appeal and issue a final decision on the file.

*Grievance.* The faculty member may grieve an unfavorable review through the procedures indicated in Chapter 6 only if the concern meets the requirements for a grievance (e.g., decision based on discriminatory attitudes/practices or failure to follow policies of the university). Grievances for post-tenure review would require a Grievance Hearing Panel drawn from tenured faculty members in the grievance pool. The grievance committee submits its evaluation to the Chancellor who issues a final decision.

## 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 of 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 of 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 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. The parliamentarian advises the Chair on appropriate and efficient management of meetings and is not a voting member of the 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 ten business days prior to the Senate meeting. Senate members may contribute to the agenda by submitting items to the Faculty Chair by the date established in the Faculty Governance Meetings Calendar.

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 seven 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*.

### Teaching Policy: Using the Learning Experience Survey Effectively

#### *Philosophy*

The Learning Experience Survey is designed to provide faculty with specific feedback to help improve teaching and learning. It is important that students have a vehicle for communicating their learning experiences in their courses and know that USC Upstate faculty carefully consider this feedback. There is no expectation that faculty will act upon all feedback. However, even when the feedback does not lead to changes, knowing what students are thinking provides an opportunity for the faculty member to engage with their students so that students can better understand the rationale behind course and assignment design.

It is also important that students understand their responsibility to provide helpful feedback informed by their learning needs and experiences, not by their personal biases. To this end, the University supports a common introduction to the Learning Experience Survey that puts it in context of helping to provide useful feedback.

The instrument is intentionally designed to focus on specific aspects of the course that could impact student learning, rather than overall generalizations about the instructor. This strategy has been taken, in part, to help minimize students responding out of bias by focusing students' attention on specific course characteristics that are directly related to learning. Asking more specific questions also provides better information about how to address and provide support for faculty who are having issues in the classroom.

USC Upstate works to minimize bias through the use of the Learning Experience Survey results. Interpretation of results through a strict comparison of means is not recommended. Bias in relationship to instructor characteristics such as race and gender can influence course evaluations, and therefore, mean ratings. Additionally, course differences in level, range of student choice, and modality can all result in differences in means that have no relationship to the quality of the course. Therefore, comparing the mean rating of one course to another, or to all courses in a department or college/school, may be like comparing apples to oranges. It is better to put results in context of trend data (e.g., Are courses that received lower ratings in the past trending up?) and in context of a distribution (e.g., Where are the results in relationship to a larger distribution of results such as department, college/school or university?).

Even with careful attention being paid to the instrument and the interpretation of results, USC Upstate strongly supports the use of the Learning Experience Survey as only one of many sources of information about teaching and learning. Other sources include peer observation of class/online delivery; peer review of course design, syllabi, and materials; grade distributions; implementation of innovative, research-based pedagogies; and evidence of using assessment data to make improvements. The Center for Academic Innovation and Faculty Support (CAIFS) provides guidance on best practices for reviewing courses and for interpreting the results from Learning Experience Surveys.

Finally, USC Upstate recognizes that the usefulness of the results of Learning Experience Surveys are highly dependent upon response rates. One of the greatest factors affecting response rates is demonstrating to students that faculty actually use the results for improvement. Actively encouraging students to complete the Learning Experience Survey, discussing how the feedback has helped in the past, providing opportunities for feedback early in the course, and completing Learning Experience

Surveys in class when teaching face-to-face can all enhance response rates at the individual course level. CAIFS will work with faculty to effectively implement these and other strategies including in online courses. USC Upstate academic affairs administration, deans, and department chairs must also send a clear, consistent message that response rates matter by monitoring trends in response rates and recognizing faculty who have consistently high response rates.

### *Procedures*

The Office of Institutional Effectiveness and Compliance is responsible for ensuring that all Learning Experience Surveys are administered and that appropriate procedures are followed.

The Learning Experience Survey administration will be integrated into Blackboard as much as possible to allow for as much direct access and communication as possible for both students and faculty.

Learning Experience Surveys will be administered in all classes with at least 5 students enrolled.

Learning Experience Surveys will open within the last three weeks of classes (opening dates will vary by length of term) and will close prior to the start of final exams.

If Learning Experience Surveys are administered during class time in face-to-face classes, the instructor must remain outside the classroom during the administration.

Results of Learning Experience Surveys will not be released until 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: FILE PREPARATION FOR PROMOTION AND TENURE

### A5.0 General Information

- All files will be uploaded electronically into the University's ePortfolio system. Our current contract is with Chalk and Wire. Faculty members can access Chalk and Wire directly or through the CAIFS organization on Blackboard. Instructions can be found in Appendix VIII.
- Faculty members in their penultimate year of a probationary appointment must submit a file to be considered for tenure and promotion to Associate Professor/Librarian.
- Faculty members wishing to be considered for promotion to Professor/Librarian must submit a file.
- The due date for Promotion and Tenure files is the first day of classes in fall semester.
- The Promotion and Tenure file consists of two sections: Summary Documents and Supporting Materials. Files are organized in the manner listed below. The purpose of these guidelines is to assist faculty members in presenting an organized and accurate presentation of their accomplishments in teaching or librarianship, scholarship/creative pursuits, and service.
- The general instructions for file organization are the same for Classroom Faculty and Library Faculty with the exception of the sections on Teaching Effectiveness and Librarian Effectiveness. The Summary Tables for Teaching or Librarian Effectiveness in the Summary Documents section also differ.
- The electronic candidate file will be forwarded to USC to the Office of President for review by the Board of Trustees.

### A5.1 Rationale for ePortfolios

An ePortfolio is a collection of digital artifacts that together paint a picture of a faculty member's accomplishments at a point in time that can be archived and documented as a guarantee of the quality of our academic programs. EPortfolios have the capacity to include all materials typically required in review files, ranging from CVs and case narratives that summarize and highlight faculty work to form-based data collection tables that allow the institution to generate timely reports about publications, service, public scholarship, consulting, grants, undergraduate research, course development, professional development, awards and honors, and so on. An ePortfolio has the capacity to accommodate conventional uploaded files and digital links to samples of faculty accomplishments.

In addition, ePortfolios are inherently flexible and portable, allowing faculty members to build on annual portfolios that can be imported directly into larger summative portfolios at key benchmarks in the faculty member's career. They are also adaptable to multiple purposes and can be reshaped and reused to form the basis of award applications for internal or external purposes. By using eportfolios, USC Upstate facilitates the recognition of faculty achievements and promotes a culture of data-based continuous improvement.



## A5.2 Organization of Summary

### Documents PART ONE:

#### OVERVIEW

- I. Prefatory Material
  - a. USC Upstate Mission: Provided on Chalk and Wire.
  - b. Unit Mission: Select appropriate unit mission statement on Chalk and Wire.
  - c. Unit Criteria: Faculty applying for tenure and promotion to Associate Professor/Librarian may select the unit criteria to use and must state this selection on the Candidate Information Form: Unit criteria in effect at the time you were hired for a tenure-track position at USC Upstate, or Unit criteria currently in effect. Faculty applying for promotion to Professor/Librarian may select either of the following and must state this selection on the Candidate Information Form: Unit criteria currently in effect, or the most recent of the following two options: Unit criteria in effect at the time of your promotion to Associate Professor/Librarian, or unit criteria in effect five years prior to this application for promotion to Professor/Librarian.
- II. Letter(s) of Appointment: Upload initial letter of appointment (with salary redacted) and all subsequent letters of Tenure and/or Promotion.
- III. Candidate Information Form/Voting Summary: Candidates fill out information fields in Chalk and Wire. Voting summary tallies are added by the chairs of the Peer Review and Promotion and Tenure Committees and appropriate administrators at each level of the promotion and tenure process.
- IV. One-page Curriculum Vitae (CV): Since this is one of the documents the Board of Trustees reviews, make sure that it highlights the strongest evidence for your application for tenure and/or promotion, heavily weighted toward your current review period. Template Located in Appendix VIII (Forms). The CV should be neat, readable, grammatically correct, and well organized. Font cannot be less than 11 pt.
- V. Full CV: The full CV represents your entire professional career. There is no template but consult your unit on whether there is a preferred structure. Organize your accomplishments into categories that correlate well to the summary tables. Place accomplishments in reverse chronological order. Each accomplishment should be included in one category (no double dipping). Use black font for achievements during the review period and a lighter font for accomplishments outside the review period. This will assist reviewers in counting and evaluating accomplishments during the review period. If you were hired with credit toward P&T, the accomplishments during that period count as part of your review period and should be in black font.
- VI. Summary Tables (Teaching/Librarianship, Scholarship/Creative Pursuits, and Service): Choose the Teaching Effectiveness or Librarian Effectiveness table as appropriate.

PART TWO: DETAILS OF TEACHING/LIBRARIANSHIP, SCHOLARSHIP/CREATIVE PURSUITS, AND SERVICE

A5.3 Overview of Teaching Effectiveness (Classroom Faculty)

- I. Teaching Philosophy: Explain the underlying beliefs and ideas, personal and professional, that shape your approach to teaching. Demonstrate beliefs about your teaching and learning in your discipline through selected examples.
- II. Brief Description of Program or Course Development, or Course Design/Redesign
  - a. If you have worked on new program proposals or new course proposals, include information about that here.
  - b. If you have modified existing programs or courses, include that here.
  - c. Other focal points in this section could address significant improvements and your approach to selected courses listed in *Teaching Summary: Courses Taught and Enrollment*.
- III. Brief Description of Undergraduate Research Projects, Independent Study Projects, internships, and other Special courses
  - a. This can include partnering with undergraduates in your own research,
  - b. Mentoring undergraduates in their independent research,
  - c. Sponsoring undergraduates for travel grants to present research at conferences,
  - d. Traveling with undergraduates to conferences, or
  - e. Being the instructor of record for independent studies, internships, unscheduled courses, or study abroad courses.
- IV. Teaching Evaluations: Three Mandatory Documents
  - a. Mandatory Evaluation of Teaching Effectiveness by Immediate Supervisor
    - i. Tenure-track faculty members applying for tenure and promotion to Associate Professor are responsible for inviting immediate supervisors to attend/observe a class period (or, in the case of online teaching, to view a course on Blackboard) before the penultimate year for use in the supervisor's evaluation of candidate's teaching.
    - ii. Supervisors will base these evaluations on class observation, trends in learning experience surveys, administrative reviews, and other appropriate measures.
    - iii. When considering evaluations/learning experience surveys, reviewers should consider biases related to gender, race, sexual orientation, content rigor, and other factors established in the academic literature.
  - b. Mandatory Peer Evaluation of Teaching Effectiveness (Classroom or Online)
    - i. Minimum of one during the review period
    - ii. 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.
    - iii. Recommended components for classroom teaching include evaluation of the instructional plan, communication of learning goals for a class session, time management, classroom climate, level of student engagement, responsiveness to students, course syllabus, and overall design.
    - iv. 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.
    - v. Peer evaluators should consult USC Upstate's web materials on [Support for Peer Observation of Teaching](#).

- vi. Faculty members will select the peer evaluation method (e.g., narrative, rubric, template)—in consultation with unit administrator—that aligns best with unit criteria to make a fair and informative assessment of teaching quality.
- c. Candidate's Comment on Teaching
  - i. Create a table, graph, or other effective methods of compiling relevant learning experience survey scores from the review period.
  - ii. Develop a narrative that demonstrates the quality of teaching, including but not limited to the following components:
    - 1. Description of teaching strengths and goals,
    - 2. Summary of trends in learning experience surveys, peer evaluation, and other relevant measures of teaching quality, as well as actions taken to maintain or improve the quality of teaching,
    - 3. Representative quotations from learning experience surveys,
    - 4. 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)

#### A5.4 Overview of Librarian Effectiveness (Library Faculty)

- I. Statement of Philosophy of Librarianship  
Explain the underlying beliefs and ideas, personal and professional, that shape your approach to librarianship.
- II. Brief Description of Effectiveness as a Library Faculty Member  
Provide a brief description of your duties and accomplishments in the principal activities that directly support the university's educational mission: reference work, information literacy, collection development, and coordinating activities. The description should include demonstrated interest in and awareness of the importance of cooperation among libraries.
- III. Brief Description of Significant Library Innovation  
List and briefly describe your most important innovations during the review period that have improved library services, processes and procedures.
- IV. Mandatory Evaluations of Effectiveness as a Library Faculty Member
  - a. Mandatory evaluation summary of Effectiveness as a Library Faculty Member by the Dean of the Library, covering activities in reference, information literacy, collection development and coordinating area, based on unit criteria.
  - b. Mandatory peer observations (one from a tenured librarian required; additional peer observations from any library faculty may be included)
  - c. Candidate's comments on evaluations of Effectiveness as a Library Faculty Member
    - i. Develop a narrative based on the evaluation of the Dean of the Library, peer observations, student and faculty feedback forms for library instruction, learning experience surveys for the credit course, feedback for reference questions, and previous annual and peer reviews.
    - ii. Demonstrate growth and adjustments to your activities in response to student and faculty feedback and other evaluations.
    - iii. Include comments from students, faculty and peers where they support your narrative.
    - iv. Consider including a table, graph or other method of presenting data such as the averages of student or faculty feedback forms for information literacy.

#### A5.5 Overview of Scholarly and Creative Pursuits

In this section, faculty will provide a brief description of scholarly and creative activities.

##### Annotated List of Scholarly and Creative contributions

- a. Consider organizing the information to correlate to the summary table.
- b. Indicate relevance or impact of each item. Units may provide guidance on appropriate or effective methods of demonstrating relevance/impact.
- c. Noting/describe any themes or unifying threads that emerged in your scholarly/creative activities during the review period.
- d. Write for a general academic audience; faculty outside your discipline should be able to understand your work based on your descriptive and broadly accessible language.
- e. For collaborative work, describe your role in the project.
- f. Optional: Describe your ongoing/future research agenda.

#### A5.6 Overview of Service Activities

In this section, faculty will provide a brief description of service activities.

##### Annotated List of each item from the Service summary table.

- a. Consider organizing the information to correlate to the summary table.
- b. Include primary responsibilities, notable achievements, and general time demands (not necessary to specify hours per activity).
- c. Reminder: faculty with administrative duties during the review period are permitted to include administrative initiatives and accomplishments as service activities. Consult unit criteria for more guidance on this component.

#### A5.7 PART THREE: ASSESSMENT, EVALUATIONS, AND RECOMMENDATIONS

- I. Case Narrative: The purpose of the case narrative is to present the candidate's case for promotion and/or tenure, referencing unit criteria and addressing in narrative from the candidate's philosophical perspective, goals, and accomplishments in each of the three assessment areas: teaching/librarianship, scholarship/creative pursuits, and service.  
Suggested length of the narrative is 1-3 pages, single-spaced. Keep in mind that teaching/librarianship is the most highly valued of the three areas of assessment at USC Upstate. Develop a case narrative that reflects that institutional priority. Faculty members holding administrative positions during the review period may address that work under service or as a fourth area of the narrative.
- II. Reviews and Letters
  - a. Third-Year Review: For faculty seeking promotion to Associate Professor. Uploaded by the candidate.
  - b. Annual Administrative Reviews: Provided by the candidate and uploaded in reverse chronological order for the review period.
  - c. List of Letters Requested by Candidate: Faculty member will provide a list of requested support letters to the Peer Review Committee Chair with the confidentiality indicated. Faculty members cannot request letters from any member of the current Peer Review or P&T committees.
  - d. Internal Letters: Letters should be written within one year of file submission. Peer Review Committee (PRC) Chair receives/uploads internal letters to candidate ePortfolio.
  - e. External Letter(s): 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). Letters should be written within one year of the file submission. Guidelines for external reviewers follow:

#### Guidelines for the Selection of External Reviewers

1. The candidate and rating administrator will jointly create a list of potential external reviewers.
2. External reviewers must be tenured faculty members at accredited institutions and should be of the candidate's equal or greater rank. They must also be active scholars, artists, or librarians in the field of research for which the candidate is being evaluated.
3. External reviewers may not have been the candidate's co-author, research collaborator, or dissertation committee member. The reviewers should acknowledge and describe any relationships with the candidate in the written letter.
4. 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 external reviewers from completing this task.
5. Letters must be written in the calendar year of application for promotion and/or tenure.

#### Guidelines for Contacting External Reviewers

1. The rating administrator will make all contacts with the external reviewers, using the templates below and available on the Promotion and Tenure Committee's website.
2. 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 all the review materials will be sent.
3. It is the responsibility of the rating administrator to provide the external review letter along with the CV and Acceptance Form to the Peer Review Committee Chair who will upload the documents to the ePortfolio.
4. Letter templates can be found on the Promotion and Tenure Committee website.

### III. Recommendations/responses to reviewers of promotion and tenure file Recommendations

- a. Peer Review Committee Recommendation and Justifications (form to be completed, signed by all members of the committee, and uploaded by the Peer Review Committee Chair)
- b. Unit Chair Recommendation and Justification (completed, signed, and uploaded by the unit chair on university letterhead)
- c. Dean's Recommendation and Justification (completed, signed, and uploaded by the dean on university letterhead)
- d. Promotion and Tenure Committee Recommendation and Justifications (form to be completed, signed by all members of the committee, and uploaded by the Promotion and Tenure Committee Chair)
- e. Provost's Recommendation and Justification (completed, signed, and uploaded by the Provost and Senior Vice Chancellor for Academic Affairs on university letterhead)
- f. Chancellor's Recommendation and Justification (completed, signed, and uploaded by the Chancellor on university letterhead)

Responses: The appropriate reviewer uploads all the candidate's responses relating to the application for promotion and/or tenure. Candidates may send copies of all responses to the Chair of the Promotion and Tenure Committee.

File Submissions are shared using the Chalk and Wire Platform. Go to Appendix VIII for further instructions on electronic submission.

#### A5.8 Organization of Supporting Materials

- I. Comprehensive List of Supporting Materials. Organize materials in three major sections—Teaching/Librarianship, Scholarship/Creative Pursuits, and Service—and list the items in each section. It is recommended to group documents into larger files corresponding to these sections or logical divisions within them and to choose file names that relate to these sections. Cross-referencing from documents in the Summary section of the file to specific supporting materials is encouraged.
- II. Scope: Representative samples of teaching/librarianship, scholarship/creative pursuits, and service activities should be placed in this section of the file. This instruction to include “representative samples” represents a significant paradigm shift in the understanding of documentation for promotion and tenure files at USC Upstate, initiated in 2019, to create reasonable expectations for faculty undergoing the P&T process and manageable file sizes for reviewers.
  - a. Toward that end, the Supporting Materials section is not an exhaustively detailed record of every activity undertaken during the review period. Instead, supporting materials should highlight the candidate's most significant activities which align with their unit criteria and provide the most substantial possible evidence to support the candidates' justification for promotion and/or tenure. Refer to unit guidelines and seek mentoring for specific guidelines on appropriate type and amount of materials to make the most robust case.
  - b. Focus in particular on providing documents referenced in your case narrative.
  - c. As the documentation file 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 learning experience survey in Supporting Materials.
  - d. However, if a candidate feels that, for example, including selected learning experience surveys will address concerns surrounding teaching effectiveness, that particular candidate may elect to include relevant learning experience surveys.
  - e. Ultimately, the candidate must determine which evidentiary components are the most compelling for the application and include only those materials.

## Appendix VI: File Review for Promotion and Tenure

- A. Candidate's Responsibilities
  - 1. Candidates are responsible for submitting an electronic portfolio that thoroughly documents accomplishments as prescribed by the unit criteria and the university promotion and tenure guidelines, according to the prescribed timeline (See Master Review Calendar and P&T Website)
  - 2. Candidates should meet with the PRC Chair to prepare and submit their promotion and tenure file.
  - 3. Candidates prepare their file according to the promotion and guidelines (See Appendix V: File Preparation).
- B. Peer Review Committee Chair Responsibilities: PRC Chair Duties are indicated in Chapter 5: Faculty Review. The following guidelines elaborate on the recommended relationship between the PRC Chair and the Candidate.
  - 1. The Chair of the Peer Review Committee works with the Candidate to ensure that the files are in the required format for promotion and tenure review.
  - 2. During the support and guidance period after the submission of the file, the PRC Chair collaborates with the Candidate to incorporate recommendations of the PRC into the file.
  - 3. The PRC Chair and the Candidate have joint responsibility for ensuring that Candidate's file is in the required format for promotion and/or tenure review.
  - 4. All communications between the Peer Review Committee and the Candidate go through the PRC Chair.
  - 5. At any time before formal deliberation and final vote of the Peer Review Committee, candidates may review and revise their files, except for letters solicited by the Candidate and sent directly to the Chair of the Peer Review Committee. Once the evaluation and deliberation period begins, Candidates cannot revise or add to their files.
- C. Peer Review Committee Member Duties and Responsibilities
  - 1. Review ethical guidelines of peer reviewing in Chapter 5: Faculty Review.
  - 2. Review Candidate documents presented in the submitted file and evaluate the effectiveness of the Candidate's accomplishments in teaching/librarianship, scholarship, and creative activities and service. Review recommendations and support letters.
  - 3. Evaluate file based on the unit criteria and P&T guidelines. Only material present in the file may be considered.
  - 4. Complete an individual, unsigned copy of the Faculty Review form and submit the form to the Chair for summary and communications with the Candidate.
  - 5. Vote and electronically sign the voting form.
- II. Chair/Rating Administrator Responsibilities
  - A. In the months prior to file submission, the chair/rating administrator solicits external review letters, collects the external reviewer CV, and completes the Acceptance of Outside Reviewer form.
  - B. Provide the CV and Acceptance of Outside Reviewer form to the PRC Chair prior to the deadline for submitting the file.
  - C. After the PRC Chair finalizes the PRC's 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.

- D. Notify Candidate of decision in writing, along with an explanation, and provide instructions for optional response letter. The Candidate response must be made in writing to the rating administrator within five working days after receiving notification of their recommendation.
- E. The rating administrator adds the Candidate's response to the file.
- F. Forward file, including the rating administrator's letter of recommendation, to the school or college dean.

### III. Procedures for the Dean

- A. Review the file, write a letter assessing the Candidate's qualifications, and make a recommendation on Promotion and/or Tenure to be included in the Candidate's file.
- B. Notify the Candidate and provide instructions for optional response letter from Candidate. The response must be made in writing to the Dean within five working days after receiving notification of their recommendation.
- C. If optional response letter is submitted, add the Candidate's response to the file and forward file to Promotion and Tenure Committee.

### IV. Procedures for the Promotion and Tenure Committee

- A. Calendar: The Promotion and Tenure Committee publishes the Master Review Calendar in Spring. The Promotion and Tenure calendar includes deadlines for file submission to the Peer Review Committees and recommendations from Peer Review Committees, Chairs/rating administrators, Deans, the Promotion and Tenure Committee, the Provost, and the Chancellor. This calendar will be consistent with the general calendar in Appendix VII and the calendar maintained on the P&T website.
- B. Confidentiality: Review ethics of reviewing faculty files in Chapter 5: Faculty Review, with special attention to rules of confidentiality and the instruction to limit discussion to material in the file.
- C. Additions to File: Any member of the Committee may introduce in writing any matter into the Candidate's file for consideration, provided the material submitted 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.
- D. File Review: Once submitted to the Promotion and Tenure Committee, the committee members electronically review all files. Each committee member is assigned individual files to review and discuss. The Chair of the Promotion and Tenure Committee provides committee 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 designated Candidate's file to the committee; all members must read and be prepared to discuss the file of every Candidate.
- E. File Presentation: When the Committee is ready to deliberate on 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. To vote, there must be eight (8) members present to discuss any candidate or vote. If only eight (8) members are present and a tied vote results, the vote is considered negative.
- F. Voting on 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 Chair of P&T will tabulate the votes, synthesize the comments, and upload the votes and summary of the comments. Each member will review the tabulation and affirm the vote tabulation and summary of comments.

- G. Candidate Notification and Optional Response Letter: The P&T Chair notifies the Candidate in writing of the Committee's recommendation and provides instructions for the optional response letter. The candidate does not receive the numerical vote.
  - H. Reconsideration: 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 the Committee's initial recommendation notification. After reconsideration, a candidate may respond in writing to the Committee's second recommendation. Reconsideration of files must be completed five working days before the files' time due to the Provost. 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].
  - I. Candidate Notification of Reconsideration: The Chair of the Promotion and Tenure Committee notifies the Candidate and the rating administrator and/or Dean. Within three working days, the Candidate may send a written response to the Committee to be uploaded to the eportfolio.
  - J. Upload Materials: The P&T Chair uploads into the file all written responses made by the Candidate and forwards the file to the Provost.
  - K. Announcing Outcome: The Chair of the Promotion and Tenure Committee announces the number of positive recommendations of the Committee for Promotion and/or Tenure in the Committee's Spring Report to the General Faculty.
- V. Procedures for the Provost
- A. The Provost reviews the file and make a recommendation regarding Promotion and/or Tenure. The recommendation is added to the ePortfolio, and the Candidate is notified in writing with an explanation for the decision.
  - B. The Provost notifies candidate of decision with explanation and provides instructions for optional response letter.
  - C. Copies of the Provost's final recommendation are sent to the Candidate, the Candidate's rating administrator and/or Dean, and the Chair of the P&T Committee.
  - D. The Candidate may write a response to be included in the file within three working days of notification of the Provost's recommendation. The Candidate has the option of a personal meeting with the Provost. The Provost then forwards the file to the Chancellor.
- VI. Procedures for the Chancellor
- A. 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
  - B. Candidate Notification and Optional Response Letter instructions
  - C. 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 uploads the Candidate's written response to the file.
  - D. If there are differences between the recommendations of the Promotion and Tenure Committee and the Chancellor, the Chancellor meets with the Promotion and Tenure Committee to discuss the differences; the Promotion and Tenure Committee may add to the Candidate's

- file a written response addressing the Chancellor's recommendations before the Chancellor forwards a recommendation to the President.
- E. No later than March, the entire electronic portfolio (summary documents and supporting materials, including all recommendations and responses), is sent to the President of the University, who sends a recommendation to the Board of Trustees. The President informs the Chancellor of this recommendation to the Board of Trustees. The President of the University of South Carolina and the Board of Trustees make the ultimate decision regarding all faculty requests for Promotion and/or Tenure.
  - F. 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 Chapter 6. The President of the University makes the final decision concerning a grievance.
  - G. 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
  - H. Candidate Notification and Optional Response Letter instructions
  - I. 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 uploads the Candidate's written response to the file.
  - J. If the Chancellor's recommendations 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.
  - K. No later than March, the entire electronic files (summary and supporting documents), 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 of the University of South Carolina and the Board of Trustees make the ultimate decision regarding all faculty requests for Promotion and/or Tenure.
  - L. 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 Chapter 6. The President of the University makes the final decision concerning a grievance.

## APPENDIX VII – GUIDELINES FOR FILE PREPARATION FOR ALL OTHER REVIEWS

### A7.1 Annual Administrative Review

*Purpose.* The annual administrative review provides an opportunity for faculty members to receive constructive feedback from their rating administrator on their performance across a single academic year. Faculty members should consult their unit criteria to learn the performance indicators for work that is valued by their unit.

#### I. File Preparation

- A. Faculty members are responsible for compiling their annual administrative review files and submitting them electronically on Chalk and Wire by the dates indicated in Chapter 5: Faculty Review.
- B. Tenured and Tenure-track faculty will compile materials in accordance with unit criteria and promotion and tenure guidelines.
- C. Faculty members undergoing peer review (third-year, tenure and/or promotion, post-tenure) may import material from their peer review files for annual administrative review to avoid unnecessary duplication of faculty labor in documenting their work.
- D. Non-tenure track members of the faculty prepare a narrative statement (1-2 page) highlighting the faculty member's accomplishments in the following areas:
  - 1. Teaching/librarianship (see above for examples) and
  - 2. Service (see above for examples) or
  - 3. Scholarship/Creative Pursuits (In other words, non-tenure-track faculty can choose to be evaluated on two categories rather than three).
- E. Faculty members should compile materials to demonstrate their work in all areas of assessment.
- F. All materials will be shared electronically with the reviewers.
- G. Review instructions can be found at <http://www.uscupstate.edu/facultyreview>.

#### II. File Review

- A. The tenured rating administrator reads and evaluates annual administrative reviews.
- B. The rating administrator completes the Faculty Review Form and presents the review to the faculty member.
- C. Either the faculty member or the rating administrator may request an interview.
- D. The faculty member confirms receipt of the Faculty Review Form.
- E. The faculty member has 5 days to upload an optional written response and submit it to the rating administrator.
- F. A copy of the Faculty Review Form and any optional response (as applicable) are submitted by the rating administrator to the Dean, Provost, and Office of Academic Affairs HR coordinator.

### A7.2 Third-Year Review

*Purpose.* The purpose of the third-year review is to provide an opportunity for faculty members to receive constructive feedback from peers within their units about the rate of degree of progress toward tenure and promotion based on their first three years in a tenure-track position at USC Upstate.

#### I. File Preparation

- A. The third-year review is due in the fall of the candidate's third year.

- B. Faculty members are responsible for compiling their third-year review files and submitting them electronically on Chalk and Wire by the date indicated on the Master Review Calendar. Include the following:
  - i. Annual administrative reviews from the preceding three years in reverse chronological order.
  - ii. A current Curriculum Vitae
  - iii. Completed Summary Tables
    - o Teaching Summary/ Librarian Effectiveness Summary Table
    - o Scholarly and Creative Pursuits Summary Table
    - o Service Activities Summary Table
  - iv. A case narrative (2-3 page) highlighting faculty's accomplishments in teaching or librarianship, scholarly/creative activity, and service to the unit, the university, the community, and the profession. Describe how your activities and accomplishments have contributed to the mission of USC Upstate.
  - v. A list and representative samples of supporting evidence for accomplishments in: teaching or librarianship, scholarly/creative activity, and service.

## II. File Review

- A. Peer Review Committee members read and evaluate the file in Chalk and Wire during the time period specified by the PRC Chair.
- B. The Committee meets (in person or virtually) to discuss and deliberate over the rankings of each file.
- C. The PRC Chair's duties, the peer review process, and the ethics of peer reviewing are described in detail in Chapter 5: Faculty Review
- D. The Faculty Review Form for the third-year review should explicitly address the candidate's status in meeting the unit criteria and identify developmental needs to prepare the candidate for a successful tenure and promotion file. In cases of misalignment between the file and unit criteria, the candidate must receive specific instructions to shift emphasis to meet the unit's needs and expectations.
- E. The Faculty Review Form is uploaded by the PRC Chair and submitted to the faculty member through Chalk and Wire.
- F. The faculty member confirms receipt of the Faculty Review Form.
- G. The faculty member has 5 days to send an optional written response to the PRC Chair who uploads the file into Chalk and Wire.
- H. A copy of the Faculty Review Form and any optional written response (as applicable) are submitted by the PRC Chair to the rating administrator, the dean, the provost, and Office of Academic Affairs HR Coordinator.

### A7.3 Post- Tenure Review Procedures

#### *File Preparation*

Although the post-tenure review process is rigorous and thorough, it must not inadvertently undermine faculty productivity by its demands. To that end, the process builds on the reports that faculty members prepare for submission to their unit administrators every three years.

The file for post-tenure review includes

- Unit criteria;
- Board of Trustees letter or other documentation of most recent event: awarding of tenure, last promotion, or last successful post-tenure review;
- a current CV of no more than 15 pages (12-point font, 1-inch margins) with review period in

- black font and materials preceding the review period in gray font (CV can be abridged rather than comprehensive, with an emphasis on the review period);
- a case narrative: narrative memo (2-5 pages) that clearly identifies the dates of the review period and describes how faculty work aligns with post-tenure review performance indicators in the unit criteria for teaching/librarianship, scholarly/creative activity, and service during the review period, written for a general academic audience to operate like an executive summary (12-point font, 1-inch margins);
- a minimum of two administrative reviews;
- representative documentation of teaching/librarianship, scholarship/creativity, and service to support the case narrative. Units will provide guidance on the appropriate amount of documentation, in consultation with the UPTR Committee, and are encouraged to maintain reasonable expectations that do not mandate or invite excessive documentation.

Learning Experience Surveys are not included unless otherwise specified in the unit criteria. Please consult unit criteria for any unit-specific guidelines for items needed in post-tenure review files for purposes of accreditation or other program requirements.

Units must create a post-tenure review section in the unit criteria to address expectations for the post-tenure period. In this process, units will revisit and potentially broaden the definition of scholarship and creativity by incorporating up-to-date language on “public scholarship” (see [Butler 2021](#)). This relieves pressure to produce articles/monographs throughout the span of a whole career by creating more flexibility regarding what counts as scholarship, keeping in mind our purpose and priorities as a regional comprehensive public institution.

The Promotion and Tenure Committee reviews and approves unit criteria, including post-tenure review performance indicators.<sup>2</sup>

### *Review Procedures*

The Office of the Provost identifies tenured faculty scheduled for mandatory post-tenure review each February during the penultimate year before this review is required. Faculty who are eligible but not required to undergo post-tenure review in the following year are also identified by the Office of the Provost each February. In both cases, the Office of the Provost establishes a list of these faculty, notifies the faculty member, appropriate unit supervisor, and Dean, as well as the Chair of the University Post-Tenure Review (UPTR) Committee, and maintains a record of faculty planning to submit post-tenure review files in the following year.

Having decided to apply for post-tenure review the following February, the faculty member should seek an administrative review in the current semester of the penultimate year before submitting a post-tenure review file. The most recent administrative review in a post-tenure review file should be no more than one year old.

The faculty member submits the file electronically to the UPTR Committee chair, typically in late January or early February. The UPTR Committee members review the file in accordance with established procedures regarding confidentiality and ethical review practices, using unit criteria as the basis for evaluating the file. If no unit criteria for post-tenure review exist, the file is returned to the faculty member and no decision is rendered.

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<sup>2</sup> Units should maintain a regular schedule of reviewing and updating unit criteria. See Appendix VIII: Unit Criteria Guidelines and Faculty Review Forms for more information on unit criteria and the approval process.

For all other files, the UPTR Committee Chair completes a Faculty Review Form based on the deliberations and vote of the committee, adds the signed form to the file, and sends a copy to the faculty member. The faculty member may respond to the UPTR Committee's evaluation within 5 business days of receiving it. That response is added to the file by the UPTR Committee Chair, who then forwards the committee's complete findings to the Provost—the candidate's file, a Faculty Review Form, and the numerical tally of votes for a favorable or unfavorable post-tenure review—to the Provost.

The Provost evaluates the file, taking into account the recommendation from the UPTR. The Provost communicates the outcome to the faculty member in a letter and notifies the Chancellor, the UPTR Committee chair, the Dean, and the unit supervisor of the decision within ten working days.

Faculty members who receive a favorable review will be awarded a salary increase of 7.5% to be calculated as a percentage of the faculty member's base pay and added to the salary at the start of the following academic year.

Instructions for appeals, grievances, and faculty development plans appear in Chapter 5 of the *Faculty Manual*.

#### *Timing of Post-Tenure Review: Restrictions and Exemptions*

Associate professors/librarians will not be considered for a post-tenure review in the same year they apply for promotion to the rank of professor/librarian.

Associate professors/librarians who receive an increase in salary based on their post-tenure review and subsequently apply for and receive a promotion within a six-year period will be entitled to an increase in salary that is the difference between what they received for their post-tenure review increase and the amount typically awarded for promotion.

Once the faculty member has completed six years after the promotion, the post-tenure review clock resets, and faculty member becomes eligible for the full amount of the salary increase.

There is no minimum number of courses taught in a year for faculty members to be eligible for post-tenure review. All reallocations of time are awarded for work considered valuable by this institution. The only years that do not count toward post-tenure review are years when a faculty member chooses to stop the clock with an official exemption form. This includes faculty with administrative duties below the rank of Dean who choose to stop the clock. An official exemption form should be filed with the Office of the Provost.

Faculty members within three years of retirement may submit a letter petitioning the Provost to allow the faculty member to forego post-tenure review.

#### **A7.4 Promotion to Senior Instructor/Senior Instructor Librarian**

*Purpose.* The process of promotion to senior instructor or senior instructor librarian provides an opportunity for the university to recognize ongoing high-quality performance among full-time non-tenure-track faculty members with an increase in rank and salary.

##### **I. File Preparation**

- A. Faculty members in full-time instructor positions for six consecutive years can request promotion to the rank of senior instructor or senior instructor librarian.
- B. Requests are made directly to the rating administrator and dean by email and do not need to be submitted through Chalk and Wire.
- C. To support the request, eligible instructors should include a current CV, a narrative statement (1-2 pages) highlighting accomplishments in Teaching/Librarianship and Service or Scholarship/Creative Pursuits, annual administrative reviews from the past

five years. This statement should describe how the instructor's work has contributed to the mission of USC Upstate. Individual units may require additional documentation.

- D. Any assigned administrative duties can be included under service.
- E. Individual units may require additional documentation.

## II. File Review

- A. The rating administrator reviews the file and makes a recommendation in letter form addressed to the Office of the Provost, copying the Dean.
- B. The Office of the Provost will issue a letter to the instructor indicating a decision on the request.
- C. If the promotion is approved, the instructor's salary will be increased accordingly

## APPENDIX VIII – UNIT CRITERIA GUIDELINES AND FACULTY REVIEW FORM

### A8.1 Unit Criteria Guidelines

*Standards for Unit Criteria:* Each Unit will develop its criteria according to its accreditation, unit needs, and discipline standards while remaining aligned with University policy, mission statement, and employment responsibilities.

- A. Unit criteria should be aligned with the University's evaluative terms for review.
  - 1. Excellent
  - 2. Highly effective
  - 3. Effective
  - 4. Less than Effective
  - 5. Ineffective
- B. Unit criteria should address three categories of faculty work.
  - 1. Teaching/Librarianship
  - 2. Scholarship (scholarly and creative pursuits)
  - 3. Service (Unit, University, profession, and community)
- C. Unit criteria should indicate appropriate activity levels and define the evidence to support promotion and tenure based on rank eligibility.
  - 1. Tenure
  - 2. Associate Professor/Librarian
  - 3. Professor/Librarian
  - 4. Post-tenure
- D. Unit Criteria must meet the following additional conditions:
  - 1. Criteria must specify how faculty can demonstrate that they have met the University's standards for promotion and tenure, including specific examples of appropriate evidence.
  - 2. Criteria should be internally consistent and consistent with the university and state rules and laws.
  - 3. Criteria should closely relate to the appropriate department/school, program, college, and university mission.
  - 4. Criteria should be realistic, such that they can be achieved by talented and dedicated faculty within the constraints of available and attainable resources.
  - 5. Criteria should be easily understood by those in the academic community who will employ them in making judgments. They should be equally clear to those who will be evaluated by the criteria.
  - 6. Criteria should be as complete and explicit as possible, addressing the broadest possible range of activities to which faculty can be assigned and on which they can be evaluated.
  - 7. Criteria should be fair, providing all faculty with equal opportunity to be objectively judged on their accomplishments.
  - 8. Learning Evaluation Surveys (formally SOPs) are a criterion, please consider including this statement: "When considering student opinion polls, the peer review committee will acknowledge that biases may exist in student evaluations based on, but not limited to, sex, race, sexual orientation, and content rigor, and that these biases are established in the academic literature."
  - 9. No Item Counts Twice. Some activities may qualify as two activities. Unit criteria should make clear that the candidate must present evidence under only one area of assessment.

**A8.2 Process for Changing Criteria:** Unit criteria are faculty-driven and specific to the discipline(s) represented within the unit. These documents are faculty-driven and are therefore approved primarily by faculty members within the unit and on the Promotion and Tenure Committee.

- A. Drafting the College/School Unit Criteria



1. Tenured and Tenure-track faculty are responsible for developing Unit Criteria.
  2. Units may use the Peer Review Committee or may establish a Unit Criteria Committee or other tactic for composing a draft of this document and submitting it to the department/unit for consideration.
  3. Eligible faculty review, make recommendations, and approve a draft of the unit criteria at the departmental/unit level.
- B. Chain of Approval
1. P&T committee
    - i. A departmental/unit representative submits this draft of Unit Criteria to the P&T Committee.
    - ii. The Promotion and Tenure Committee evaluates the proposed criteria to ensure they are consistent with the Faculty Manual and are sufficiently clear. The Promotion and Tenure committee approves the criteria and forwards them to the Provost for review.
    - iii. If the Promotion and Tenure Committee observe deficiencies in this draft, the proposal will be returned to the Unit with an explanation and suggested changes. The Chair of P&T works with unit representative on appropriate improvements.
    - iv. The Unit will revise its proposed criteria and resubmit them to the P&T Committee.
    - v. If the Unit and the P&T committee cannot reach an agreement, the Chair of the P&T Committee will convene a meeting with the Unit and selected members of the P&T Committee to resolve the issues. If there continues to be unresolved aspects of the Unit Criteria, the Provost will endeavor to resolve the differences.
  2. Provost reviews and approves or returns to the Unit for additional changes.
  3. Once approved, the Unit Criteria will be Published on the P&T Website by the Faculty Governance Webmaster.
- C. Implementation and Review
- a. The approved Unit Criteria become effective immediately. For details on choosing which unit criteria to follow, see Procedures for Tenure and/or Promotion in Chapter 5.
  - b. Unit criteria should be reviewed every 3-5 years), or when: the unit mission has changed, there are problems with/confusion about the criteria, or unit faculty wish to modify them.

A8.3 Faculty Review Form—Classroom Faculty

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

Notes: Definitions of terms below. 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
-----------	------------------	-----------	---------------------	-------------

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
-----------	------------------	-----------	---------------------	-------------

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.

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	

#### A8.4 Faculty Review Form – Library Faculty

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

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

#### 2. Effectiveness as a Library Faculty Member. Refer to unit criteria for indicators of 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
-----------	------------------	-----------	---------------------	-------------

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
-----------	------------------	-----------	---------------------	-------------

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
-----------	------------------	-----------	---------------------	-------------

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 REVISION (9-1-21): FACULTY PROCEDURES FOR A SAFE RETURN TO CAMPUS UNDER PANDEMIC CONDITIONS IN FALL 2021

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 issued from the Office of the Chancellor or published on the [COVID-19 Resources](#) page of the university website. The following materials provide implementation guidance for classroom faculty and suggested language for syllabi.

### TEACHING

#### Classroom Safety

“Mask UP when close UP” is a guiding principle for a safe return to campus this fall. Students and faculty are required to wear face coverings in the classroom and all indoor campus facilities. Face-to-face classroom policies apply to all students and faculty regardless of vaccination status. Faculty should set an expectation for the use of face coverings in their classrooms, both verbally and in their syllabi.

Faculty will establish a seating chart and take attendance to help Student Health Services identify students who need to be contacted if a classmate tests positive for COVID-19. Anyone [within 6 feet for >15 minutes](#) is considered to have been exposed. Attendance tools are available in Blackboard and Starfish. If feasible, encourage students to physically spread out using the available seating. Faculty may also request a larger classroom through their chair; requests will be handled on a case by case basis.

If a student attempts to enter a classroom without a face covering, the following steps may be followed depending on the situation. In alignment with the university's core values of wellness, equity and civility, the instructor should engage with the student in a respectful manner, and arrive at a solution by discussing options one-on-one:

- Instructors should ask the student if he/she has a face covering on their person (in a pocket or backpack), and if so, ask them to put it on. If not, instructors may ask the student if he/she has a mask in their possession (in a car, in their apartment, etc.), and if so, ask him/her to retrieve it and return to class.
- If the student has no face covering or cannot retrieve one in a timely manner, the instructor may offer the student a disposable mask should one be immediately available.
- If the student cannot retrieve a face covering, the instructor may ask the student to leave and return to the next class wearing a face covering, or ask the student to sit apart from the rest of the class in an area where physical distancing is possible (if there is space in the classroom).
- If the student refuses to wear a face covering, the instructor may tell the student to leave the classroom and that a referral to the Dean of Students Office will be made. [Dean of Students | USC Upstate](#).
- If the student causes disruption (e.g., yelling, using profanity, interrupting an instructor's ability to teach or conduct the class) USC Upstate police may be called to address the situation (864-503-7777). Campus police are trained in de-escalation techniques, problem-solving, and conflict resolution. They also receive biennial training in responding to people in states of mental crisis.

Students with conditions that prohibit them from wearing a face covering must register with Disability Services; appropriate accommodations will be approved by that office [Disability Services | USC Upstate](#).

Since face coverings are required in their class, instructors of record are expected to either wear a face covering, teach behind a barrier (e.g., Plexiglas guard), or be physically distanced from the students (at least 6 feet). In many cases, these options will address the needs of any instructor of record who has a condition that prohibits them from wearing a face covering. If not, the instructor should work with their supervisor/academic unit for accommodations. Note that the academic unit may request documentation for accommodations beyond those described herein; such documentation would be submitted to Human Resources.

Faculty are encouraged to clean keyboards and other shared equipment before and after use. Wipes, paper towels, and spray cleaners will be available for faculty and students to use between classes. Most surfaces and items in classrooms will be cleaned once a day by custodial staff members.

### Office Hours

As USC Upstate returns to face-to-face instruction, all faculty members must devise and disseminate procedures for in-person and/or remote office hours that provide students with predictable and regular ways to receive mentorship or seek other assistance. Faculty have the right to consider their personal health and safety in devising these policies.

All faculty, regardless of teaching modality, are expected to hold a minimum of 90 minutes of in-person or virtual office hours per week. Faculty who choose to hold all regular office hours in person should still provide a virtual option for students so that the burden of requesting remote access is not necessary. For example, faculty might open a session in Blackboard Collaborate Ultra that runs concurrently with in-person office hours. Faculty should remain responsive to requests for availability outside of office hours and should clearly describe what students can expect, including a typical timeframe for returning emails. To reiterate:

- Faculty are permitted to opt for virtual office hours (with none held in person), provided that the other requirements in the first paragraph are met.
- Students should always be given the option of online appointments.

Faculty and students are required to wear face coverings and practice social distancing during office hours when more than one individual is in the room, regardless of vaccination status. Faculty should make disposable masks available from supplies provided by the university and can request that anyone entering their office wear a mask. Should the individual decline to do so, the faculty member can move to a space which provides more safety or reschedule the appointment in a virtual format.

In all cases, methods of holding office hours should prioritize the safety of students, faculty, and staff by adhering to campus regulations regarding mask use, social distancing, and other safety practices, while remaining flexible enough to accommodate student needs and maintaining appropriate levels of responsiveness to students.

### Attendance and Make-up Work

As USC Upstate returns to face-to-face instruction, it is important to recognize the importance of staying home when sick, quarantine of close contacts, and isolation of positive cases. For these reasons, it will be necessary for faculty to provide make-up work. The specific make-up work is at the discretion of the faculty member and could include: virtual attendance options; providing recorded lectures, either from the current class or a previous semester; reading lists; alternative assignments for missed in-class work. Note, faculty are not required to offer a live, virtual option. In many ways, recorded lectures may be preferable to live, virtual attendance, in that students may be too unwell to attend a synchronous session.

Specifically, we will adopt the attendance [policy set by USC Columbia](#) that states, “In brief, faculty must provide make-up course work including content and assignments when students have excused absences which include (but are not limited to) being in quarantine or isolation, religious holidays, medical conditions related to pregnancy, and military duty. Excused absences may be at the discretion of the faculty member but it is strongly recommended that documentation be requested for most excused absences. Make-up work can be in a variety of forms and is determined by the faculty member; the make-up work does not have to be in the form of recorded lectures. To limit the need for make-up work, assessments may be structured such that all students may miss a certain number or drop a certain number of low scores.

If a student is ill, they should not attend class and they should contact Health Services to arrange testing for COVID-19 and medical documentation for an excused absence. If a student is ill but tests negative for COVID-19, faculty are encouraged to still view this absence as an excused absence.” Faculty are also encouraged to view vaccination appointments and any vaccine side effects as excused absences.

### Academic Integrity and Testing/Assessment

The USC Upstate Faculty Manual empowers faculty to develop grading criteria characterized by “fairness and good judgment.” Airborne pathogens and other disruptions to physical presence on campus do not eliminate the need to assess student learning, nor do they eliminate student obligations under the USC Upstate Code of Academic Integrity. However, grading and academic integrity policy can benefit from data-driven adaptation, which may vary depending on the mode of course delivery.

Attention to access and equity issues are essential to ensuring fair and ethical assessments of student learning. In this context, faculty should consider the following practices and are invited to use or adapt related syllabus statements provided in the following pages:

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. Shifting to more flexible, take-home models of assessments; breaking large exams into smaller, more frequent assessments; or releasing multi-part exams in separate parts can be effective strategies for managing logistics of assessments in all course modalities.
2. Faculty teaching in all course modalities are encouraged to obtain training or assistance in using testing features within the Blackboard LMS. These include enabling equity and access features, such as allowing backtracking or displaying all questions at once, keeping the force complete option turned off in case of connectivity issues, and using exceptions and accommodations for time-and-a-half or double-time for testing. These features also include tools for supporting academic integrity, such as timed testing, randomized question order, calculated formula questions, and randomized test questions drawn from larger question pools. Faculty are also encouraged to add customized automatic feedback with narrative explanations and comments on correct and incorrect responses in order to streamline grading while expanding constructive feedback on test-based assessments.
3. Faculty are required to provide make-up work for students in isolation or quarantine (see the above section on [“Attendance and Make-up Work”](#)). When possible, faculty should adopt assessment make-up policies that recognize that airborne pathogens may create exigent circumstances, such as caregiving demands or disruptions in access to basic needs, 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, experiencing vaccine side effects, or providing essential caregiving services to close family members. Likewise, faculty who penalize unexcused or excessive absences



should clearly define those terms 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. It is also possible to allot a certain number of total absences to be used at the students' discretion, beyond which a penalty may apply. In the early days of the semester, faculty may also want to strategize with students about backup plans to technological problems including awareness of loaner computers on campus and community sources of free wifi access.

4. Faculty may 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 and addressing students' privacy concerns. It is best practice to enable the iPad/tablet option and to offer students an ungraded pre-test to identify potential issues with using the online proctoring system.
5. Both Respondus Lockdown Browser and Respondus Monitor have limitations, including the need for a webcam in the case of Respondus Monitor. Using Lockdown browser via Spartan Greensky is not ideal and requires students to install software prior to every exam. In this context, faculty using either of these tools will need to assist students by preparing alternate testing arrangements for students logging in through Spartan Greensky or using one of the virtual interfaces on campus.
  - a. 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>.
  - b. Faculty are also encouraged to be cognizant of equity and 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.
6. Faculty should recognize that high-stakes assessments may be 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. Including academic integrity statements at the beginning and end of assessments that students must affirm is also an effective strategy for preventing integrity violations. For an example statement and additional cheating prevention strategies see "[7 Ways to Assess Students Online and Minimize Cheating.](#)"
7. Academic integrity is one of the pillars of higher education, yet it is common practice to address academic integrity as a set of penalties for violations. Research shows the benefits of proactively teaching the values of academic integrity, including ownership of intellectual property and respect for the originality of individual contributions to knowledge. Such lessons can help combat aggressive marketing tactics from contract cheating companies that target students. Likewise, giving constructive feedback on assessments to stress the positive value of students using their own words and ideas, making mistakes, and improving as essential tools for learning and growth can reward students who behave with integrity. Faculty should consider using online resources related to academic integrity to instill a shared code of ethics in the course. The USC Upstate Library's Plagiarism Prevention Module and the [International Center for Academic Integrity Educational Resources](#) (especially academic integrity video examples) are some examples. Faculty may wish to specifically prohibit the sharing of recorded live streams, test questions or answers, or other course material with anyone not currently enrolled in the course or with classmates during an exam period.
8. Faculty teaching synchronous online sessions should recognize that there are many valid reasons for students to keep their cameras off during class and [research has linked camera](#)

[use to increased trauma and psychological distress](#). Camera-use should be encouraged by discussing and establishing positive, yet flexible classroom norms, rather than penalizing students who do not use the camera. Offering opportunities for students to engage using the chat feature, polls, or emoji checks can support learning and encourage active participation among students who cannot turn on their cameras.

9. Faculty teaching in person should integrate current campus risk mitigation efforts into their syllabi as a matter of student and faculty integrity.

#### Syllabus Templates for Appendix IX

*All syllabi must include the following statement:*

Students who show symptoms of COVID-19 (fever, cough, shortness of breath) or who test positive for COVID-19 must inform USC Upstate Health Services (864-503-5191). Students with academic concerns due to quarantine or isolation should contact Susannah Waldrop, Executive Director of the Student Success Center (swaldrop@uscupstate.edu, 864-503-5414).

To support the work of faculty teaching during an airborne pathogen pandemic, the following syllabus templates are provided for optional use or adaptation in individual syllabi. Additional resources and templates are available from the [Center for Academic Innovation and Faculty Support](#) (CAIFS).

1. Exam Statement for Asynchronous Courses (Time Window): To ensure that you have the flexibility that is necessary during the pandemic, all exams in this course will have a time window of \_ (hours/days) for you to complete an exam. Once you log in to take the exam during the time window, you will have \_\_\_\_ (minutes/hours) to complete the exam online. Once you begin taking an exam you must complete the exam.
2. Exam Statement for Face to Face Courses with Online Examination: To provide all students with an equal opportunity for success, all students, whether they attend in person or online, will be completing their exams online at the same time. Students who are enrolled in an in-person section may choose to bring a laptop to class to take their exam or may complete their exam at a remote location with access to a computer. Students who are enrolled in a virtual section should remain at their virtual location to complete the exam. Students can also check out devices from the Office of University Information Technology.
3. Exam Makeup Policy (Can Be Adapted as an Assignment Deadline Extension Policy): I recognize that airborne pathogens create conditions that may cause absences, including extended absences, for a variety of reasons. Students who are required to quarantine or seek medical treatment due to a diagnosis of COVID-19 or other incapacitating illness should contact the instructor as soon as possible so a suitable equivalent makeup arrangement can be provided. Students should also provide documentation to the Dean of Students Office when possible. The Dean's Office will notify me of the general circumstances of your absence without compromising your privacy with respect to the specific issue. Students directly exposed to someone who has tested positive for an airborne pathogen may also need to quarantine themselves. Anyone [within 6 feet for >15 minutes](#) is considered exposed. In this event, students should contact me as soon as possible to discuss makeup arrangements. Absences due to care obligations arising from airborne pathogens should also be discussed with me as soon as possible to determine the appropriate course of action. Prompt communication with me is critical and expected in each of these situations.
4. Monitoring Language (For courses that use some combination of Safe Assign, the Respondus Lockdown Browser, or the Respondus Monitor software): This course uses a variety of tools to maintain academic integrity in course evaluation. All uploaded writing assignments will be scanned using Safe Assign software through Blackboard. Safe Assign helps the instructor

detect plagiarism, which is prohibited under the Code of Academic Integrity in the Student Handbook. Other means to detect plagiarism in student work may also be used. During testing, all students will use the Respondus Lockdown Browser to prevent unauthorized use of the web while taking an exam. This software can be downloaded for free and is required when taking an online exam. Finally, all students taking an exam online from a remote location will be required to use the Respondus Monitor System for online proctoring. Before you take an exam, you will need to download the Respondus Lockdown Browser and activate your webcam. After opening your exam in Respondus Lockdown, you will perform a webcam test and show your identification to the camera. While you take the exam with the webcam on, the software will record you. This recording is subject to review.

5. Online Academic Integrity Language: The USC Upstate Code of Academic Integrity prohibits bribery, cheating, lying, and plagiarism. All elements of the USC Upstate Code of Academic Integrity apply to students regardless of course modality (online, hybrid, or in-person). Students should complete the Plagiarism Prevention Module provided by the USC Upstate Library at <https://uscupstate.libwizard.com/f/PlagiarismPreventionModule>. Note that the Code of Academic Integrity prohibits the unauthorized use of any electronic or mechanical device. In this course the unauthorized use of an electronic device includes accessing the web for any resource used to complete and an assessment unless that resource is specifically authorized by the instructor.
6. Please ask early and often if you have any questions about what is permitted and what is not. Communication is one of the keys to maintaining academic integrity. I want you to succeed and for your grade to be a result of your own hard work. I believe these measures are necessary to ensure fairness for all students and to protect the value of the degree that you are working to earn.
7. Camera Use/Virtual Meeting Expectations: Please log in on time for class meetings and you're your mic when not speaking to avoid an echo. Using headphones can also help reduce echoes. Consider keeping your camera on if you can. Class meetings are much more interactive when we have our cameras on and gives us an opportunity to build community.
8. Safe Return Language (primarily for Face to Face Courses): This course is designed with health and safety in mind. All faculty and students are required to wear a mask in the classroom. To protect the health of our classroom community, I will be wearing a mask. Students are likewise required to wear face coverings, and I will set up a seating arrangement to facilitate social distancing and assist Health Services in contact tracing in case students in our class are exposed. Please rest assured that I will do my part in upholding these safety measures, and I invite students to communicate with me if the conditions of the classroom feel unsafe.

Students who have a health condition that prevents them from wearing a mask should contact Disability Services at 864-503-5199 to discuss accommodations, including alternative face coverings or a transition to online learning to protect their health from potential virus transmission in the classroom. If pandemic conditions worsen, it may be necessary to move the course online. If this occurs, you will receive further communication from me on the format for all remaining elements of the course including lecture, discussion, lab work, discussion, and assessment (insert or subtract whichever elements apply to your course). To the extent possible, you should prepare for this possibility by thinking about your computer and internet access, as well as anything else that may help you succeed in the event that this course is delivered entirely online. If you anticipate difficulty, talk to me about it so we can come up with a plan for you to successfully complete and pass the course.

## SERVICE

In order for faculty governance to sustain its important role during the pandemic, faculty members will continue to participate in regularly scheduled meetings to conduct business. As a result of the pandemic, many faculty members continue to face difficult challenges in the area of work-life balance which can be mitigated by flexibility. Faculty caregivers who wish to reduce their service loads should be accommodated when it is possible to replace them. 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.

Committees are therefore permitted to communicate non-personnel information by email, deliberate and vote in virtual settings on committee matters (including promotion and tenure cases), and provide digital signatures. Whenever possible, virtual meetings are preferred. If the committee opts for in-person meetings, appropriate health pre-cautions should be taken, including masking and distancing. Committees should also make it possible for members to participate virtually.

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.

Additionally, units are permitted to continue meeting virtually, and all units should provide virtual access for meetings that are not conducted fully online.

## 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.

For administrative and peer reviews, 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. Moreover, the impact of a pandemic on faculty research will reverberate across a span of years.

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 academic year and subsequent years impacted by the current pandemic.

## APPENDIX X: CIVILITY POLICY AND PROFESSIONAL ETHICS

### A10.1 USC Upstate Civility Policy

The University of South Carolina Upstate seeks to create an environment in which members of the University community are civil and respectful of individuals and individual differences. The faculty of the University believes that these goals can only be achieved through adherence to the values expressed in the Carolinian Creed. Accordingly, the faculty of the University considers bullying unacceptable because it undermines these values. This policy creates a process for reporting, investigating, and resolving complaints related to bullying. The intent of this policy is to stop bullying as quickly as possible in a just manner. It is further the intent of this policy to stop bullying while protecting academic freedom, preserving the highest standards of teaching and scholarship, and advancing the missions of the University as an institution of higher learning.

Bullying is repeated, unwelcome behavior that threatens, intimidates, humiliates, or isolates the targeted individual(s), or undermines their reputation or job performance. Bullying may be perpetrated by an individual in authority over the target, a peer, or an individual in a subordinate position. It may take, but is not limited to, one or more of the following forms:

- Verbal abuse
- Unwarranted criticism or malicious gossip
- Unwarranted monitoring
- Unwarranted physical contact
- Exclusion or isolation in the workplace
- Work interference or sabotage
- Cyberbullying
- Other offensive conduct/behaviors (including nonverbal) that are threatening, humiliating, harassing, or intimidating

When possible, faculty members are encouraged to resolve differences informally, either directly or through mediation by the USC Upstate Ombudsman (i.e., the Associate Vice Chancellor for Academic Affairs). If the matter remains unresolved, a written complaint of bullying should be brought to the attention of the person who has direct supervisory responsibility over the individual whose actions are in question (i.e., Chair, Director, Dean, Senior Vice Chancellor, Chancellor). All matters concerning the complaint, and any subsequent investigation, are to remain confidential. The written complaint should include as much of the following as possible:

- Clear, specific allegations against the person or people;
- Where possible, dates, times, and witnesses to incidents;
- Factual description of events;
- Documentary evidence, including direct quotes, if possible; and
- Descriptions of any actions the complainant or others have already taken.

The supervisor initiates an investigation within 10 days of receiving the complaint. The investigation includes interviewing all parties to the complaint, as well as any others who the complainant believes are able to provide additional material information. The responsible supervisor may designate an ad hoc investigatory committee to conduct or assist in the investigation. The investigation should normally be concluded no later than 30 days after receipt of the initial complaint. If the investigation cannot be completed within 30 days, written notification of the delay and the reasons for the delay are provided to the complainant. When the investigation is completed, a confidential report is sent for appropriate action to the Chancellor. The complainant is notified when the investigation is completed.

If the responsible supervisor does not resolve the issue to the satisfaction of the parties of the complaint

or within the required time frame, the complaint may be taken to the next higher supervisor, who reviews the record and determines whether the investigation was reasonably conducted and the findings supported by the evidence. The reviewing official may uphold, reverse, or modify the investigation findings, or may remand the matter for further investigation. If the result of review is not satisfactory to the parties, a final appeal can be made to the Chancellor, who may review the record and interview all parties to the complaint. Absent any discretionary review by the Chancellor, the decision of the reviewing official shall be final.

The procedures set forth in this policy are not exclusive. Complainants may use the grievance policy to address charges of bullying. If the grievance panel determines that it has jurisdiction and accepts the complaint, its proceedings supplant the procedures set forth in this policy.

If the final determination of the investigation is that bullying occurred, the University shall take appropriate remedial action, which may include disciplinary sanctions up to, and including, suspension with or without pay.

Regardless of whether a determination of bullying is made, reasonable efforts are taken to ensure that complainants who make allegations in good faith, and others who cooperate in good faith with inquiries and investigations, are not retaliated against. If relevant, the responsible supervisor will determine whether the complainants' allegation or witnesses' factual assertions were made in bad faith. If an allegation is determined to have been made in bad faith, appropriate action, which may include disciplinary sanctions, can be assessed.

We acknowledge that portions of this document were obtained from the University of New Mexico's "Procedures for Reporting and Investigating Complaints of Faculty Bullying" and the University of South Carolina's "Workplace Bullying" policy. Approved by the Faculty Senate on April 18, 2014

## A10.2. AAUP Statement on Professional Ethics

*The statement that follows was originally adopted in 1966. Revisions were made and approved by the Association's Council in 1987 and 2009.*

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### Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the [1940 Statement of Principles on Academic Freedom and Tenure](#), the 1958 [Statement on Procedural Standards in Faculty Dismissal Proceedings](#),<sup>1</sup> or the applicable provisions of the Association's [Recommended Institutional Regulations on Academic Freedom and Tenure](#).<sup>2</sup>

### The Statement

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.



4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

#### Notes

1. AAUP, *Policy Documents and Reports*, 11th ed. (Baltimore: Johns Hopkins University Press, 2015), 91–93.

2. *Ibid.*, 79–90.