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)