

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

5.1 a 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.

5.1 c 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

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.

5.2 d 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 prejudices 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..

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.

5.3d 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 issues 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.

5.4b 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, chair, 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.