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 of 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
- Teaching Summary/ Librarian Effectiveness Summary Table
- Scholarly and Creative Pursuits Summary Table
- 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.[2]

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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[2] 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