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.