Faculty Manual
University of South Carolina Upstate
Approved by General Faculty
August 16, 2024

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 university standards for terms of employment, the manner of appointment, the procedures and evaluative terms and definitions 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 such 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 standards, 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 standards, policies, and regulations go into effect following the requisite approvals. The most current official version of the *Faculty Manual* , and archived versions, are available on the intranet at https://emailuscupstateedu.sharepoint.com/sites/Employee-Intranet/SitePages/Faculty-Manual.aspx.

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. We offer innovative courses and programs in a variety of accessible educational formats and locations to meet undergraduate and graduate student needs. We are a community of 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 Upstate education empowers students to become lifelong leaders in their professions and communities.

Approved by USC Board of Trustees, October 13, 2023.

VISION

Education for all that inspires a thriving and just society.

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 First. USC Upstate cultivates an inclusive community that advances equity, wellness, and civility.
- Integrity. USC Upstate prioritizes honesty and ethical conduct as fundamental to our core mission of student success.
- Access. USC Upstate removes barriers to opportunity and success.
- Stewardship. USC Upstate is committed to affordability and intentional stewardship of resources – human and financial.
- Continuous Improvement. USC Upstate strives for excellence in all operations.
- Community Connection. USC Upstate prioritizes community collaboration and engagement.

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

1.0 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; clinical/professional track faculty; clinical assistant, clinical associate, clinical professor, professor of practice; 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. For the purpose of determining quorum at General Faculty Meetings, no one at the dean level or above will be counted.

The responsibilities and roles of the faculty necessarily vary by discipline and position. 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 full-time instructors, and part-time faculty to staff 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 staffing flexibility within the academic unit and budget constraints. While these faculty may have terminal degrees, some without terminal degrees may possess vital professional experience or, accreditation credentials or clinical experience required by the program.

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 must apply for and, if successful, are granted tenure, which recognizes their positive contributions to the University.

Tenure provides 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 and qualify for promotions in rank when meeting specified performance levels.

Full-time, non-tenure-track faculty members are hired at the clinical assistant professor, clinical associate professor, clinical professor, and professor of practice, instructor or instructor librarian rank. Appointments shall be in writing and specify the beginning and ending date of appointment. Appointments terminate on the date specified. (See USC System policy ACAF 1.06 Academic Titles for Faculty and Unclassified Academic Staff Positions.

Clinical faculty are individuals with a master's degree or higher appointed to instruct students in clinical, field, or laboratory settings, and/or to engage in practice and outreach, and/or have substantial professional caliber to administer academic programs and other administrative activities. These faculty must have education, certification, and licensure to meet the minimum regulatory requirements by an accrediting organization recognized by the U.S. Department of Education.

Instructors are normally expected to possess at minimum a master's degree in their field, and to meet Southern Association of Colleges and Schools Commission on Colleges (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.

Non-tenure-track faculty typically maintain a higher teaching load than tenure-track faculty. They are evaluated during annual review accordingly, with less weight given to scholarly and creative production and service.

Tenure-track full-time faculty may apply to change to non-tenure track. In order to change from tenure-track to non-tenure track applicants must follow the procedure in USC Upstate ACAF policy 1.1.8.

After meeting the specified time and performance expectations of the university and of their unit, non-tenure track faculty may apply for promotion to an advanced rank within their position following the procedure in USC Upstate ACAF policy 1.18.

Promotion 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 members. 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.

1.1 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.

1.1a 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.

1.1b Provost and Senior Vice Chancellor for Academic Affairs

The Provost and Senior Vice Chancellor for Academic Affairs[1] 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.

1.1c Academic Deans

Deans are appointed by the chancellor upon recommendation from the provost following the prescribed search procedures (see Chapter 3, *Procedures*) and report to the provost..

The dean is the chief academic administrator of a college or the Library. Deans report directly to the provost. Deans are responsible for the personnel and program administration of the unit; they review curricula and programs; they appoint chairs of departments and assign their duties, they supervise the use of funds, space, and equipment, and prepare the budget of the unit. Deans are the presiding officers of the

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[1] Hereafter referred to as provost.

faculty of their unit. Deans of units that are not departmentalized also have the duties and responsibilities of department chairs. Deans consult the faculty of the unit on significant matters concerning academic personnel and curricula.

The deans may also appoint assistant or associate deans to assist the dean in administering the unit. They serve at the pleasure of the dean.

1.1d University Librarian

The Dean of Library serves as the chief librarian of the university.

1.1e Department Chairs

Department 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.

1.2 STATEMENT ON ACADEMIC FREEDOM

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

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities.

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free expression. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

- Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties. However, research for pecuniary return should be based upon an understanding with the authorities of the institution.

- Teachers are entitled to freedom in the classroom in discussing their subject. However, they should be careful not to introduce into their teaching controversial matters that are not related to their subject.

- College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When faculty members speak or write as citizens, they are free from institutional censorship or discipline. They indicate that they are not speaking for the university.

Chapter 2 Faculty Governance

USC Upstate is committed to the principle and practice of shared governance. 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. It delegates powers to the president, the chancellor, and the General Faculty.

2.0 THE POWERS OF THE FACULTY

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.

To accomplish the legislative powers of the faculty and participate effectively in shared governance, the *Faculty Manual* establishes multiple tiers of faculty governance operation. The General Faculty is the supreme body of faculty governance. It devolves the powers of its jurisdiction to the other deliberative bodies: Faculty Senate, Faculty Standing Committees, and *ad hoc* committees whose members are elected or appointed as the *Faculty Manual* directs.

The General Faculty devolves its power of oversight to the work of these committees to the faculty chair—subject to the review of, ratification of, reconsideration of, and overturning of any decision of these committees by the General Faculty body.

The faculty has the responsibility to consider the appointment of all principal officers of USC Upstate and the President of the USC System. The faculty communicates its views on such selections through committees or to the chancellor as appropriate.

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.

"Periodic, systematic review of the *Faculty Manual* in its entirety will be undertaken every 5 years in order to ensure accuracy and relevance, while maintaining the stability of the document. The Faculty Chair in concert with the Faculty Advisory Committee will appoint an ad

hoc *Faculty Manual* Revision committee to serve for a term of no more than two years. It shall be the responsibility of that committee to seek guidance from relevant stakeholders to inform the goals to be achieved through revisions, draft proposed changes, solicit widespread comment and feedback on proposed changes, iteratively respond to comments, and prepare the manual revision documents for vote and approvals," (approved 2/9/2024)

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, the chancellor, and the chair consider faculty feedback, make appropriate revisions, and produce a final draft of the proposed changes for the purpose 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).

2.1c 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 (3) 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 thirty (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 thirty (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 the superior deliberative body of faculty governance at USC Upstate. The General Faculty may reconsider any action of the Senate (see Recalling an Action of the Senate). Gatherings and votes conducted by the General Faculty manifest 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..

2.2.a 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, librarians, and clinical faculty).

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).

Attendance, meaning real-time participation in an event whether physical or virtual, is required to present motions at meetings as appropriate to the format—in-person, hybrid, or remote. (amended 2/9/2024)

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).

General Faculty elections ratify the nomination of academic unites (departments, colleges, and the Library) for offices designated to that unit through unit elections sent forward to the faculty chair.

Pre-meeting nominations and nominations from the floor are permissible only for the following campus-wide offices: faculty chair-elect, faculty secretary, at-large member of UPTR, members of the System Faculty Leadership Council, and Intercollegiate Athletic Advisory Committee. All other nominees must be elected at the local level (department, college, or library) with nominees' names submitted to the faculty chair for the slate. (See Appendix XIII Elections).

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). For faculty governance committees requiring college rather than unit representation, CAHSS, CST, CoEHPH, and JCBE constitute academic units.

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.

2.2 b   Elected Officers of the General Faculty

Faculty Chair. The faculty chair is elected as faculty chair-elect at the end of spring semester every other year and serves a term of four years. Nominees—includeing self-nominees—can be made before the spring General Faculty meeting and also be taken from the floor.

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, and diverse, experience in faculty governance including in leadership roles and at least associate professor/librarian rank with tenure are recommended.

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; establishing the timing for conducting of both preliminary and general elections for governance positions; managing rosters for the Faculty Senate and Faculty Governance Standing Committees to maintain balance in turnover and to ensure that replacement members serve only the balance of a term and the appropriate academic unit selects replacement members when necessary; soliciting, reviewing, and providing feedback on plans of action developed by Faculty Governance Standing Committees.

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 faculty chair-elect should possess the recommended leadership qualities.

*To encourage greater faculty involvement and perspectives, whenever possible, the faculty cha*ir-*elect should not be from the same academic unit as the current faculty chair.*

*The past chair serves in an advisory capacity to the f*aculty chair. If the past chair is unable to serve, the General Faculty will elect a new past chair *pro tempore* from among previous chairs. Should there be no previous chairs then eligible faculty members with significant leadership experience on campus, preferably in faculty governance can be considered.

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. Nominees—including self-nominees—can be made before the spring General Faculty meeting and also be taken from the floor.

2.2 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.c   Appointed Officer of the General Faculty

Faculty Parliamentarian. The faculty parliamentarian advises the chair regarding parliamentary procedure for meetings and on matters of applying parliamentary procedure to *Faculty Manual* interpretation.. 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.

2.2 d   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 ten (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.

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

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 (7) days.

In years with substantive proposals to revise the *Faculty Manual*, it is recommended that the General Faculty be convened for a special meeting no later than 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 thirty (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 (3) 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.

2.3 a   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 ten (10) 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 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 must step aside on an interim basis or who are not able to complete their terms shall be replaced by an eligible individual selected by their academic unit. Interim replacements serve until the elected member returns but in no case more than one academic year.

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 secret ballot.

Votes on matters put before the body by academic administrators shall be by secret ballot to the extent allowed by the South Carolina Freedom of Information Act.

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.

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 ten (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 (7) 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. (For advisory committees whose members are elected through faculty governance see Appendix XII.)

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).

2.4 a   Membership, Nominations and Elections, Terms, and Vacancies

Membership. Membership on Faculty Governance Standing Committees is confined to full-time faculty members (tenured, tenure-track, senior instructors, instructors, and clinical faculty), 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.

For the Academic Affairs, Faculty Excellence, Faculty Welfare, and General Education committees, colleges in which there is a department which lacks sufficient members to staff all governance seats, the faculty may opt to have one representative for the college and leave the other seat vacant.

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

No academic department 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. Efforts should be made, such as having faculty exchange service assignments, rather than serve on any committee beyond two terms.

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. For the purposes of committee service, the Faculty Senate should be considered the equivalent of a standing committee.

Nominations and Elections:

Members of Standing Committees are nominated by the academic unit they represent, whether that unit is a department, college, or the Library. Nominees are expected to meet any stated eligibility requirements at the time of nomination.

Nominees for committees requiring academic unit representation should be made by the department and forwarded to the faculty chair.

Nominees for committees requiring college representation should be selected by a college-wide election with names of the successful nominee(s) forwarded to the faculty chair. Elections for all standing committees by MBCON and the Library are considered unit or college representation as required by the committee description.

Nominees for positions that are not restricted to a particular unit are considered at-large.

Nominations—including self-nominations for these positions—are forwarded directly to the faculty chair. Additional nominations can be made from the floor.

Members of the Faculty Advisory Committee, and other members of the Faculty Senate when necessary, will assist the faculty chair in managing elections.

In colleges with departments, they provide assistance to their chair as needed to identify and select nominees for committees requiring unit representation. Faculty Advisory Committee members of the college share responsibility for collective management of elections for standing committees that require college representation.

Members who are running for standing committee posts that require college representation must recuse themselves from election management duties.

In instances where there remain fewer than three election managers, the unit may seek assistance from the faculty chair.

Elections must be conducted by secret ballot. The election managers confirm the count before reporting the successful nominees to the faculty chair.

Terms. Terms of appointed and elected committee members in most Faculty Governance Standing Committees are for three years. New committee members assume duties on May 16.

Representatives should not succeed themselves on any committee unless no one meets the *eligibility* requirements to serve.

Vacancies. There are two types of vacancies: interim and permanent.

Interim vacancies occur when a faculty member steps aside from a committee assignment for no more than an academic year. A replacement representative shall be an eligible faculty member from the area they serve as indicated on the faculty governance committee roster. The faculty member who stepped aside will not be eligible for re-election.

Permanent vacancies: Permanent vacancies occur when a member leaves the University or accepts responsibilities in the university that are incompatible with committee service.

Elected members who are not able to complete their terms shall be replaced by an eligible faculty member from the area they represent (department of college) as indicated on the faculty governance committee roster or appointed by the chancellor where appropriate in the case of chancellor appointees. The replacement should be accomplished through the appropriate unit by election. 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 or their designees are *ex officio* members of all Faculty Governance Standing Committees. The Registrar is an *ex-officio* member of the Academic Affairs and Graduate committees. Additional administration representatives are appointed annually, after consultation and agreement between the chancellor, provost, and faculty chair.

2.4 b   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.

Those with business pending at the meeting as well as other guests are welcome. All guests are expected to show decorum, be respectful of the operation of the committee including the direction of the committee chair. Per Robert's Rules of Order, the committee chair can take appropriate action to maintain order during the meeting.

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, security, and preservation (if required) 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. Both individual votes and justifications in personnel matters must be preserved.

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.

Committee Chairs are responsible for the orderly conduct of meetings. 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 elected 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 curricular programs and courses.

The committee considers matters concerning undergraduate academic requirements and standards, and reviews current policies and practices to make recommendations to the Faculty Senate. 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 program development, modification, or deletion, as well as individual undergraduate course approval, deletion, or modification. Each unit is responsible for ensuring that any proposal submitted to the Academic Affairs Committee comports with both Upstate and USC System policy for content and style.

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

A college-wide election will select nominee(s) for the General Faculty election slate or to fill a vacancy.

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 faculty chair-elect or the past faculty chair serves as the advisory representative for their unit. In instances where the faculty recording secretary and the faculty chair-elect or past faculty chair are from the same unit, the faculty chair-elect or past faculty chair remains the unit representative.

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.

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, votes on the viability of each proposal, and then forwards all proposals along with the vote recommendations to the provost. The Committee receives, reviews, and retains completed sabbatical reports, forwards copies to the University Archives for permanent retention, and makes them available for review by the Provost upon request.

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. The chair of the Faculty Welfare Committee must be a tenured faculty member and does not serve on peer review committees, the Promotion and Tenure committee or UPTR committee.

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 as described below; and numerical results of faculty evaluations of administrators, and each academic or administrative support office and

department. Sharing these reports is not for the purpose of causing division among faculty. The purpose is to provide transparency as a basis for compensation advocacy.

Faculty salary report: The faculty salary report shall report the name, rank, years of service at USC Upstate, years at rank and base salary 9-month for classroom faculty and 12-month for Librarian faculty $50,000 or more in order from highest compensation to the lowest stopping at $50,000. For members of the faculty earning less than $50,000, salary shall be reported in bands of $4,000.

$46,001 - $49,999
$42,001 - $46,000
$38,001 - $42,000
$34,001 - $38,000.

An additional column indicating total compensation should indicate annual salary as would appear on the state accountability portal.

The report should include the following notation. The nine-month base salary permits consideration of salary equity. It also should be understood that salaries vary by discipline. Salaries increase for a variety of reasons including rank promotions, favorable post-tenure reviews, equity raises to address compression or inversion. Total compensation may exceed base salary for additional duties.

Additionally, comparisons by gender, race, years at rank, and years of service at USC Upstate cross-tabulated with rank will be reported.

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

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*).

Faculty members filing a formal incivility claim do so with the Chair of the Faculty Welfare Committee according to the guidelines for the Upstate Civility Policy (see Appendix X, Upstate Civility Policy).

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 and the library, plus two additional faculty members without graduate programs. The Library does not have a seat on this committee. The Committee considers and recommends to the Faculty Senate action on all requests for the addition, modification, or deletion of graduate curricular programs and courses. The Committee also recommends revisions to the Faculty Manual regarding polices related to graduate programs and faculty.

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

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 each from JCBE, CoEHPH, MBCON and the Library. Terms are for three years.

A college- (or library-) wide election will select nominee(s) for the General Faculty election slate or to fill a vacancy. Committee members who temporarily step aside from this committee (no more than an academic year) can be replaced by an interim elected by the college or Library.

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.

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 the college of the Library.

Elections of members of the committee are held at the General Faculty meeting in the spring. Elected committee members who are not able to complete their terms shall be replaced by the college or Library.

The replacement member serves until the originally elected faculty member returns to the Committee. In cases where the original member does not return, the replacement serves until the next General Faculty meeting, at which time the faculty elects a member 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).

Faculty members may not serve on the Promotion and Tenure Committee if they are currently serving on a peer review committee, UPTR Committee, serving as faculty chair, faculty chair-elect, or past faculty chair, or chairing the Faculty Welfare committee; if they are undergoing post-tenure review; or if they conduct annual administrative reviews. Members of the Promotion and Tenure Committee may not have faculty supervisory responsibilities.

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, only 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 intranet site. The Promotion and Tenure Committee, in accordance with approved university standards 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. The Student Services Committee consists of one faculty member from each of the professional colleges, CST, and CAHSS. 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 Chair of the Student Services Committee, in collaboration with the Assistant Vice Chancellor for Student Success, and one other Student Success staff member selected by the Assistant Vice-Chancellor, reviews and determines appeals for students who are not making satisfactory academic progress. Appeals are reviewed on a rolling basis throughout the year with an expected response time of 48 business hours. In considering appeals, normal entrance and continuation requirements for individual students may be suspended, as permitted by university guidelines.

The full Student Services Committee will meet periodically to review policy and appeal decisions, and assess student progress. At least every three years, the Committee considers admission and continuation policies within University guidelines and, where advisable, recommends to the Faculty Senate, the Provost, and the Chancellor modifications to these policies.

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. Members are elected at the General Faculty Meeting from advanced nominations made to the faculty chair and/or from nominations from the floor. 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) who have taught at USC Upstate for one year or more. The at-large member may not be from the MBCON or the Library and must be from a different department than the elected members. Members serve a two- year term.

Only when colleges or the Library have insufficient eligible tenured members can representatives self-succeed. Efforts should be made, such as having tenured faculty change service assignments, rather than extended service on the committee indefinitely.

College and Library representatives will be elected through a unit election process. The at-large member will be elected at the General Faculty Meeting from campus-wide nominees in advance to the faculty chair from departments without a member already serving on the committee and/or from the floor.

The UPTR Committee, in accordance with approved University standards and procedures, consideration of annual administrative reviews, and application of specific post-tenure unit criteria to the evidence provided, reviews and evaluates the quality of tenured faculty performance. The committee makes recommendations regarding the acceptability of the quality of the teaching, scholarship, and service of tenured faculty to the provost.

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; serve as faculty chair, faculty chair-elect, or past faculty chair, or if they conduct annual administrative reviews. Members of the UPTR Committee may not have faculty review 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 attends 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 communicates to the Faculty Senate conference affiliations, the addition or deletion of sports, and other major changes in athletic policy. The FAR reviews the academic performance of all student-athletes each semester (including summer sessions), reviews the NCAA Progress Towards Degree Report information collected by the Registrar, and consults on any student deficiencies.

In addition, the FAR:

- Provides support 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 participates in the enforcement of all institutional academic and student activities rules and regulations as they apply to student-athletes.

- Supports university officials in investigations of instances of student-athlete misconduct, both on and off the playing fields. The FAR attends Student Government courts, hearings, etc., with student-athletes.

- Advises and supports USC Upstate's compliance efforts with NCAA academic 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, when appropriate. 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.

- Supports efforts toward student-athlete physical and mental wellbeing. The FAR meets with the Student-Athlete Advisory Committee (SAAC) officers once a semester during the academic year. The FAR attends practices and/or games of all sports' teams as his/her schedule permits.

- Chairs the Intercollegiate Athletic Committee, an advisory committee that reviews the academic performance of all student-athletes by receiving appropriate and relevant information regarding the academic eligibility and progress of student-athletes, including graduation rates, and monitors the needs, interests, concerns and overall well-being of student-athletes.

Chapter 3

Employment

3.0 EQUAL OPPORTUNITY

It is the policy (ACAF 1.06 Academic Titles for Faculty and Unclassified Academic Staff Positions) 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 CR 2.00 Equal Opportunity and Affirmative Action, CR 1.00 Policy Against Discrimination Harassment & Sexual Misconduct; ACAF 1.00 Recruitment and Appointment of Tenured, Tenure-Track and Professional-Track Faculty). USC Upstate is an affirmative action/equal opportunity institution.

3.1 SEARCH PROCEDURES

Procedures for Full-time, Tenure-track Faculty Members

3.1a Notice of vacancy

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 and USC Upstate procedure 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.

3.1b The Role of the Search Committee

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 theprovost, 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.

3.1c The Role of the Department Chair

The committee chair verbally presents strengths and weaknesses of each candidate to the department chair, who makes a hiring recommendation to the dean. The department chair shares the committee's sentiments as well as their own with the dean.

3.1d The Role of 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 andprovost 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.

3.1e Approval for Hire with Tenure at Time of Appointment

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.

3.2 CHANGE OF ACADEMIC UNIT

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, and 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.

3.3 PROCEDURES FOR FULL-TIME, NON-TENURE-TRACK FACULTY MEMBERS

In general, the selection and appointment procedures for instructors and clinical track follow that for full-time, tenure-track faculty. However, because the opportunity to hire these faculty may follow a shorter calendar than that of tenure-track faculty, and because they 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 faculty members from the unit. 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.

3.3a Appointment and Terms of Employment

Appointment of non-tenure track faculty 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.

3.3b Move from Instructor to Tenure Track

Instructorand clinical track 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.

3.4 PROCEDURES FOR HIRING FACULTY ADMINISTRATORS

Faculty administrators include department chairs, deans, the provost, and the chancellor.

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.

3.4a Procedures for Department Chairs

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 and USC Upstate procedure.

3.4b Interim Appointments

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.

3.4c Term of Appointment, Reappointment, and Termination

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.

3.5 PROCEDURES FOR DEANS

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.

3.5a Comprehensive Search

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.

3.5b Participation of Eligible Faculty

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 theprovost. 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.3.5c Forming a Search Committee

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.

3.5d Recruitment of Applicants

The search committee drafts a notice of vacancy which, after approval, is published in the appropriate professional journal or personnel newsletters and in at least one general publication, such as the *Chronicle of Higher Education*.

3.5e Applicant Review and Campus Visit

If an independent search firm is used, the firm collects and may complete an initial screening of candidates' 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 may exceed four only with the specific approval of the provost.

In order to maintain equal opportunity for all candidates, 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. 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.

3.5f Hiring

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, theprovost 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.

3.5g 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.

3.5h Term of Appointment and Reappointment

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. F The appointment of a dean may be terminated by the provost with the approval of the chancellor and the president.

3.5i Interim Appointment

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.3.5 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.

3.6a Notice of Vacancy and Forming of a Search Committee

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.

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.

3.6b Participation of Eligible Faculty

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.

3.6c Recruitment of Applications

The search committee drafts a notice of vacancy which, after approval, is published in the appropriate professional journal or personnel newsletters and in at least one general publication, such as the *Chronicle of Higher Education.*

3.6d Review of Applicants and Campus Visit

If an independent search firm is used, the 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. The number of external candidates may exceed four only with the specific approval of the chancellor.

After contacting the references of the most promising candidates, the search committee consults with the chancellor, and the committee arranges interviews. In order to maintain equal opportunity for all candidates, 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

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 must submit at least three finalists to the chancellor without rank order.

3.6e Chancellor Selection

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.

3.6f Term of Appointment

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.

3.7 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.

3.7a 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.

3.7b 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 contingent on enrollment. In some circumstances, faculty may be offered a pro-rated percentage for under-enrolled courses.

Faculty members must advise their 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.

Faculty members may decline to teach an under-enrolled course for a pro-rated salary or to perform uncompensated assigned special duties during the summer which is outside the contract period.

This does not preclude any faculty member from performing *pro bono* work at their discretion.

3.7c Outside or Dual Employment

South Carolina law regulates 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 ACAF 1.50 Outside Professional Activities for Faculty. 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.

3.7d 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 academic units. 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.

3.7e Consensual Relations Policy

Faculty must refrain from engaging in any romantic or sexual relations with anyone where a power differential exists or is reasonably likely to exist in the future. Violation of this policy may result in dismissal from the University. For further detail see UNIV 2.01 Prohibited Consensual Relationships.

3.7d 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.

3.7e 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 10.7 outlines the *Family Medical Leave* policy and 1.09 pertains to the *Other Leave Without Pay*.

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 ten (10) consecutive calendar days. Upon request by the chair or dean, the provost may grant leave without pay in excess of ten (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.

While on sabbatical, faculty are exempt from all normal duties including teaching, administrative, and university governance service responsibilities. Faculty with administrative duties will be assisted in finding an interim replacement. The Faculty Chair, in collaboration, with the appropriate academic unit or college will identify appropriate replacements for governance committees as needed. Faculty may continue to fulfill some normal duties if they choose, but this is not required and will otherwise not affect the terms of the sabbatical.

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).

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. 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.

3.7f 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.

Chairs, deans and college 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.

3.8 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.

3.8a Tuition Assistance

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.

3.8b Retired Faculty

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.

3.8c Faculty Ombudsperson

The Faculty Ombuds offers an informal, impartial and neutral avenue for faculty to discuss problems or issues within the University. The Faculty Ombuds 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 Ombuds are kept confidential, as are all discussions between the faculty member and the Faculty Ombuds, 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 Ombuds 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 Ombuds advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization. These unique characteristics distinguish the Ombuds from mediators, arbitrators and other alternative dispute resolution professionals.

Communications made to the Faculty Ombuds do not constitute notice to the organization. However, the Ombuds may refer individuals to the appropriate place where formal notice to the University can be made.

While the Faculty Ombuds 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 Ombuds will provide feedback to the administration (or others in authority) when a common issue or trend occurs.

The Faculty Ombuds adheres to the principles of the International Ombuds Association.

Chapter 4

Faculty Duties and Responsibilities

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

4.0 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.

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.

4.1 Performance Indicators for Teaching Effectiveness

Individual unit criteria for annual reviews and promotion tenure provide specific performance indicators for each unit. These criteria are located on the Promotion and Tenure site.

4.2 CLASSROOM MANAGEMENT

While faculty members have latitude in their approaches to subject matter, consistency in certain elements of classroom structure are essential to effective functioning of the academic enterprise.

4.2a 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 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.

4.2b Class Meetings

Faculty workload in any teaching modality is calculated on credit hour offerings where, according 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.

4.2c Instructional Modalities

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. Depending 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 Center for Academic Innovation and Faculty Support (CAIFS). Faculty developing courses are expected to follow their academic unit guidelines for distance education and online learning design, delivery, assessment, and evaluation.

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-hours 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.

4.2d Class Attendance Policy

Subject to certain limitations described in the Academic Catalog, instructors of record are responsible for determining the attendance and participation polices appropriate to their individual courses.

If an instructor intends to assign a grade penalty for absence or a grade for participation the instructor must:
- Inform students in writing how attendance and participation will be measured, particularly as such measurement goes beyond recording students' mere presence in the classroom for all or part of a class session;
- Maintain current, verifiable records;
- Take care to apply attendance and participation policies consistently and fairly for all students; and

- Recognize that failure to comply could constitute grounds for a grade appeal.

Instructors who do not intend to assign a grade penalty for absence or a grade for participation, are not required to keep a record of attendance; however, all instructors are encouraged to do so whenever practical. Federal law requires institutions to document the last day of participation for enrolled students who fail to complete a course.

Instructors must allow make-up work or an alternative means for earning credit for excused absences as described in the catalog policy.

Any instructor assessing a grade penalty for unexcused absences must specify in the course syllabus the percentage of allowable unexcused absences (following any limitations in the current academic catalog) and any penalty to a student's grade for each unexcused absence in excess of the allowed amount. Online courses should specify any penalties for not participating in activities in the allotted time without a valid excuse. (amended 3/15/2024)

4.2e 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. All faculty members should hold 1 hour of synchronous weekly office hours per course they are teaching, with a minimum expectation of 1 hour and a maximum expectation of 5 hours. Faculty are expected to maintain office hours at scheduled times, preferably not on a single day, and to establish and post specific channels of contact (e.g. chat, text, phone, videoconference, face-to- face, or other synchronous communication applications). Faculty members are to post their office hours for students (outside their office and/or on their learning management site) and to submit a copy of their office hours to their dean or department chair.

Faculty members have a responsibility to make a good faith effort to honor students' requests for meetings by appointment within reason and at mutually acceptable times. (amended 3/15/2024)

4.3 ASSESSMENT OF STUDENT PERFORMANCE

Faculty members are responsible for informing students in their classes of the methods employed in determining the final course grade. 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.

Faculty are expected to participate in all assessment and retention initiatives.

4.3a Grading

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.

4.3b 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.

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

4.3c Grading System

For a detailed discussion of the current grading system, consult the "Grading System" section of the Academic Regulations of the current issue of the *USC Upstate Academic Catalog*.

4.3d 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.

4.4 ADVISING

The University highly values strong advisement as a component of the role of teaching faculty. 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.

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.

4.5 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 Academic Innovation and Faculty Support 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.

4.6 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 annual reviews and promotion and tenure, located on the Promotion and Tenure site, provide examples of specific performance indicators.

4.7 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).

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.

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.

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 annual reviews and promotion and tenure, located on the Promotion and Tenure site, 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, clinical, 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. Committees of tenured faculty are involved in these reviews. Unit peer review committees participate in third year and promotion and tenure reviews.

Additionally, the Promotion and Tenure Committee, composed of campus peers also participates in the promotion and tenure process. The University Post-Tenure Review Committee conducts the 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 the portfolio into their current year's annual administrative review to avoid duplication of effort.

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 File Preparation

Candidates bear ultimate responsibility for preparation of the file on which any review 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, based on recommendations from the Promotion and Tenure Committee, are included in Appendices V-VIII.

5.1c   Unit Criteria

All reviews of tenured and tenure-track faculty 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, entirely or in part as noted below, 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
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Unit criteria will be reviewed within the unit every three to five years, or sooner if the unit or institution makes changes in evaluative terms or expectations. See Appendix VIII: Unit Criteria for more guidance.

5.1 d   Definitions of Evaluative Terms

The evaluative terms below will be used for all reviews in all academic units and other review processes.

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.

5.2 ANNUAL ADMINISTRATIVE REVIEWS

All faculty undergo an annual administrative review. Annual administrative reviews are typically completed by tenured unit administrators. In most cases, department 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. Department chairs and directors are evaluated by a supervisor according

to the criteria relevant to their positions.

5.2a First Year Review

New hires at all ranks, tenure-track, instructor/clinical, and adjunct are reviewed after their first semester of employment at USC Upstate.

For Fall hires, the administrative review file must be submitted by January 16 for a Fall appointment and May 15 for a Spring appointment. The file review, and the required interview, must be completed by March 1 for a Fall appointment and July 1 for a Spring appointment.

For full-time employees, "If an employee does not receive an evaluation before the performance review date, the employee must be considered to have performed in a satisfactory manner and be a covered employee".

(For tenure-track hires, see Non-Renewal of Probationary Period below).

5.2b Regular Annual Review

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 must be completed by unit administrator by August 1st and the optional response and interview must be completed by the second business day of the faculty members fall contract. (see Appendix VIII).

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 until the second business day of the faculty member's fall contract to submit an optional written response 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.

5.2 c   Annual Administrative Review for Instructors and Promotion to Senior Instructor

Instructors and senior instructors are reviewed on teaching and 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 apply for promotion from Instructor or Instructor Librarian to the rank of Senior Instructor or Senior Instructor Librarian based on these annual administrative reviews and ACAF 1.18.

All other promotion criteria related to professional tracks are based on unit criteria.

5.1 5.2d   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. Department chairs base their reviews on course syllabi, learning experience surveys, and class observations.

Part-time faculty members should be encouraged to submit a reflection on their classroom performance as part of their review. At a minimum, part-time faculty should be permitted to address the content of learning experience surveys if they believe circumstances warrant it.

Part-time faculty members do not have grievance or appeal rights. However, they should be able to address concerns regarding their review with the unit administrator.

The part-time faculty member or the unit administrator may request an optional meeting after the review is complete. Part-time faculty members may respond in writing to the review. The optional written response should be submitted within ten (10) working days of receiving the review and included in any personnel record.

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, and the years in which the faculty member applies for promotion and/or tenure. Faculty members undergoing peer review prepare and submit a file according to established procedures and guidelines for that particular review (see Appendix V-VII).

5.3a 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 perjudices 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.

5.3b   Creation of Unit Peer Review Committees

Peer Review Committees (PRC) include five tenured faculty members. PRCs 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. 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 who are in the tenure process but not yet tenured, 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.

5.3c   Peer Review Committee Chair Duties

Taking on the role of the PRC Chair is a significant commitment in a process that determines the employment status of one's colleagues. Continuity of leadership is of particular importance in the tenure and promotion process from the initial thirty days before the file is due through the completion of the process. 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.

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. The PRC Chair is also responsible for receiving letters of evaluation in the tenure and/or promotion process and adding them to the candidate's file.

PRC Chairs also distribute the names of faculty to be reviewed, the calendar of deadlines for peer review, the procedures pertaining to completing the type of peer review, and any appropriate forms to the committee members..
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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.

5.1 5.3d   Peer Review Committee Member Duties

Agreeing to serve as a member of a PRC is a significant commitment in a process that determines the employment status of one's colleagues. Unless ethical issus arise to create a conflict of interest, PRC members are expected to serve throughout the review cycle for which they were elected.

Committee members are required to meet (in person or in a secure virtual setting) at least once to discuss the files.

Every member of the PRC is responsible for examining a faculty member's 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 committee members give their forms to the PRC chair who uses all committee forms to draft a synthesized faculty form.

During the tenure and/or promotion process, committee members also submit separate unsigned ballots for tenure and/or promotion which contains their individual vote and justification for each administrative action the faculty member has applied for. Committee members give their ballots to the PRC chair who records the vote and uses their justifications to create a synthesized vote form.

5.3e Other Peer Review Committees

Both the Promotion and Tenure Committee and the University Post-Tenure Committee engage in peer review of faculty performance.

5.3f Right of Faculty Under Review to Respond

Faculty members undergoing any form of peer review may write a response to the PRC review within five (5) 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.

5.4 TENURE-TRACK FACULTY PERIODIC REVIEW

In addition to annual administrative reviews and as part of the tenure and/or process, tenure-track faculty undergo third-year review and tenure and/or promotion reviews by faculty peers.

In the period before earning tenure (see probationary period below) optional peer reviews may also be performed at faculty member's request.

File submission, file review, and deliberation of files for all peer reviews take place in an e-Portfolio system.

Institutional support will be provided to faculty members as they learn the details of the relevant platform.

5.4a   Third-Year Review

All full-time tenure-track faculty members undergo peer review based on university and unit criteria for promotion and tenure in their third year. 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.. 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.

After the file is reviewed by the peer review committee, it is shared with the unit administrator, the unit dean, and the provost.

5.4 b   Tenure and Promotion

To continue their employment beyond the probationary term, faculty members who accept a tenure-track appointment must apply for tenure and/or promotion to Associate Professor/Librarian or Professor/Librarian before the expiration of their probationary period (see probationary period below).

Application for promotion is optional for those who are hired with advanced rank.

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 tenure-track faculty members of the date for submitting files for tenure and/or promotion by April 15. Those considering applying for promotion and/or early tenure in the Fall of the next academic year are to submit an Intent Form to the Office of the Provost and the chair of the Promotion and Tenure Committee by April 30.

Candidates in Penultimate Year. The penultimate year is the next to last year of the probationary period during which an untenured faculty member must apply for tenure and submit the file by the report day in August. The provost notifies faculty members entering their penultimate year in writing. Unless they have requested and received an extension, candidates in their penultimate year *must* submit a tenure file.

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

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 ePortfolio by the first day of Fall semester.

Faculty members hired into the tenure track are responsible within their probationary period for meeting both the academic unit tenure and promotion criteria and University standards defined in the manual that were in effect at the time of their hiring.

Subsequent faculty peer reviews or post-tenure reviews include all years since an applicant last applied for an administrative action. For all subsequent promotions, the faculty member is responsible for meeting either (1) the current academic unit criteria and University standards or (2) unit criteria and University standards in effect at the time of his or her previous promotion or (3) those in effect five years before the current application if their last promotion was more than a five year period, 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.

5.4c   Tenure Regulations

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 for a contractually specified term. Such appointments are not considered part of a probationary period for tenure consideration.

- New Appointments. The provost informs new tenure-track faculty members of their tenure status, the tenure regulations applicable on the effective date of their appointment, and any years' credit toward the probationary period for prior teaching, service, scholarship, and/or creative activities in their letters of appointment.
- Evidence documenting the quality of that experience must be provided for promotion and tenure decisions and should be counted as relevant evidence by faculty peer review committees.

- *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.

  Probationary Period: The university defines the probationary period as the "length of time allowed for a tenure-eligible faculty member to earn tenure."

  For all tenure track faculty members initially appointed at the rank of professor/librarian or associate professor/librarian rank without tenure, the probationary period is five years of continuous service at USC Upstate at which time an application for tenure must be made.

  For all tenure track faculty members initially appointed at the assistant professor/librarian rank, the probationary period is six years of continuous service at USC Upstate at which time an application for tenure must be made.

- *Maximum Probationary Period*. The maximum probationary period includes the probationary period and an additional year of employment for candidates who fail to earn tenure to find future employment.

- 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 maximum probationary period.

Rank	Maximum Probationary Period	Year of probationary period when application for tenure must be
Professor/librarian	6 years	Beginning of fifth year
Associate professor/librarian	6 years	Beginning of fifth year
Assistant professor/librarian	7 years	Beginning of sixth year

- A letter of appointment may give credit for prior years of teaching, service, scholarship, and/or creative work. While a tenure track faculty member may use evidence from these years in a tenure application, the maximum probationary period should be presumed to be that which is stated above, unless there is a date in the letter of appointment that indicates a shorter period.

  For exceptions to the established maximum probationary periods, see "Extension of Probationary Period."

- *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. See ACAF 1.31 for more information on distinctions between automatic and requested extensions

The maximum probationary period may not be extended more than three times. A faculty member's extended probationary term of appointment may not be more than three additional years above the maximum probationary period as noted above.

If an extension is granted within the first three years of tenure-track status, the mandatory third-year 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.

Requests from faculty members to extend their probationary period for tenure are submitted to the faculty member's rating administrator following the procedures in ACAF 1.31 B.1.c. 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 (5) working days in which to make a recommendation. If the administrator does not meet the five-day limit, the faculty member may send the request to extend the probationary period to the next level with no penalty.

"If the request is ultimately denied, the faculty member may submit a written letter of appeal to the chancellor for the comprehensive university for review and final decision. The written appeal must be submitted within 20 working days of the date of denial. After receipt of the appeal, the executive vice president for

academic affairs and provost or chancellor must reply within 20 working days. The decision of the executive vice president for academic affairs and provost or chancellor shall be the final decision of the university."

5.4d Tenure and Promotion File Review

In cases where they have been in probationary status for more than the typical years for their rank due to an extension, the faculty members' entire probationary period constitutes the period of review. However, faculty members shall be evaluated as if they had been in probationary status for the normal probationary period, not longer.

The academic unit criteria and the university standards indicated in the hire letter remain in force. All evidence should be measured against these criteria and standards without regard to time in the probationary status.

- *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 of already-tenured faculty for promotion 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 to discontinue the appointment, notice of such non-renewal is given in writing by March 1 (July 1 for a spring semester appointment).
   Should circumstances arise that necessitate the discontinuation of a faculty member in probationary status during the second year of a probationary appointment that are deemed in the best interest of the University, notice of such non-renewal is given in writing by December 15 (April 15 for a spring semester appointment). After the second year, notice in writing of the non-renewal of the probationary appointment must be given at least twelve months before the date of discontinuation.

- *Tenure Clock 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 credit hours count toward the probationary period for tenure or toward years in rank for promotion.

5.4e   Tenure and Promotion Eligibility for Classroom Faculty

To be eligible for the rank of assistant professor, faculty members must possess strong potential for academic development in line with the academic unit's criteria. Faculty members are normally expected to hold an earned terminal degree or other appropriate degree (as in law and certain of the performing or creative arts).

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 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 tenure-track 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 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 nine years of relevant tenure-track experience or have been an associate professor for at least three years. 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 f   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.

Annual administrative 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 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.

Further, 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.

Post-tenure review combines administrative review with peer review. After six years, all tenured faculty members undergo this additional level of review. This period does not apply to any tenured faculty member who, within the period, has been promoted or has moved to full-time administration at the rank of dean or higher. The post-tenure review file will be evaluated by the University Post-Tenure Review (UPTR) Committee and the provost.

Years served at other institutions do not count toward post-tenure review.

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. If reviews for promotion (e.g., a tenured associate professor is reviewed for promotion to tenured full professor) fall within the appropriate time interval and encompass all the indicators for post-tenure review, they may constitute a post-tenure review.

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.

Faculty with administrative responsibilities (i.e., chairs, directors, and associate or assistant deans) 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. Full-time administrators (deans and above) are not subject to post-tenure review until six years after 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.

In accordance with USC System policy ACAF 1.31, extension of the post-tenure review period may be requested for a serious illness of the faculty member and/or the faculty member's spouse/partner, child, or parent; childbirth or adoption of a child; the placement of a foster child; the death of the faculty member's spouse/partner, child, or parent; or for other reasons such as activation for military service. Documentation may include, for example, a letter from a physician or other health care professional indicating the time period of illness, death certificate, or notice of activation for military service.

The request should normally be submitted in the year prior to when the review is scheduled. Requests are made to the chancellor within twenty (20) working days of denial. The chancellor has twenty (20) working days to respond. The decision of the chancellor is final.

The maximum extension for post-tenure review may not exceed ten years.

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.

5.5c   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, dhair, 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., 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

6.0 FACULTY GRIEVANCE PROCESS

When misapplication of or failure to apply appropriate written and approved policies and procedures results in actions or decisions that adversely affect their employment, USC Upstate faculty members have the right to grieve these decisions.

The grievance process for faculty affairs 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.

USC Upstate faculty members have the right to grieve decisions affecting their employment when those charged to implement policies and procedures fail to follow them.

Such circumstances may include, but are not limited, to

- inadequate or improper documentation
- use of impermissible criteria
- denial of academic freedom
- denial of procedural due process
- Non-reappointment of instructor and clinical track faculty before the end of a contract. (amended 3/15/2024)

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.

Matters for which the grievance procedure may not be used can be addressed through other university policies and procedures.

In circumstances where faculty members believe they have experienced unlawful discrimination or violations of USC Upstate's discrimination and harassment policies. They should consult CR 1.00 "Policy Against Discrimination, Harassment & Sexual Misconduct" or CR 2.00 "Equal Opportunity and Affirmative Action" as appropriate.

In circumstances where there is a civility issue, the involved faculty should consult and follow USC Upstate's Civility Policy.

In circumstances where performance evaluations have been rendered that lack adequate or use improper documentation, or use of impermissible criteria, faculty should refer to the Chapter V (Faculty Review), Appendix V – Guidelines for File Preparation for Promotion & Tenure, Appendix VI – File Review for Promotion and Tenure, Appendix VII – Guidelines for File Preparation for Other Reviews, or Appendix VIII – Unit Criteria and Review Forms as appropriate.

Such grievances may require appeal through the administrative chain of command or involve either the Promotion and Tenure Committee or the Faculty Welfare Committee depending on the issue.

6.1 GENERAL

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.

6.2 DEFINITIONS

A GRIEVANCE is a complaint by a faculty member that his or her professional activities have been adversely affected by actions that violate university policy or procedure.

A FACULTY MEMBER means any person currently holding a full-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 faculty member(s) or academic administrator(s) alleged to have violated a policy or procedure.

6.3 PROCEDURES

When a faculty member believes they have a grievable circumstance(s), it is appropriate to seek the counsel of a trusted colleague, the chair of the Faculty Welfare Committee or the Faculty Chair, or the Faculty Ombuds before taking further action.

6.3a Informal Resolution

If the faculty member believes that the issues can be resolved through informal means, such means should be pursued first. If informal effort fails to resolve the issue(s), a formal grievance procedure may be initiated.

6.3b Formal Resolution

Formal grievances must be initiated in writing to the chair of the Faculty Welfare Committee. The written statement should be signed and dated and must 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. The applicable formal process depends upon the nature of the grievance.

6.3c Procedure for Denial of Academic Freedom

In circumstances where a faculty member believes their academic freedom has been infringed, the faculty member should begin with a written request, setting forth in a clear and concise manner the circumstances upon which the charge is based, that an investigation be made. The request should be sent to either the Faculty Welfare Committee or the chancellor. Violations of academic freedom are

complex and may also be predicated on unlawful discrimination. In such cases other grievance policies apply.

All matters pertaining to the grievance process are to remain confidential; however, the chair of the Faculty Welfare Committee may consult with the faculty chair to determine whether matters of procedure have been followed.

6.4 THE GRIEVANCE HEARING

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 fifteen (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.

6.4a The Grievance Panel

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. If any pool member selected for the grievance panel has a conflict, they may excuse themselves from the panel. The grievant and the respondent each have the right to challenge one of the three grievance panel members. In the event of a challenge or self-disqualification, a replacement will be randomly drawn from eligible members of the pool. The three selected members of the grievance pool serve as the hearing panel and elect their own chair.

6.4b The Hearing Process

Recognizing the time-sensitive nature of the grievance process, the committee meets as soon as practicable to review the grievance. If members determine that additional information is needed, the chair of the panel gathers any additional information pertinent to the grievance.

Requests for additional information must occur within fifteen (15) days of the election of the chair of the hearing panel. Requested materials must be received by the chair of the panel within fifteen (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 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 fifteen (15) days of the notification. The grievant may request a closed hearing.

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. 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 makes a recommendation to the chancellor. In a written notification, to the hearing panel, all parties to the grievance, the chair of the Faculty Welfare Committee, the faculty chair, and the chancellor, the chair of the panel provides the panel's recommendation and its rationale..

Within fifteen (15) days, thechancellor provides a decision and justification in writing to the hearing panel, all parties to the grievance, and the chair of the Faculty Welfare Committee.

Chapter 7
Termination of Tenured Faculty

7.0 OVERVIEW

Faculty can be subject to two types of termination: Administrative Termination and Reduction in Force.

7.1 ADMINISTRATIVE TERMINATION

7.1a Defining 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.

7.2 PROCEDURES

7.2a Option 1: Assignment of New Duties

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.

7.2b Option 2: Termination of Employment

If the chancellor and the faculty member are unable to reach a resolution, the chancellor informs the chair of the Faculty Welfare Committee of their 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.

7.3 GRIEVING NOTICE OF TERMINATION
Faculty members who have been notified by the chancellor of the intention to initiate

termination proceedings may choose to grieve this action by notifying the chair of the Faculty Welfare Committee of their intent.

7.3a Forming the Grievance Panel

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.

7.3b Grievance Panel Procedures

Within twenty (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.

7.3c Chancellor Procedures

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 (10) 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 ten (10) days of the receipt of notification by the chancellor of the proposed termination.

7.3d Appeal to the Promotion and Tenure Committee

Upon receipt of a written request for a hearing, the chair of the Promotion and Tenure Committee schedules a hearing no sooner than twenty (20) days and no later than sixty (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, upon 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 the chancellor's 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 the Promotion and Tenure Committee concludes that adequate cause for termination has been established, the Promotion and Tenure Committee chair informs the chancellor and faculty member in question.

If the Promotion and Tenure 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 cease.

7.4 ADDITIONAL LEVELS OF APPEAL

Faculty members may appeal an adverse decision at Upstate to University of South Carolina system officials.

7.4a Appeal to the USC System President

Within ten (10) days of receipt of the Promotion and Tenure Committee's report, the chancellor informs in writing the faculty member and the committee chair of this decision together with supporting reasons. The chancellor informs the faculty member of the right to appeal an adverse decision to the president of the university system.

If the faculty member takes no action within ten (10) days of receipt of notification by the chancellor, the chancellor may send a letter of termination. If the faculty member appeals to the president of the USC system, the president will respond within twenty (20) days.

7.4b Appeal to the Board of Trustees

Should the president also render an adverse decision, the faculty member, within ten (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 thirty (30) days to render a decision.

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7.4c 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.

7.5 TERMINATION BECAUSE OF BONA FIDE REDUCTION IN FORCE (RIF)

HR 1.45 defines Reduction of Force as "The procedure used by the university to eliminate or reduce a portion of one or more filled FTE positions in one or more organizational units within the university."

7.5a 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.

7.5b Committee of 6

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, called the Committee of 6 hereafter—will be formed at the discretion of the Faculty Chair, in consultation with the Chancellor. Membership shall consist of six members of the faculty, comprised of one tenured or tenure-track faculty member from CAHSS, CoEHPH, CST, JCBE, MBCON and one from the Library. Members are appointed d by the faculty chair with the agreement of the Faculty Advisory Committee. Following recommendations from the American Association of University Professors, committee membership must include a mix of tenured and untenured faculty members.

The Committee of 6 must participate in the formulation of criteria for determining termination because of financial exigency. Length of service must be appropriately included among the criteria; senior faculty will be given preference for retention. The Committee of 6, with input from the Faculty Advisory Committee, 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 (see 7.1b Procedures). The issues in this hearing by the Promotion and Tenure Committee 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.

7.5c 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, the Committee of 6, and the Faculty Advisory Committee as described above (see 7.5a *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 accordance with the procedures described above (see 7.2a).

7.5d Advance Notice of Termination

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.

7.5e Opportunity for Reinstatement

In all cases of termination of appointment, (excluding termination for cause), 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 ten (10) working days in which to accept or decline the position.

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 geographicareas;

(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 ofbonds;

(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 offunds 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 theemployment 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 theprovisions of Section 59-117-40, er 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 ten (10) 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 before spring elections. At the request of the faculty chair, the Academic Affairs HR Coordinator 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. Senators cannot present motions, participate in discussions, or vote remotely unless the meeting the faculty chair has designated the meeting as virtual. 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.

Votes on matters put before the body by academic administrators 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 (10) 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, provost and 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 (3) busines days' notice shall be given to the faculty and the meeting must be held within seven (7) 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*.

A3.1 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
21 or more	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 considering 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 along with their recommendations for approval or rejection based on the criteria provided 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 of the 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.

A3.2 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://uscupstate.edu/wp-content/uploads/2023/09/modified-duties-semester-for-faculty.pdf

A3.3 Fellowship Leave
The procedures for pursuing Fellowship Leave are found in the "Compensation for Fulbright Scholars" (ACAF 7.09): https://uscupstate.edu/wp-content/uploads/2023/09/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.

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*.

A4.1 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.

A4.1a 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.

A4.2 *Research Policies*

A4.2a Research Funds

   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.

   A4.2b Teaching overloads and research

   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 provost and senior vice chancellor for Academic Affairs, to teach course overloads for additional compensation.

   A4.2c 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.

A4.2d 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 regarding 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).

A4.2e Human and animal subjects

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 accordance 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.

A4.3 Public Scholarship

USC Upstate serves as a resource for the Upstate region of South Carolina and beyond through partnerships with public, private, and service organizations. When the faculty provides leadership and disciplinary expertise in promoting economic, social and cultural development through teaching, service, scholarship and creative endeavors that enable these partners to fulfill their institutional missions successfully, this is considered public scholarship.

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Definition

Public scholarship refers to a collaborative mode of creating and circulating knowledge with our community partners for an audience beyond the university. It 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.

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.

Examples
- Extension and application of traditional scholarship – needs assessment; action research; scholarship of teaching and learning, assessment, advising for community entities.
- Amplification of traditional scholarship – public policy advocacy; op-ed articles.
- Serving as a humanities scholar, consultant, or applicant for a grant to educate and inform the public.

Academic units must establish the role of public scholarship in their unit criteria by considering the following factors.

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

APPENDIX V: FILE PREPARATION FOR PROMOTION AND TENURE

A5.0   General Information

- All applicants will create digital files to be uploaded into a University-approved electronic file-sharing (ePortfolio) system.

- All faculty to be considered for tenure and/or promotion must submit a file.

- Untenured faculty members in their penultimate (next to last) year of the probationary appointment must submit a file to be considered for tenure.

  The normal probationary period for untenured faculty is 7 years for those hired at the rank of assistant professor/librarian with the application being due at the beginning of year six (6) and 6 years for faculty hired at the rank of associate professor/librarian or professor/librarian with the application being due at the beginning of year five (5).

  While, the normal penultimate year and period under review for probationary faculty is identified in Chapter 5 of the *Faculty Manual* and restated above, the period under review may be longer or shorter due to early application, extension of tenure clock, or years credit given toward the probationary period at the time of hire.

  These factors, along with stipulations regarding time in rank for promotions of tenured faculty dictate the period under review.

- The due date for Promotion and Tenure files is the first day of classes in the fall semester.

- The Promotion and Tenure file consists of two sections: Summary Documents and Supporting Materials. Each section is assembled in a pdf file – Case File and Evidence File respectively. 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 candidate files are used throughout the entire campus review process. File submissions are shared using the ePortfolio file-sharing system. Refer to the Promotion and Tenure website for further instructions on electronic submission. Once the campus review is complete, appropriate sections of the file will be forwarded to USC to the Office of the 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 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 through A5.7 covers the components of the summary (case) file that is assembled prior to the beginning of the formal review. A5.8 explains the sections of the case file which will be added after the candidate submits the case file for formal review. A5.9 discusses the evidence that supports the summary file.

A5.2 CASE FILE: Organization of Summary Documents
PART ONE: OVERVIEW
I. Prefatory Material
    a. USC Upstate Mission: A link to the current mission statement will be provided on the Promotion and Tenure documents site.
    b. USC Upstate University Standards for Promotion and Tenure from the *Faculty Manual*: Applicants for tenure must include the pages in chapter 5 containing the eligibility standards of performance for tenure and/or promotion from the manual *in effect at the time of the applicant's hire*. Earlier editions of the manual are available on the faculty manual site.
    c. Unit Mission: Most unit criteria include the unit mission as a preface to their criteria. If the academic unit criteria does not include a preface, consult the peer review chair (PRC).
    d. Unit Criteria: faculty applying for tenure and promotion to associate professor/associate librarian use the unit criteria in effect at the time of hire for a tenure-track position at USC Upstate.
    The academic unit criteria must state how performance indicators align with university-defined eligibility standards found in the faculty manual under which the applicant was hired. However, if the tables that align with those measures are not available, applicants are not prohibited from including performance measures that have been adopted recently without changing criteria or standards. Committees are not prohibited from considering additional performance information beyond those under which the applicant was hired that the candidate provides.
    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/associate 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. If extensions were granted during the probationary period, these letters should be included as well.
III. Candidate Information Form/Voting Summary: Candidates fill out information fields. 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.

CASE FILE 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. Identify your pedagogical strengths and goals. Demonstrate beliefs about your teaching and learning in your discipline through selected examples of instructional tactics.
II. "Summary Table of Courses Taught" for the period under review in reverse chronological order and indicate each course's enrollment, followed by the "Descriptive Summary table of Teaching Activities," followed by activity descriptions that briefly summarize any activity in which you have indicated performance and explain its significance.
Below the table, briefly describe any activity you have indicated performance during the period under review and explain its significance.

Teaching Activities
- Describe your success in leadership activities in course organization and assessment that provide a common experience across sections of a course
- Describe your success in working with students to develop and execute research projects including grant application, research practices, and reporting
- Describe your success in the development and assessment of learning experiences that require students to apply classroom to team-based in-class activities or in an external setting.
- Describe courses that are not part of the regular course load including Independent Studies, Internships, and non-scheduled courses and their benefit to student success.

Course/Program Development Activities
- Describe any individual or collaborative successes in developing new course(s) explain how they contribute to students' learning opportunities, program viability, and to the institutional mission.
- Describe any individual or collaborative successes in developing new program(s), explain how they contribute to students' learning opportunities, program viability, and to the institutional mission.
- Describe any individual or collaborative successes in substantially revising existing program(s) including the nature of the revisions, and explain how they contribute to students' learning opportunities, program viability, and to the institutional mission.
- Describe any individual or collaborative successes in developing program(s) that enhance Upstate's ability to extend education beyond the university.

Professional Development Related to Teaching
- The activities described in this section include participation in on campus or professional organizations workshops.

Advising
- Describe activities beyond basic course advisement including addressing

Starfish flags, and referral of students to academic and student support services.

III. Teaching Effectiveness: Mandatory Documents

All applicants must include (1) a summary of teaching effectiveness written by their supervisor. Faculty hired after September 13, 2019, must ensure that their supervisor observes them before writing the summary. (2) The candidate must analyze and comment on student opinion polls/Learning Experience Surveys. (3) Faculty hired after September 13, 2019, are required to include a peer observation on teaching as well.

To ensure a fair and informative assessment of teaching quality, unit faculty members should consult web materials on Support for Peer Observation of Teaching and will select peer evaluation methods (e.g., narrative, rubric, template) that align best with their unit criteria and teaching modalities. Any modifications by the unit should be collectively approved and used by all faculty in the unit.

These methods and materials will be used for both the mandatory supervisor and peer evaluations of teaching.

a. Mandatory Summary of Teaching Effectiveness by Immediate Supervisor for Faculty Unit administrators are responsible for providing a comprehensive overview of the applicant's teaching that covers the probationary period if applying for tenure (for those whose initial appointment is at the associate level of higher) and/or promotion. For subsequent advances in rank the overview should cover the period since receipt of tenure and/or promotion. The mandatory summary of teaching effectiveness is based on a variety of valued traits that are stated in USC Upstate's teaching mission that have been adopted by the faculty (See Chapter 4 Faculty Responsibilities).

  i. Tenure-track faculty members, faculty hired after September 13, 2019, and 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) within a year of applying for tenure and promotion for use in the supervisor's summary of the candidate's teaching.

  ii. After the observation, the summary is sent to the candidate prior to the date the file is due.

  iii. See below for a suggested template for writing this evaluation:

    1. State the period the review covers (probationary, the period since being previously tenured, or tenured and promoted).
    2. Discuss the relevance of the applicant's credentials to the courses that were taught.
    3. Discuss the quality of syllabi and sample assignments. If the applicant's teaching statement has been read, consider whether it aligns with other measures (pre- and post-tests, development of new courses, revision of course to improve quality).
    4. If the supervisor has observed teaching (even if not required by the applicant's faculty manual), state the date(s) of observation and discuss any salient points of teaching performance observed.
       • Applicants hired before September 13, 2019, may seek a supervisor observation as described above (item a.i) for inclusion in the summary of teaching effectiveness (item a.iii) at their discretion.
    5. Discuss the salient trends of administrative reviews.
    6. If the applicant has attended or presented at any professional development workshops sponsored by CAIFS or externally, this can be discussed.

7. Note any teaching nominations and/or teaching awards the applicant has won.
8. Discuss the trends in the applicant's SOPs/learning experience surveys.
9. For classroom faculty hired after September 13, 2019, a mandatory supervisory observation of teaching is required.
10. Include a date on the summary.

IV. 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.
   a. Candidate's Reaction to Learning Experience Surveys and Comments on Teaching
      i. Create a table, graph, or other effective methods of compiling relevant learning experience survey scores from the review period.
         • Summarize trends in learning experience surveys, include representative quotations from learning experience surveys and address any examples that you find concerning as evidence of potential bias.
      ii. Develop a narrative that demonstrates the quality of teaching, including but not limited to the following components:
         • Description of teaching strengths and goals.
         • Address peer evaluation and other relevant measures of teaching quality and actions that have been taken to maintain or improve quality of teaching.
         • Discuss both short- and long-term impact of teaching quality on students (e.g., career readiness, graduate school placement, enhancement of intellectual curiosity and/or overall quality of life).
   b. Mandatory Peer Observation of Teaching Effectiveness (Classroom or Online) for faculty hired after September 13, 2019.
      i. Minimum of one during the review period. If only one review is included, it must have been completed within a year of applying for tenure and promotion.
      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.
      vii. Applicants hired *before* September 13, 2019, may seek a peer

observation as described above for inclusion in their file at their discretion.

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.   Complete the Effectiveness Summary Table and Description of Activities 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.   For those hired or tenured and/or promoted in 2020 or thereafter, 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.   For those hired or tenured and/or promoted in 2020 or thereafter, a mandatory peer observations (one from a tenured librarian required; additional peer observations from any library faculty may be included)
        c.   Candidate's reaction to the evaluations of effectiveness as a Library Faculty Member
            1.   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.
            2.   Demonstrate growth and adjustments to your activities in response to student and faculty feedback and other evaluations.
            3.   Include comments from students, faculty and peers where they support your narrative.
            4.   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.

Complete the "Summary Table of Scholarly, Creative, and Professional Activities."

Below the table, briefly describe any activity you have indicated performance during the period under review and explain its significance.

Descriptive Summary of Scholarly, Creative, and Professional Activities
        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.
Complete the "Summary table of Service Activities."

Below the table, briefly describe any activity you have indicated performance during the period under review and explain its significance.

Descriptive Summary of each category from the Summary table of Service Activities.
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   CASE FILE PART THREE: APPLICATION AND RECOMMENDATIONS

I.   Case Narrative: The purpose of the case narrative is to present the candidate's demonstration that they have met both unit criteria and university standards for promotion and/or tenure, referencing unit criteria and addressing in narrative form 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
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.

III.   Letters
a.   List of Letters Requested by Candidate: A minimum of three letters requested of campus colleagues and one letter from an external evaluator are required. The faculty member completes the LETTERS REQUESTED BY THE CANDIDATE form listing the names of requested internal letters with the confidentiality indicated and provides a copy to the PRC chair. Faculty members cannot request letters from any member of the current Peer Review or P&T committees.
b.   Internal Letters: Letters must be written within one year of file submission.
•   The Peer Review Committee (PRC) Chair receives/uploads internal letters to candidate ePortfolio.
c.   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 must be written within one year of the file submission. It is strongly recommended that the applicant and department chair/rating administrator begin the process of identifying and contacting potential reviewers no later than the beginning of the spring term in the penultimate year. Once the external reviewer has been determined, their name is added to the LETTERS REQUIESTED BY THE CANDIDATE form.

- The PRC chair receives/uploads the external letter(s).

d. Guidelines for the Selection of External Reviewers

- The candidate and rating administrator will jointly create a list of potential external reviewers.

- 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.

- 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.

- 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.

- Letters must be written in the calendar year of application for promotion and/or tenure.

IV. Guidelines for Contacting External Reviewers

a. 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.

b. 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.

c. 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.

d. Letter templates can be found on the Promotion and Tenure Committee website.

e. To show respect for the reviewer's time, the applicant should assemble materials to be reviewed – though not necessarily in the final form for the application – to be sent to the reviewer as soon as the inquiry is accepted.

These documents complete the candidate's assembly of the first file. Additional sections of this file are reserved for the review process and are closed to the candidate (see A5.8 below). The candidate should then assemble their second file – the supporting documents file (See A5.9 below) and submit both to the file-sharing submission portal no later than the due date indicated on the Promotion and Tenure calendar. If the local committee reviews and makes suggestions for file improvement before or during the support and guidance period, the candidate may revise their files before formal deliberations begin.

A5.8   ASSESSMENT, AND EVALUATIONS, AND RESPONSES

After the case file has closed to the applicant the following items will be added as the review progresses:

I.   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)

File submissions are shared using the ePortfolio review system. Refer to the Promotion and Tenure website for further instructions on electronic submission.

II.   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.

A5.9 EVIDENCE FILE: Organization of Supporting Materials

The second file contains exemplary materials documenting teaching, service, and scholarly and/or creative activities.

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 quantity of materials to make the most robust case. Ultimately, the candidate must determine which evidentiary components are the most compelling for the application and include only those materials.

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.

III. Candidate's Reaction to Learning Experience Surveys and Comments on Teaching

a. Create a table, graph, or other effective method of compiling relevant learning experience survey scores from the review period.

- Summarize trends in learning experience surveys, include representative quotations from learning experience surveys and address any examples that you find concerning as evidence of potential bias.

b. Develop a narrative that demonstrates the quality of teaching including but not limited to the following components:

- Description of teaching strengths and goals
- Address peer evaluation and other relevant measures of teaching quality and actions that have been taken to maintain or improve quality of teaching
- Discuss both short- and long-term impact of teaching quality on students (e.g., career readiness, graduate school placement, enhancement of intellectual curiosity and/or overall quality of life)

Appendix VI: File Review for Promotion and Tenure

I. The tenure and promotion process is most effective when candidates and committee members follow the procedures for file preparation and evaluation. Candidates bear primary responsibility for creating a file that makes the case that they merit tenure and/or promotion. All peer reviewers bear the responsibility for reviewing the file attentively and ethically, and making assessments based solely on the faculty members performance as documented in the file.

   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).
      4. Candidates may include performance indicators that are on the summary tables without changing to a more recent unit criteria.
      5. At every level of review the candidate is responsible for reviewing the decision and has the right to write a response to the recommendation.
   B. Candidate support during the support and guidance period: The following guidelines elaborate on the recommended relationship between the PRC chair, the peer review committee, and the candidate until final submission of the file.
      1. 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.
      2. All communications between the Peer Review Committee and the candidate go through the PRC chair.
      3. From thirty (30) days before the file is due until the final submission, the chair of the Peer Review Committee assists the candidate to ensure that the files are in the required format for promotion and/or tenure review and incorporating the recommendations of the PRC into the file.
      4. Once the evaluation and deliberation period begins, candidates can no longer revise or add to their files.
   C. Peer Review Chair and Committee Member Duties and Responsibilities during Formal Deliberations

      1. Review ethical guidelines of peer reviewing in Chapter 5: Faculty Review.

      2. Review candidate summary file as it provides important information regarding the terms of employment and years of relevant experience. 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. Meet as a committee to formally deliberate candidate files.

      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. The PRC chair 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.

6. PRC members will review and initial, and sign the PRC's synthesized Faculty Review and Ballot form(s)' justifications.
7. The PRC chair provides the candidate with a copy of the synthesized faculty review form and the committee's recommendations for tenure and/or promotion. The candidate has the option of responding to the committee's recommendations within five working days.
8. If a candidate submits a response, the PRC Chair adds the response to the file and forwards the file to the department chair/rating administrator.

D.   Responsibilities of Evaluators

Applicants are to be measured against criteria and standards, not against each other. In the process of evaluation all reviewers must assess the alignment of each applicant's file to the unit criteria and university standards in Promotion and Tenure guidelines in the faculty manual under which the applicant will be reviewed. Because of variation in the manual and revision dates of unit criteria, these documents will not be the same for all applications.

Only material present in the file may be considered. The summary tables reflect the most recent performance indicators, some of which may not be applicable to all applicants depending on their unit criteria and the manual that applies to their file. When applicants' files demonstrate that they performed beyond their required indicators such evidence should be construed positively in assessment of their performance. Absence of performance evidence of non-required indicators is not a deficit.

Tenured faculty peer reviewers whether on the local peer review committee or the campus Promotion tenure committee are responsible for completing the appropriate forms for each administrative action that is sought, participating ethically and deliberating, and certifying that synthesized documents reflect the will of the majority of the reviewers.

II.   Chair/Rating Administrator Responsibilities

A. During the file preparation phase
    1.   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.
    2.   Secure an external reviewer by following the protocols for identifying external reviewers. Provide the CV and Acceptance of Outside Reviewer form to the PRC Chair prior to the deadline for submitting the file.
B. During the file review period.
    1.   After the PRC Chair finalizes the PRC's recommendation, the Candidate's chair/rating administrator reviews the file, writes a letter assessing the Candidate's qualifications, and makes a recommendation on promotion and/or tenure and inserts it in the Candidate's summary file.

     2.   The chair/rating administrator provides the candidate a copy of the letter and provides instructions for optional response letter. The candidate's response must be made in writing to the rating administrator within five (5) working days after receiving the letter.

     3.   If the candidate submits an optional response letter, the chair/rating administrator adds the candidate's response to the file and forwards the file to the candidate's dean.

III.   Procedures for the Dean

A.   The dean reviews the file, writes a letter assessing the candidate's qualifications, and makes a recommendation on tenure and/or promotion and includes it in the Candidate's file.

B.   The dean provides the candidate a copy of the letter and provides instructions for optional response letter. The response must be made in writing to thedean within five (5) 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 Promotion and Tenure 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.   . 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.

D.   . 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 (5) working days before the committee's formal vote on tenure and/or promotion. The chair of the Promotion and Tenure Committee is also responsible for notifying the committee that additional material has been introduced into the file.

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 tenure and/or promotion, and the recommendations of the Peer Review Committee, the rating administrator, the external reviewer, 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. In the event of a tie, the vote is considered a negative decision. Abstentions are not counted.

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 the

Promotion and Tenure Committee 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 Promotion and Tenure Committee 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 (3) 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 (5) working days before the files are 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. After reconsideration, a candidate may respond in writing to the Committee's second recommendation. Within three (3) working days, the Candidate may send a written response to the committee.

J. Upload Materials: The Promotion and Tenure 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 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 makes 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 Promotion and Tenure Committee.

D. The Candidate may write a response to be included in the file within three (3) 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 and the President

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. 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.

B. The candidate may write a response to be included in the file within three (3) 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.

C. 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.

D. 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.

E. 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.

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 using the ePortfolio system by the dates indicated in Chapter 5: Faculty Review. If the faculty member is unable to meet the date, they should contact their chair and dean who must approve the late submission and adjust the chair's time to return the review accordingly.

    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.

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.   After the review is complete, either the faculty member or the rating administrator may request an interview regarding the review.

    D.   The faculty member must sign the form to confirm receipt of the review. However, the signature does not necessarily indicate agreement with the ratings and comments on the Faculty Review Form.

    E.   The faculty member has five (5) working days to upload an optional written response and submit it to the rating administrator. In cases where the administrator returns the review after July 1, the time for interview and optional written response does not begin until the faculty member receives the review.

    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 may seek assistance from the Peer Review Committee chair in preparing their file

    C. Faculty members are responsible for compiling their third-year review files and submitting them electronically through the ePortfolio system by the date indicated on the Master Review Calendar. While the required elements of this review do not include all elements needed for the promotion and tenure file, preserving and updating the tables created for this review will save time when the reviewed faculty member applies for tenure and promotion. (Refer to Appendix V). Include the following:
        i. The unit criteria and university standards for promotion and tenure.
        ii. A current Curriculum Vitae
        iii. Completed Summary Tables each followed by description of activities.
            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. As this is an interim consideration of progress toward tenure, the faculty member should be aware of whether their activities are on track in this regard.
        v. Annual administrative reviews from the preceding three years in reverse chronological order.
        vi. A list and representative samples of supporting evidence for accomplishments in: teaching or librarianship, scholarly/creative activity, and service.

II. File Review
    A. With the exception of votes for tenure and promotion Peer Review Committee members read and evaluate the file in the ePortfolio system during the time period specified by the PRC Chair. Committee members rate the faculty member's performance according to the unit criteria.
Each member of the PRC must complete a Faculty Review form and rate applicants in each category of performance. To support the faculty member's progress toward tenure, committee members should note strengths and weaknesses in each are of performance, The overall statement should identify any areas of needed improvement.

    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 the ePortfolio system.

    F.   The faculty member signs the form to confirm receipt of the Faculty Review Form. The faculty member's signature does not necessarily reflect agreement with the committee's evaluations. It should be understood that this report is an interim review which is intended to communicate to the faculty member whether they are being sufficiently productive on the path to applying for tenure and/or promotion. A positive assessment at the third year is not indicative that tenure will be awarded without continuation of satisfactory performance. A negative assessment at the third year provides the faculty member sufficient time to improve in areas of deficiency.

    G.   The faculty member has five (5) working days to send an optional written response to the PRC Chair who uploads the file into the ePortfolio system.

    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 and university standards for post-tenure review;
- 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 six annual performance reviews or all reviews since the last review if extensions have been granted;
- 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.

At a minimum, the post-tenure criteria should define specific benchmarks for meeting the university standard of *effective* for scholarship and service.

The Promotion and Tenure Committee reviews and approves unit criteria, including post-tenure review performance indicators.[1]

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, according to the posted post-tenure review calendar. 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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[1] 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, each member of UPTR completes a classroom faculty or library review form as appropriate and indicates whether they find the review (a) favorable, (b) unfavorable, or if they (c) abstain.

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 five (5) working 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 (10) working days.

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

Faculty members who receive a favorable review or successfully complete a development plan 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.

Timing of Post-Tenure Review: Restrictions

Tenured associate professors/librarians and professors/librarians undergo post-tenure review six-years after their last administrative action and every six years thereafter except: 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.

Faculty members may apply for an extension of the post-tenure review clock under circumstances and following the procedures in Chapter 5 of the *Faculty Manual*, Extensions may not exceed ten years.

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

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

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.

A7.4   Promotion of Professional-Track Faculty (Instructor and Clinical)
Purpose. The process of promotion of professional-track faculty 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.

Academic units must establish criteria and performance levels for promotion to senior instructor that align with annual administrative review procedures for instructors.

I.   File Preparation
  A. Faculty members in full-time instructor positions for six consecutive years can apply for 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 using the ePortfolio system.
  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. Include any assigned administrative duties under service.
  E. Individual units may require additional documentation.

II.   File Review
  A. Refer to Chapter 5 of the *Faculty Manual* and USC Upstate ACAF 1.18 for complete procedures.
  B. Per USC Upstate policy ACAF 1.18, a change in status from an Instructor to Senior Instructor requires the applicant to assemble a file that demonstrates that the unit's criteria for promotion have been met on teaching and either scholarship or service.
      Promotion requires a vote of the unit faculty, and a review of the file and recommendation from the rating administrator and the dean to the provost.
      The provost may approve, defer, or deny the application.
      Approved promotions take effect the following semester.
  C. The Office of the Provost will issue a letter to the professional-track faculty member indicating a decision on the request.
  D. If the promotion is approved, the faculty member's salary will be increased.

APPENDIX VIII – UNIT CRITERIA AND UNIVERSITY STANDARDS

A8.1
Unit Criteria are departmental performance indicators that are used for administrative reviews of all faculty, tenure and/or promotion, and post-tenure review of tenure-track and tenured faculty, and contract renewals, and promotions of instructors and clinical faculty.

Each Unit will develop its criteria according to its accreditation, unit expectations, and discipline standards while remaining aligned with the university, mission statement, employment responsibilities as outlined in Chapter 4 of the *Faculty Manual*, and university standards of evaluation for employee retention and advancement.

University Standards: establish an overall basis for tenure and/or promotion, or satisfactory post-tenure by defining which evaluative terms are acceptable for positive administrative action. Performance indicators of the unit criteria are aligned with the evaluative terms.

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 for tenure and/or promotion, and post-tenure review. Unit criteria should indicate appropriate activity levels and define the evidence to support promotion at each of the levels below, and/or tenure based on rank eligibility. Unit criteria for post-tenure review must indicate define evidence and appropriate activity levels that meet university standards to justify a favorable review.
1. Tenure
2. Associate Professor/Librarian
3. Professor/Librarian
4. Post-tenure

D. Unit Criteria for tenure, promotion, and post-tenure review 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, and post-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. Faculty should consider ways to mitigate different emphases in performance that may reflect both personal interests and departmental needs.
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 Unit Criteria for Non-Tenure Track Faculty: Unit criteria for non-tenure track faculty should align with the duties of their position.

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 for professional track faculty should indicate appropriate activity levels and define the evidence to support contract renewal and/or promotion based on eligibility.

   1. Criteria must specify how faculty can demonstrate that they have met the University's standards for contract renewal and/or promotion, 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, 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."

D. Unit Criteria for professional track faculty contract renewal or promotion must meet the following additional conditions:
1. Criteria must specify how faculty can demonstrate that they have met the University's standards and performance indicators for contract renewal or promotion, 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. They should consider ways to mitigate different emphases in performance that may reflect both personal interests and departmental needs.
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. The criteria must align with the expectation that professional track faculty are required to be evaluated in teaching and either scholarship or service.
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."

A8.3 Process for Changing Criteria: Unit criteria are faculty-driven, specific to the discipline(s)_ represented within the unit and are therefore approved primarily by the appropriate faculty members within the unit. Tenure-track criteria are approved by the Promotion and Tenure Committee. Professional track faculty criteria are approved by the Faculty Advisory Committee.

A. Drafting and modifying the college/unit criteria

1. Only Tenured and Tenure-track faculty are responsible for developing Unit Criteria applicable to tenure and promotion. For criteria for professional track faculty the committee must include professional track faculty and may include tenure-track or tenured faculty if there are insufficient instructors in the unit to comprise a committee.
2. Units may use the Peer Review Committee for tenure track criteria or may establish a Unit Criteria Committee for composing a draft of both documents and submitting them to eligible members (i.e. only tenured and tenure-track in the case of criteria for tenure/promotion) of the department/unit for consideration. The criteria should be derived from a clearly-stated unit mission that aligns with the college and university missions.
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. For tenure and promotion criteria, the unit 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. Faculty Advisory
    i. For non-tenure track criteria, the department submits this draft of Unit Criteria to the Faculty Chair for consideration by the Faculty Advisory Committee.
    ii. The Faculty Advisory Committee evaluates the proposed criteria to ensure they are consistent with the *Faculty Manual* and are sufficiently clear, The Faculty Advisory Committee approves the criteria and forwards them to the provost for review.
    iii. If the Faculty Advisory Committee observes deficiencies in this draft, the proposal will be returned to the Unit with an explanation and suggested changes. The faculty chair works with unit representative on appropriate improvements.
    iv. The unit will revise its proposed criteria and resubmit them to the Faculty Advisory Committee.
    v. If the department and the Faculty Advisory Committee cannot reach an agreement, the faculty chair will convene a meeting with the Unit and selected members of the Faculty Advisory Committee to resolve the issues. If there continues to be unresolved aspects of the unit criteria, the provost will endeavor to resolve the differences.
3. Provost reviews and approves or returns to the Unit for additional changes.
4. Once approved, the Unit Criteria will note the date of approval and will be published on the P&T and faculty reviews documents site..

C. Implementation and Review

1. All approved unit criteria become effective immediately for new hires. Those hired under previous criteria have the right to continue their progress toward a decision of tenure, promotion, post-tenure, or contract renewal under the provisions of the criteria in force at the time of their hire. However, subsequent reviews may require using more recently approved criteria. For details on choosing which unit criteria to follow, see Procedures for Tenure and/or Promotion in Chapter 5. For procedures related to contract renewal and promotion or professional track faculty see Appendix VII.
2. 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. Even when there are no modifications, the most recent date of review should be noted on the criteria.

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

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 EVALUATIVE TERMS

The evaluative terms below must be used on all unit criteria. The performance indicators to achieve each level of evaluation must be stated clearly.

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

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 EVALUATIVE TERMS

The evaluative terms below must be used on all unit criteria. The performance indicators to achieve each level of evaluation must be stated clearly.

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 of variety of tools to maintain academic integrity in course evaluation. All uploaded writing assignments will be scanned using Safe Assign software though 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.

Purpose

The University of South Carolina Upstate seeks to create an environment in which members of the Upstate community are civil and respectful of individuals and individual differences. This policy seeks to promote positive behaviors to influence communication and foster interpersonal relationships. When situations arise where differences are not able to be settled between the parties involved, this policy outlines a process for reporting, investigating, and resolving claims related to workplace incivility.

<u>Definitions</u>

Claimant: Faculty member reporting an allegation of workplace incivility.

Faculty: Any person currently holding a full-time or part-time appointment to the faculty of the University.

Faculty Ombuds: The Faculty Ombuds is available to all full-time and part-time faculty members as an informal, impartial, and neutral resource. The Faculty Ombuds strives for fairness and equality in their treatment of people and consideration of issues. Communications to the Faculty Ombuds are confidential and are not reported to the university; however, the Faculty Ombuds may refer individuals to the appropriate place where formal notice can be made.

Title IX coordinator: The Title IX coordinator is responsible for overseeing and coordinating the university's compliance with Title IX of the Education Amendments of 1972. The coordinator is responsible for ensuring that all reports of sexual harassment, sexual assault, and other forms of sexual misconduct are properly investigated and resolved.

Respondent: Faculty member who is alleged to have committed workplace incivility.

Workplace incivility: Workplace incivility is behavior or a pattern of behaviors that cause a person to experience emotional distress, impede participation, block contributions, and/or interfere with their ability to work.

Workplace incivility can take a variety of forms and may include bullying or other behaviors that are physical, verbal, or nonverbal, and may take place via an array of means including face-to-face, written communications, or electronic media. Workplace incivility is repeated, unwelcome behavior that threatens, intimidates, humiliates, or isolates the targeted individual(s), or undermines their reputation or job performance. This type of behavior may be perpetrated by an individual in an authority position, a peer, or an individual in a subordinate position. Examples of workplace incivility may include, but are not limited to verbal abuse; unwarranted criticism or malicious gossip; dismissal of credentials and/or contributions; abuse

of authority and power to damage reputations; biased gendered, racial, ethnic communication styles and perspectives; cultural and intercultural insensitivity and/or harassment; unwarranted monitoring; unwarranted physical contact; exclusion or isolation in the workplace; work interference or sabotage; microaggressions; and bullying/cyberbullying. Behaviors that might constitute harassment, discrimination or sexual assault should be reported to the Title IX Coordinator.

Policy

The faculty and administration of USC Upstate believe maintaining a welcoming work environment free of incivility is essential to the overall success of the institution. This policy aims to restore a positive workplace expediently. When possible, faculty members are encouraged to resolve instances of workplace incivility informally. When attempting to resolve an issue informally, faculty should consider these guiding principles for professional communication:

- Make at least two attempts to meet in person (face-to-face or virtual) with the other party;
- Find a neutral space to discuss the issue(s);
- Look for common ground;
- Communicate value for each other's contributions;
- Operate in the moment;
- Choose what is best for the USC Upstate community (faculty, staff, students, local stakeholders); and
- Focus on behaviors, not perceived intrinsic traits.

The claimant should keep a record of instances of incivility to include time, place, and a detailed description of the events. The claimant and respondent should both keep a record of attempts to resolve differences including times, places, and dates of meetings and what transpired.

If there is no informal resolution, this policy can be used for a formal resolution. The procedures outlined in this policy are intended to provide a fair and orderly way of handling allegations of workplace incivility.

Since an accusation of incivility, regardless of whether it is justified or not, may seriously
damage an individual's career, any such issues must be handled confidentially to the extent allowed by applicable law. Only necessary participants should be involved at each stage of the process and information should not be disclosed prematurely. Anyone conducting an inquiry or investigation should be privy to information and have no immediate personal interest in the case.

A. Informal Resolution
1. Any faculty member (claimant) who feels they have experienced workplace incivility is encouraged to first speak with the individual(s) involved.

2. If they are not able to resolve their issues, then the claimant should contact the Faculty Ombuds. The Faculty Ombuds is an informal and confidential resource available to help faculty understand relevant University policies, make referrals where appropriate, and help the faculty member develop a plan for seeking a resolution to workplace incivility issues.

3. If the claimant and respondent cannot find common ground, the claimant may proceed to a formal claim as described below.

B. Formal Resolution

1. The claimant should contact the chair of the Faculty Welfare Committee (FWC) and file a written claim. All matters

concerning the claim, and any subsequent investigation, are to remain confidential. The written claim should include as much of the following information as possible:

- Clear, specific allegations against the person or people.
- Where possible, dates, times, and witnesses to the incidents.
- Detailed description of the events.
- Documentary evidence, including direct quotes, if possible.
- Descriptions of any actions the claimant or others have already taken, including any efforts to resolve the issue informally, including unsuccessful attempts at resolution.

2. The FWC chair initiates an investigation within 10 days of receiving the claim. The FWC chair will form an ad hoc investigatory committee to conduct the investigation. The ad hoc investigatory committee will consist of three members chosen from rosters of the grievance pool and members of the FWC. The members will be chosen in alphabetical order and can be recused from the investigatory committee if: a) the FWC member feels they cannot be unbiased or b) the claimant or respondent asks that the member not be part of the investigation. Members will continue to be chosen in alphabetical order until a committee of three is formed. Both the claimant and respondent must approve of the final committee before it is allowed to start an investigation.

   If there is more than one ad hoc investigatory committee formed in an academic year, then members will be selected starting from the next person on the alphabetical list following the last person chosen for the previous committee. This is to ensure that the same FWC members do not end up serving on multiple investigatory committees. In the event that a three-person investigatory committee cannot be formed from members of the FWC, the FWC chair will notify the Faculty Chair who will assist in forming a committee from a wider pool of faculty.

3. The investigation should normally be concluded no later than 30 days after receipt of the initial claim. If the investigation cannot be completed within 30 days, written notification of the delay and the reasons for the delay are provided to the claimant.

4. The investigating ad hoc committee should seek out all relevant materials and documents, including but not limited to: statements from the claimant(s) and the respondent(s), relevant correspondence, electronic communications, witness testimony, and memoranda of phone calls. Interviews should be conducted of all individuals involved in either making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations.

   a. The claimant should be interviewed first and the respondent should be interviewed second. Witnesses identified by the claimant and respondent should then be interviewed.
   b. All attempts to interview any of the parties, including all witnesses, should be carefully documented.
   c. Complete summaries of the interviews should be prepared and provided to the interviewed party for comment or revision and included as part of the investigatory file.
   d. Throughout the investigation, the claimant(s) and the respondent(s) should be advised of the progress of the investigation and be afforded the opportunity to respond and provide additional information.

5. Upon conclusion of the investigation, the ad hoc investigatory committee will submit to the Provost a formal written report of the findings. This report must contain the following elements:

   a. Listing of the claimant's allegations.
   b. The claimant's requested relief.

c. Detailed indication of all documentation reviewed by the ad hoc investigatory committee which must be attached as numbered exhibits to the report.

d. Analysis of each allegation containing the statements made by the claimant, the respondent, and the witnesses.

e. Conclusion of the matter (the claimant's allegation(s) of workplace incivility are substantiated, are not substantiated, or there is insufficient evidence to make a determination).

f. Recommended remedy.

A copy of the report should be made available to the claimant(s) and the respondent(s) for comment. Any comments by the claimant(s) and the respondent(s) should be made part of the file. The Office of the Provost will receive and maintain the file for a minimum of ten years.

6. If the ad hoc investigatory committee finds that workplace incivility has occurred, the committee can consult separately with the claimant(s) and the respondent(s) as well as with the unit head or dean to discuss options for resolution. These options are included but not limited to separation of the parties involved, appropriate counseling for either or both parties, or disciplinary action. Recommendation for resolution or disciplinary action should be in the context of the severity of the incivility and any prior history of incivility by the respondent.

7. If the ad hoc investigatory committee does not resolve the issue to the satisfaction of the claimant or within the required time frame, the claimant can request that the Faculty Ombuds, Provost, and/or Chancellor recommend formal mediation.

C. Non-Retaliation

1. Protection from Retaliation: Department chairs and supervisors will take reasonable action to make sure the claimant(s), respondent(s), and other involved parties are protected from retaliation.

2. Protection of the claimant and respondent: If a claim of workplace incivility is unsubstantiated, reasonable efforts should be taken to restore the reputation of the alleged offender if damaged by the proceedings, and to protect the reputation of the person who, in good faith, made the allegation of workplace incivility. If it is determined that the claimant's allegation(s) or witnesses' assertions were made in bad faith, appropriate action, which may include disciplinary sanctions, may be taken.

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 "Faculty Workplace Incivility" policy.

Appendix XI NEW

Advisory Councils and Committees

In addition to faculty-established standing committees, there are other opportunities to participate in the governance of and service to the university to ensure that faculty concerns are heard when policies are being formulated.

Unlike faculty-established standing committees, these advisory councils and committees make recommendations regarding the issue for which they were established and, working with administration and faculty governance, their recommendations can be translated into policy.

Both the faculty chair and university leaders have created advisory councils and committees of indeterminate duration (unlike ad hoc committees which are of short duration) which function to achieve stated goals. Advisory councils and committees "shepherd and foster a shared governance model and seek to increase communication across campus."

Members may be elected, appointed, or volunteer depending on the committee procedures.

For faculty members serving on such councils or committees to have credibility as representatives of the faculty perspective (1) the formation of the advisory council or committee should be announced, (2) its charge disseminated, and (3) *preferably*, elections will be held to fill the faculty membership.

Failing an elective process, an invitation for a pool of nominees from each unit from which representation is needed should be solicited with the final decision on council or committee membership being made by the council or committee organizer.

A11.1 Intercollegiate Athletics Committee

The Intercollegiate Athletic Committee serves as an advisory group to the chancellor and the Director of Athletics on matters relating to athletics, emphasizing the student-athlete experience, with particular focus on academics and student wellness, making recommendations as it deems appropriate. The Committee

        i. monitors the academic progress of student athletes;

        ii. monitors policies and procedures that relate to the success or hinderance of student athlete academic success;

        iii. monitors the student athlete experience and programming dedicated to student athlete wellness;

        iv. pays particular attention to compliance with NCAA regulations and equal opportunity requirements;

        v. through the Faculty Athletic Representative (FAR), provides a written report to the Faculty Senate on the academic progress of student athletes as a collective; experiences and wellness of student athletes; and all infractions of NCAA rules and regulations which are reported to the NCAA related to academic eligibility.

The total membership of IAC will be 13 of which 8 members will vote. No member of the coaching faculty or university board members may serve.

        i. Voting Membership will include: 7 faculty members including the Faculty Athletic Representative (FAR), and the President of the Student Athletic Advisory Committee (SAAC). Five members, one member from each college, will be elected. The chancellor will appoint a sixth member from the Library or University College.

Faculty members will be elected for staggered three-year terms following the term and vacancy policies of standing committees.

        ii. Non-voting ex-officio membership will include: the director of athletics, the associate athletics director/SWA, the associate athletic director for compliance, the vice chancellor for student affairs, and the dean of students.

The Intercollegiate Athletic Committee will meet at least twice each semester; the Chair may call additional meetings, as necessary. Members are expected to participate and attend most, if not all, of the meetings. The minutes of the meetings will be taken by a yearly selected secretary and distributed to all IAC members.

A 11.2 Contingent Faculty Concerns

The Contingent Faculty Concerns committee provides an opportunity for part-time faculty to voice their concerns regarding issues related to their work experience in a structured way. Service on this committee is entirely voluntary.

The committee serves as a conduit to elevate the concerns of part-time faculty to the faculty chair who will ensure that the collective concerns of part-time faculty are considered by appropriate faculty governance committees and appropriate by university administrators.

Membership is based on unit representation. Part-time faculty will elect one of their number to represent all the part- time faculty in the unit. In cases where there are no part-time faculty or volunteers, the seat will remain vacant.