

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 the dean 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.