

# **University Committee on Tenure and Promotions**

## ***Guide to Criteria and Procedures***

**University of South Carolina-Columbia**

**Revised, March 2, 2009**

This pamphlet describes and interprets the University's tenure and promotion process and internal procedures of the University Committee on Tenure and Promotions (UCTP). It will be helpful to candidates for tenure and/or promotion as they prepare their files for review. This document is an internal document of the UCTP. It was not intended and should not be construed to supersede the tenure and promotion criteria of the relevant department or unit. The *Faculty Manual* and the unit criteria remain the only controlling authorities. (Senate 11/1/95)

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## **ABBREVIATIONS**

This guide cites as often as possible the University publications and other documents that provide the basis for tenure and promotion policies and procedures on this campus. Whole paragraphs drawn from such documents have references at the end. Any paragraph without a reference should be considered established practice of the UCTP.

Abbreviations used in this guide include:

*ACAF* = *University Policies and Procedures: Academic Affairs*

*FM* = *Faculty Manual*

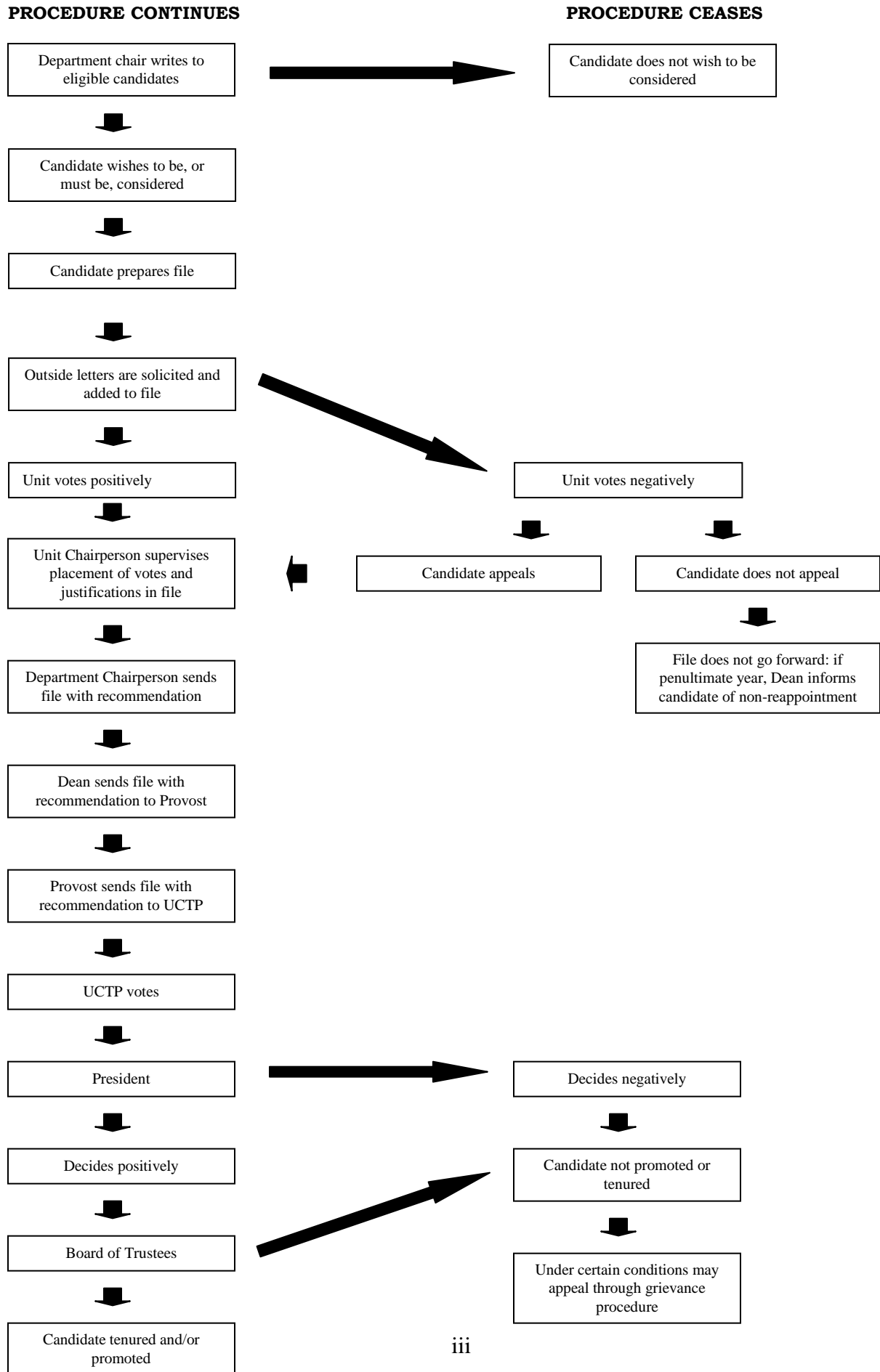
ID = Internal Document of the UCTP

Provost = Written communication from provost

Senate = Minutes of Faculty Senate

UCTP = University Committee on Tenure and Promotions

Table 1. Flow chart of University Tenure and Promotion procedure.



# UNIVERSITY COMMITTEE ON TENURE AND PROMOTIONS GUIDE TO CRITERIA AND PROCEDURES

Revised, April 3, 2008:

References to Web Version of *Faculty Manual* dated June 29, 2006.

(<http://www.sc.edu/policies/facman/fmhome.html>)

## INTRODUCTION

The *Faculty Manual* is the final authority on tenure and promotion policies and procedures. It provides the general criteria and minimal descriptions of procedure. To function effectively, the tenure and promotion process must involve numerous operational policy and procedure decisions that are not and should not be spelled out in the *Faculty Manual*. Therefore, the *Faculty Manual* requires that the University Committee on Tenure and Promotion (UCTP) publish “guidelines for departmental tenure and promotion criteria and procedures” (*Faculty Manual (FM)*, Section I) and for the documentation of a candidate’s “record of teaching, research, and service” (*FM*, Section II).

The UCTP has prepared this guide, referred to informally as the *Goldenrod Manual*, to criteria and procedures at the unit level and the operation of the Committee itself. This guide draws from three authorities: (1) The tenure and promotion regulations in the *Faculty Manual*; (2) directives from the Administration of the University, and (3) established internal rules of the Committee. The internal rules of the Committee arise from the Committee’s responsibility to interpret the general policies of the *Faculty Manual*. Though the Committee has scrupulously tried to follow the letter and spirit of the *Faculty Manual*, in the event of any inconsistency between this guide and the *Faculty Manual* and/or already approved departmental criteria, the *Faculty Manual* is to be considered the final authority. The flow chart (Table 1) provides a convenient overview and may profitably be consulted before reading the guide.

This guide does not deal with the university's grievance procedure (*FM*, Section II), with promotion from instructor to assistant professor [*Academic Affairs Policy (ACAF)* 1.18], with third-year tenure progress review (*ACAF* 1.05), or with post-tenure review (*FM*, Section II), all of which are outside the purview of the UCTP.

## I. ELIGIBILITY FOR TENURE OR PROMOTION

Only full-time faculty members holding the rank of assistant professor, associate professor, professor, and professional librarian are eligible for tenure. Appointments to all other faculty ranks are on an annual basis and service under such appointments is not considered part of a probationary period for tenure consideration (*FM*, Section II). At the unit level, all non-tenured tenure-

track faculty are considered for tenure, and all faculty members below the rank of professor are considered for promotion each year. Consideration at the unit level is automatic unless the faculty member requests in writing that consideration be deferred until the following year (provided that non-tenured tenure-track faculty cannot defer tenure consideration beyond the penultimate year of their maximum probationary period). (*FM*, Section II)

## **II. PROCEDURES AT THE UNIT LEVEL**

### **A. Notification**

Prospective candidates for tenure or promotion should be advised in writing by the dean, department chair, or other appropriate administrator by May 1 (or within two weeks of the candidate's date of initial appointment) of the timetable for the submission and consideration of files. This early notification of candidates will be in addition to the official notification of prospective candidates that is performed by the dean, department chair, or other appropriate administrator at least one month in advance of the date when the file is due. (*FM*, Section II)

The dean and the department chair or other appropriate administrator shall be notified by the chair of the unit committee on tenure and promotions of the pending meeting of that committee. (*FM*, Section II) Faculty members hired on tenure track after January 1, 1995, shall be responsible within their probationary period for meeting the unit tenure and promotion criteria and university standards in effect at the time of their hiring. For all subsequent promotions, the faculty member shall be responsible for meeting unit criteria and university standards in effect at the time of their application for that promotion. (*FM*, Section II)

Faculty members hired into the tenure track before January 1, 1995, may choose either the unit tenure and promotion criteria in effect at the time of their hiring or the unit criteria in effect at the time of their application for promotion.

### **B. Files**

#### **1. Responsibilities**

a. The candidate bears primary responsibility for preparation of the file on which the decision will be based. The candidate shall be certain that appropriate materials have been prepared and submitted for all sections for which he/she is responsible. The faculty member shall include a sheet listing the materials he/she has included in the file. (Provost, 9/22/77). Each year the provost will send to deans and unit chairs directions for organization of the files.

b. It is the responsibility of the candidate and the chairman of the unit tenure and promotion committee to see that the file of each individual faculty member

is arranged in accordance with the established format for tenure and promotion files.

c. The primary responsibility for the operation of all tenure and promotion procedures shall rest with the tenured members of the faculty of each academic unit. (*FM*, Section II) Part of the responsibility of the UCTP is to insure that each unit has followed its own criteria and procedures in the operation of its tenure and promotion process.

d. Each candidate's secondary file must include documentation of teaching, research, and service sufficient to establish the claims of the candidate to merit tenure or promotion. Without a satisfactory secondary file, those who must judge the file both inside and outside the unit will not have an adequate basis to judge the candidate.

## 2. Contents of File

a. A candidate and the academic unit should follow UCTP guidelines for assembling files. The unit is responsible for providing a synthesis of evaluations of the candidate's teaching performance (including a comparison of student teaching evaluations of candidate to those of comparable courses with the unit) and obtaining at least five outside evaluations of the candidate's research. A majority of the outside evaluators must be selected by the unit. The unit should include in the file a summary of the professional qualifications of each outside evaluator or a copy of each evaluator's curriculum vita, along with a copy of a letter requesting the evaluation and informing the evaluator of the unit's relevant criteria for tenure or promotion. (*FM*, Section II).

b. The teaching component of the file must include peer and student evaluations. (*FM*, Section II)

c. Each file will contain these items when relevant to the criteria and to the candidate under consideration:

- i) Evaluations of teaching performance;
- ii) A list of publications, papers presented, grant proposals, and the like;
- iii) As appropriate, evidence of creativity or performance in the arts;
- iv) A list of activities such as work on unit, college and university committees, student advisement, participation in professional societies, and relevant public service;
- v) Documentation of experience at the University of South Carolina;
- vi) Description of relevant experience elsewhere;
- vii) Description of participation in interdisciplinary education and research activities; and
- viii) All external evaluations of a candidate's scholarly or creative achievements and other professional activities received by the units.

d. Neither the candidate nor any other person may bar or remove from a file

any document or other evidence deemed relevant by the unit chair, dean, or provost. A candidate may not direct that a document which he/she regards as unfavorable be withheld from the file. (ID, 3/6/78)

e. No faculty member other than the candidate, department chair, or dean may require that any document or other evidence be included in the file, but faculty members in their vote justifications or in separate letters to their dean or department chair may cite or quote from any evidence or personal experience not in the file. Such letters will be placed in the file.

f. Letters written by outside reviewers or faculty members in previous years are not automatically included in the file. The candidate, dean, or department chair, or unit tenure and promotion committee may include such letters in a file only after receiving the authors' written permission.

g. Every instrument or mechanism authorized by the unit in its approved procedures for evaluating a candidate's teaching will be included in the file, including both peer and student evaluations. All such evidence shall be organized in reverse chronological order. The candidate, dean or department chair may include other evidence of teaching effectiveness.

h. After the unit has voted, only the following items may be added to the file:

i) Unit faculty vote justifications, and statements from the department chair, dean, and provost accompanying the file to the next steps of the procedure.

ii) The votes and justifications of the members of the UCTP.

iii) Material information arising as a consequence of actions taken prior to the unit vote, for example (a) letters from outside evaluators solicited before but received after the unit vote; (b) notifications of acceptance of manuscripts referred to in the file; (c) publication of books or articles which had been accepted prior to the unit vote; and (d) published reviews of a candidate's work which appear after the unit vote.

iv) Letters from faculty members in the unit. Each faculty member, whether or not authorized to vote, may write to the department chair, and/or the dean and/or the provost. Each of these letters will become part of the file at the addressee's level.

v) If new information is received by the UCTP that may not be added to the file under the provisions described above, it shall not be considered by the UCTP in its deliberations regarding its recommendation. The UCTP may, however, elect to remand the file with the new information to the unit for reconsideration by it, the unit chair, dean and provost. (ID, 12/9/90)

### 3. Access to Files

a. The University's policy is to provide candidates with the fullest possible access to their files subject to the established rules of confidentiality. (ACAF, 1.30)

b. Letters from colleagues, administrators, and outside evaluators will be treated as confidential unless explicitly collected with a different understanding.

c. Votes and vote justifications of unit faculty, and the recommendations of the department chair, dean, or provost will not be revealed to the candidate. However, the dean will provide the candidate with the vote of the UCTP upon request.

d. After the president has made his/her decision, the dean will have access to the files of candidates from his/her respective school or college for the purpose of providing a summary of the reasons for the disposition of the candidacy, including, as appropriate, quotations without attribution. The provost must approve such a summary before the dean gives it to the candidate.

### **C. Local Unit Structure**

The tenured faculty of each academic unit shall serve as that unit's tenure and promotions committee. Departments or units with fewer than five tenured members of the appropriate rank are required to submit to the UCTP a policy for constituting the unit tenure and promotion committee so that the committee will have at least five tenured members of the appropriate rank. In the event such a policy is included in the unit's approved tenure and promotion procedures, no further approval from UCTP is needed. The unit tenure and promotion committee may create select committees to assist the full committee in the performance of its work.

Where possible, a select committee shall include both professors and associate professors. (*FM*, Section II) By April 15 of each year, each unit tenure and promotion committee shall elect a chair for the upcoming year and report the chair's name to the provost and Faculty Senate Office. (*FM*, Section II)

### **D. Voting at the Unit Level**

1. Only tenured members of the unit may vote on an application for tenure or promotion. Faculty members of equal or higher rank may vote on a candidate for tenure but only faculty of higher rank may vote on promotion. Faculty who are administrators or officers of the University, including department chairs, deans, provost or president, may not vote or make recommendations on a file in more than one capacity or at more than one level. Emeriti professors may not vote. A faculty member on leave may vote only upon written notification to the department chair or dean of a desire to do so before beginning the leave. (*ID*, 11/14/80)

2. Meetings at which candidates are considered for promotion and tenure are closed to everyone except those eligible to vote on the candidate, with the following exception. Meetings may by rule, motion, or invitation of the chair of the meeting, be opened to anyone the body wishes to be present at the meeting and/or be heard. Administrators attending the meeting should refrain from

introducing material that is appropriate for consideration at another administrative level.

3. Tenured faculty of a unit may review a candidate as a committee of the whole or operate through a select committee. The select committee shall have at least five members (*FM*, Section II), and will be drawn from the entire unit or significant academic subdivision (e.g., program). (*FM*, Section II) Except for promotion to professor or tenure at that rank, a select committee should include both associate professors and professors.

4. Each unit shall apply its criteria and procedures to determine whether a candidate qualifies for promotion, tenure, or both. All voting shall be by secret ballot. With regard to tenure recommendations, all committee members of rank equal to or higher than the candidate shall vote. With regard to promotion recommendations, all committee members of higher rank than the candidate shall vote. Each member eligible to vote shall vote "yes" or "no" or "abstain." (*FM*, Section II) Whether an abstention vote in the unit counts towards the total votes for a candidate in determining an appropriate majority shall be decided at the unit level. (*FM*, Section II) Each unit may decide what percentage of the vote constitutes a favorable recommendation. Where the unit rules do not specify otherwise, a simple majority of yes votes among those voting "yes" and "no" shall constitute a favorable recommendation. (*ID*, 10/10/89) The result of all votes of the committee and the eligible unit faculty will be included in the file.

5. Written justification of all votes at the unit level shall be mandatory and shall state specifically how the candidate meets or does not meet the unit's criteria. (*FM*, Section II) A written justification must be provided by each faculty member who voted, either on the ballot itself, on a separate form, or in a letter addressed to the dean, department chair, (Board of Trustees, 6/4/77), or provost. Justifications need not be signed or identify the author, but must be clearly identified as justifications and must state how the author voted. All such justifications shall be included in the file.

### **III. PROCEDURES ABOVE THE UNIT LEVEL**

#### **A. Favorable Vote**

If the unit vote is favorable to the candidate, the department chair or other official specified in the unit's T&P Procedures will write a letter for the file containing an assessment of the candidate's qualifications and a recommendation. (If the department chair or other official is a candidate, or if the unit is in a non-departmentalized school or college, there will be no letter from the chair.) The department chair or specified official will forward the file, with the ballots, and justifications to the dean of the school or college. The dean will review the file, add an assessment and a recommendation, and forward the file to the provost. The provost will review the file, add an assessment and recommendation, and forward the file to the UCTP.

### **B. Unfavorable Vote**

If the unit fails to give the candidate a favorable vote, the unit T&P chair (or if the chair is not privy to the unit proceedings, a designated senior faculty member who was) will notify the candidate promptly and shall, upon request by the candidate, without attributions, provide the candidate with a synopsis of the discussion and an indication of the strength of the vote of the unit. Only if the candidate files a written appeal will the file be forwarded to the next level of review; i.e., department chair or dean.

### **C. Split Vote**

If a candidate receives both a favorable and an unfavorable vote (e.g. "yes" for promotion; "no" for tenure) the candidate must make a written formal appeal of the unfavorable vote if he or she wishes the unfavorable recommendation to be reviewed. The file will be forwarded only with respect to the favorable unit recommendation if an appeal is not made.

### **D. Appeals**

The time within which the candidate must file a written appeal of an unfavorable vote by the unit will be determined by reference to the schedule of deadlines for tenure and promotions decisions promulgated each year by the provost. If the candidate appeals, the unit T&P chair or other official specified in the unit's Procedures will invite further written comments from all of the faculty who voted and the file will be processed as described above in III.A.

### **E. Failure to Appeal**

The chair of the unit tenure and promotions committee must report a negative unit vote to the dean, even if the candidate does not appeal. If a candidate for tenure receives a negative vote in the penultimate year and does not file an appeal, the dean will inform the candidate of non-reappointment.

## **IV. THE UNIVERSITY COMMITTEE ON TENURE AND PROMOTIONS**

### **A. Membership**

The UCTP is composed of twenty-four members, all tenured full professors. Fifteen of these are elected by the faculty at large and nine are appointed by the president. Nine elected members may come from the College of Arts and Sciences; no other single college or school may have more than three elected members. No person holding one of the following positions shall be a member of the committee:

- department chair
- assistant or associate dean, and dean. (*FM*, Section I).

New members are selected in one of two ways.

1. Elected Members. Each year elected members are nominated by the

Nominations Subcommittee of UCTP (see IV.C.3). The UCTP presents a slate of ten eligible faculty members willing to serve on the UCTP, and the voting members of the faculty elect five of the ten to three-year terms (*FM*, Section I). The ballot contains the names and units of the retiring members of the UCTP, along with any limitations on nominees. Nominees provide short biographies for the ballot.

2. Appointed Members. Each year the president appoints three other faculty members to three-year terms on the UCTP.

3. Term Limitations. The terms of the eight new members (as well as the chair) of the UCTP begin 15 August of each year. No person shall serve more than three years consecutively (*FM*, Section I).

4. Vacancies. If an elected member cannot complete his/her term, the Internal Nominations Subcommittee (IV.C.3) shall be called upon by the Chair of the UCTP to generate a list of potential nominees, taking into consideration the colleges from which the vacancies occur and other diversity issues. Except for vacancies arising during the summer, a replacement shall be elected at a regular meeting of the UCTP no later than the final meeting during the Spring semester.

If a vacancy occurs over the summer, the Internal Nominations Subcommittee will generate nominees for replacement and decide whether to nominate at a face-to-face meeting, by telephone contact, or by email. To the extent possible, the Internal Nominations Subcommittee shall generate two nominees for each vacated position that must be filled. This allows for meaningful choices with more than one name presented for a position. The nominees are then voted upon by the remaining and new UCTP members by mailed ballots which are returned to the Internal Nominations Subcommittee prior to the first meeting of the UCTP in the Fall semester. By being elected before the term in question, the elected replacements will be able to attend the first meeting. If a vacancy occurs among appointed members, the president appoints a new member for the duration of the unexpired term.

## **B. Responsibilities of the UCTP**

1. The UCTP publishes general guidelines for unit tenure and promotion criteria and procedures. (*FM*, Section I) The UCTP also interprets existing guidelines and publicizes these interpretations to the faculty through UCTP workshops organized at the end of each spring semester.

2. The UCTP approves unit procedures and criteria by majority vote. Each unit shall submit its proposed tenure and promotions criteria and procedures through the dean to the provost, who shall forward the proposed criteria and procedures to the UCTP along with his or her comments. If the UCTP finds that the proposed criteria and procedures are consistent with the general guidelines in the *Faculty Manual* and are sufficiently clear, the UCTP shall approve the

criteria and procedures, which then become effective immediately unless otherwise specified. If the UCTP disapproves the proposed unit criteria and procedures, it shall return them to the unit with an explanation of the deficiencies. The unit shall then revise and resubmit its proposed criteria or procedures to the UCTP. Existing criteria and procedures shall be resubmitted to the UCTP for periodic review on a rotating basis as determined by the provost. (*FM*, Section II)

3. The UCTP receives recommendations for tenure and promotions through the appropriate administrative officers (department chairs, deans, and the provost) of the university, who forward to the UCTP the results of all votes and statements by the appropriate faculty. The committee assesses whether the candidate's unit criteria were fairly and appropriately applied at all levels in evaluating the candidate's file and forwards its recommendation on the file, including each member's vote justification, to the president. The members of UCTP shall consider all votes and vote justifications in the file and shall apply the candidate's unit criteria in justifying their own votes towards the overall UCTP recommendation. (*FM*, Section II)

4. The basis for voting by individual UCTP members is the material in the file presented to the UCTP and the recommendations by unit faculty and administrators that accompany it. Members of the UCTP consider only the criteria applicable to the case and are guided by reasonable deference to the specialized expertise of the members of the unit voting, the quality of the material in the files, the quality of the justifications that accompany faculty votes and administrative recommendations, and the strength of support in the unit.

5. All members are required to cast a vote on each file. (*ID* 5/5/81), but a UCTP member who had the right to vote at the unit level on a particular candidate's promotion or tenure case (whether he/she exercised it or not) may not (i) examine the candidate's file at the UCTP level, (ii) be present during any discussion or review of the file, (iii) vote or comment on that candidate to any committee member; and (iv) be told the result of the UCTP balloting on that candidate.

6. Members of the UCTP shall not discuss an individual file with any person outside the UCTP. This duty of confidentiality includes disclosure of which colleges and departments are reviewed by the various panels. Official actions taken by the UCTP not relating to individual files may be disclosed. (*ID*, 1982)

7. The proceedings of the UCTP are confidential with respect to all written materials in individual files and all discussion of individual cases by the UCTP. The UCTP has the authority to remove members who fail to maintain confidentiality. (*FM*, Section II)

### **C. Organization of the UCTP**

The UCTP has three panels and four subcommittees. The terms of the Chair and all panel and subcommittee chairs and members begin on August 15 of each year.

**1. Chair.** The Chair of the UCTP is elected by the Committee, upon nomination by the Internal Nominations Subcommittee, usually at the last meeting of the year. The Chair is responsible for calling and conducting the regular meetings of the UCTP, as well as those of the Nominations and Internal Nominations Subcommittees. The Chair appoints the members of the three panels and the members and chairs of the subcommittees. The Chair also performs other executive functions.

**2. Panels.** Panels give detailed consideration to all files from particular units and make recommendations to the full committee. Each panel has eight members, and each member of the UCTP serves on one panel.

(a) The chair of the UCTP assigns files to the various panels. Before appointing panel members and assigning panels to review a unit's files, the chair of the UCTP obtains from the Office of the Provost the expected number of files from each school or college. Panel assignments are then made so that each panel will have about the same number of files to review. The chair also assures that no committee member will have had the right to vote at the unit level on any candidate coming before the panel.

(b) Each panel elects one of its members to serve as chair, who calls meetings, writes reports, and presents reports at the full meeting of the UCTP (Guide, 1982). Periodically, the chair of the UCTP sends a list of candidates to a panel chair for panel review and preparation of a report on each of those candidates for presentation to the full committee by a specified date. The panel chair then schedules a panel meeting and notifies panel members of the candidates to be considered. Prior to the meeting, panel members are required to review these candidates' files.

**3. Subcommittees.** Two subcommittees meet throughout the year: (a) Internal Rules and (b) Criteria and Procedures. The Nominations and Internal Nominations Subcommittees meet normally before the end of the Spring semester and at other times as needed. The Chair of the UCTP may appoint *ad hoc* committees (Guide, 1982, 2). The Internal Rules Subcommittee is composed of all members of a designated panel; the Criteria and Procedures Subcommittee is composed of all members of the other two panels (ID, 1999).

#### **a) Internal Rules**

The Internal Rules Subcommittee considers the rules and procedures of the UCTP and recommends changes to the full committee. In addition, the subcommittee considers rules and procedures relating to the relationship between the UCTP and other agents in the tenure and promotion process. This

subcommittee also makes recommendations to the UCTP regarding official interpretations of the university's promotion and tenure regulations. After approval by the UCTP, these interpretations are circulated to deans and department chairs and presented at workshops in the Spring semester (IV.B.1).

### **b) Criteria and Procedures**

The Criteria and Procedures Subcommittee examines new and revised unit promotion or tenure criteria or procedures and makes recommendations thereon to the UCTP. If the UCTP has requested changes in the unit criteria, it may authorize the subcommittee to give final approval to the revised proposals when they are submitted from the unit. After the proposed criteria or procedures are approved, either the chair of the Criteria and Procedures Subcommittee or the chair of the UCTP contacts the unit and sends copies of the approved criteria to the provost and appropriate dean. If proposed criteria and/or procedures are disapproved, the chair of UCTP or the chair of the Criteria and Procedures Subcommittee shall explain the decision to the unit in writing.

### **c) Nominations**

The Nominations Subcommittee is composed of the eight members completing their terms on the UCTP, and members of the Faculty Senate Steering Committee (*FM*, Section I). The chair of the UCTP is the chair of this Subcommittee, if he/she is among the eight members completing their terms. If the chair is not completing his/her term on the UCTP, he/she will appoint as chair of the Nominations Subcommittee a member who is. At the announcement of the first meeting of this Subcommittee, each member will be informed of the names and departments of the eight members leaving the UCTP and the limitations on the UCTP membership listed in IV.A. (*ID* 1999) At that time, each member will be requested to contact at least one potential nominee, keeping in mind diversity issues as well as representation needs of various colleges and schools. He/she will ascertain the professor's willingness to serve and obtain a current curriculum vitae of the prospective nominee to submit to the committee. (*ID*)

### **d) Internal Nominations**

The Internal Nominations Subcommittee shall be made up of the outgoing Chair of the UCTP, the three panel chairs, and other Subcommittee Chairs. This Subcommittee nominates candidates for the replacement of members who cannot complete their terms (IV.A.4) and candidates for Chair at the last meeting of the year (IV.C.1).

## **D. Operating Procedures of the UCTP**

### **1. Meetings**

#### **a) Fall Meeting.**

At the start of the Fall semester the UCTP chair schedules an organizational meeting at which new members are introduced, Subcommittee reports are delivered, panel and Subcommittee assignments are distributed, and tentative

UCTP fall meeting and vote collection dates are scheduled. Immediately afterward, panels meet, elect their chairs, and schedule tentative panel meeting dates. At a later fall meeting, tentative spring meeting and vote collection dates are scheduled. The panels and full committee meet again in November to consider files of candidates due for mid-year decisions and any other business before the Committee.

Nominally, meetings of UCTP are held in a conference room on the 3<sup>rd</sup> floor of the McCutchen House to provide easy access to the hard-copies of files and notes stored in the Faculty Senate Office. With the advent of electronic review of files in 2008, other locations can be used for committee meetings, as long as (a) the room can be closed to maintain confidentiality in the discussions, (b) transfer of hard-bound files and notes (if needed) is performed in a controlled manner and returned to the Faculty Senate immediately upon completion of the committee meeting and (c) availability of electrical power and web access is appropriate for general use by all members of UCTP that require a laptop computer for the discussions.

### **b) Spring Meetings**

The major work of the UCTP concerns the recommendation of candidates in the Spring semester. These meetings typically take place at two-week intervals from mid-January to late March. At the final meeting of the year the Chair for the next academic year is elected.

## **2. Consideration of Files**

### **a) Electronic Files and Notes**

With the advent of electronic review in 2008, the members of the UCTP may now remotely access electronic copies of all files stored on a secure server using a unique ID and Password provided to them. In an attempt to maximize confidentiality in the electronic review process, UCTP members will (1) maintain sole ownership of ID and password and protect its confidentiality at all times, (2) access on-line data only under controlled conditions where the information is not visible to others, [3] ensure that all downloaded information is password protected and [4] avoid printing of candidate file material, except in the Faculty Senate office or assigned UCTP printing facilities (e.g., McCutchen House, Provost's office, other controlled location]. If any member suspects that their access codes have been compromised, the Provost's Office should be notified immediately to request immediate termination of access using their codes.

Each committee member has the ability to maintain electronic versions of their notes on a personal laptop or similar PC storage media for use in the file review process. By accessing these electronic notes during deliberations of the committee, each member can participate in the discussions, modify their notes and eventually use the notes to provide ballot justifications.

All electronic notes and downloaded file information must be secured using

password protection; encryption is also useful if available and can be used effectively by members. It is recommended that all electronic material be stored in a password protected folder. As an alternative, each electronic file can be password protected separately.

At the end of the file review process, each committee member will delete all electronic material related to the file evaluation process, including electronic note documents and downloaded file material.

### ***b) Hard Copies of Files and Notes***

Those committee members who wish to read the hard-bound files will review the files in the conference rooms on the third floor of the McCutchen House. If the Faculty Senate Office will be closed, UCTP members may make arrangements in advance to get a key to the office for reviewing the hard-bound files in the Faculty Senate Office. Members studying files obtain them and return them to the staff when they are done. When a file is not being studied, it is kept in a fireproof cabinet.

Each committee member may maintain hard-copies of notes in a file in the Faculty Senate Office. The staff places relevant items in the folder such as meeting agendas, ballots, panel report forms and lists of candidates to be reviewed. Committee members use work sheets to record information and comments about candidates, and they store these work sheets in their private folders. At the end of the year, all notes and materials directly related to committee deliberations are removed from the members' files by Faculty Senate staff and shredded. Personal items not related to the deliberations (e.g., cups, pens, etc.) will be returned to the members.

### ***3. Panel Meetings***

(a) Members will review candidates' files in advance of the meeting of the full UCTP. The Chair of UCTP shall be careful to assign the files of any candidates to panels that do not have members of that candidate's unit.

(b) The chair of each panel schedules the panel meetings, conducts them assigns responsibility for presentations of candidate files at the meeting of the full UCTP and ensures that a report is written on each candidate's file (see D.4.b below).

(c) Consideration by a panel follows all the procedures for consideration by the UCTP. A panel member states the unit criteria to be applied and presents evidence in the candidate's file that relates to each criterion identified. Panel members then discuss the contents of the file, the votes of the unit, and the recommendations of administrators. The file is judged against the unit criteria. UCTP members of the panel vote by secret ballot and provide justifications for their votes, and the deliberations are strictly confidential.

(d) The panel's vote is recorded and the chair of the panel writes a report, including the views of those who voted positively and negatively.

(e) Should three members dissent from the panel majority, or three members make a specific request, the file will be designated a "mandated read" (see D.4.c

below).

#### **4. UCTP Meetings**

##### **a) Housekeeping**

Before the meeting the Chair sends members a list indicating the candidates to be reviewed. When members arrive for the meeting, they generally obtain their folders, each of which will contain an agenda, ballots, an envelope for completed ballots, and Subcommittee reports. Faculty who wish to use electronic notes will be ready to open note files for all candidates by preparing their laptops and accessing their secure folders. At the beginning of the meeting the Chair distributes the vote record from the last meeting, as well as the attendance roster, and announces the deadline for submission of completed ballots (usually 2-3 days after the meeting). In general, minutes are not kept. Reports of Subcommittees, including the discussion and approval of unit criteria and procedures, generally precede consideration of candidates.

##### **b) Panel Report**

When the committee is ready to review the files assigned to a particular panel, the Chair asks the appropriate panel chair to present the panel reports. Presentations may be made by the panel chair or by other members of the panel. Then, the presenter gives the candidate's name, summarizes the unit criteria, and reports the vote totals of the select committee, if any, and unit faculty, and the recommendations of the administrators at and below the level of the provost, and the vote totals of the panel. The panel chair, or another member of the panel assigned by the chair, summarizes the justifications of the majority and minority (if any) votes in the panel. The floor is then open for questions from the committee and full discussion of the file. In a difficult case, there may be extensive reference to and readings from the unit's criteria and the candidate's file.

##### **c) Mandated Read**

“Mandated Reads” may arise either from a panel vote (see 3.e above), from a decision by the Chair, or from a request from three or more members of the full UCTP. Panel reports and voting on "mandated reads" will, upon the decision of the UCTP Chair in consultation with the panel chair, be addressed in regular sequence or postponed by one meeting of the full committee. Each committee member eligible to do so is required to read the file before that meeting.

##### **d) New Business**

During the new business portion of the meeting, members may raise matters of concern for consideration by the UCTP or a Subcommittee. Before adjournment the Chair reminds the UCTP of upcoming vote collection and meeting dates.

##### **e) Voting**

Sometime after the oral presentation and before a vote collection deadline, each eligible member shall vote and write a thorough justification on each ballot. The vote is either to “approve” promotion or tenure or to “disapprove”;

abstentions by members of the UCTP are not allowed. The justification explains the vote taken in terms of the candidate's record meeting or not meeting the criteria set by the unit for tenure and/or promotion. If the member is ineligible to vote on a candidate, whether by personal or professional conflict or absence from the meeting at which the candidate was discussed, that ballot will be marked "void." If the member is ineligible only by reason of absence, however, observations on the candidacy may be made on the ballot if the member has read the file.

Balloting may be performed by (a) paper ballot with hand written justification, (b) paper ballot printed using electronic notes that have cut and pasted into the electronic ballot for justification or, when available, (c) submission of a fully electronic ballot using a secure server and controls to maintain confidentiality in the voting process. Individual UCTP members completing printed ballots in (a) and (b) shall submit them to the Faculty Senate staff by placing the completed ballots for all candidates in an envelope marked on the outside with the member's name.

#### ***f) Counting the Ballots***

For all members that complete and submit paper ballots, the staff will remove the ballots from the envelopes; sort them, following which the UCTP Chair and at least one other committee member count the ballots.

Faculty Senate Staff shall access the secure web site and download full committee electronic vote results for each candidate. As long as the candidate's primary file is in hard-copy format, the electronic ballots of all members shall be printed. Those ballots uploaded by UCTP members generally will be printed by the Faculty Senate Staff and added to the previous paper ballots for inclusion in the primary file. In any case, electronic and paper ballot votes will be combined using a Voting Summary Sheet prepared by the Faculty Senate staff. On this Sheet, Faculty Senate staff will record the full UCTP committee vote results alongside each candidate's name. A majority of those voting "yes" and "no" constitutes the recommendation of the UCTP. "Void" ballots are not tabulated.

#### ***g) Disposition of Files***

After a summary sheet is completed, the UCTP ballots for each candidate are placed in the candidate's file. The Chair then sends the summary sheet and all files, regardless of the committee recommendation, to the Office of the President. A copy of the summary sheet is made available for committee members' inspection in the Faculty Senate Office.

#### ***h) Confidentiality***

The procedures, rules, and actions of the committee not related to individual files are a matter of record. All other matters, including panel assignments, file contents, and panel and committee actions on candidates, are strictly confidential.

### ***i) Goldenrod Updates and Electronic Access***

With the advent of electronic review in 2008, it is expected that many facets of UCTP will be modified to accommodate the new technology. It is the responsibility of the UCTP Chair to request that the Internal Rules Committee of UCTP review current procedures and ensure that the Goldenrod is updated to reflect current operating conditions.

## **V. CONFIDENTIALITY**

This is the University policy on confidentiality of Tenure and Promotion files: (ACAF 1.30) as it applies to the Columbia campus:

A. The University allows individual faculty members fullest possible access to their files consistent with maintaining the confidentiality of materials included.

B. Unless explicitly collected with a different understanding, evaluative statements, recommendations and vote justifications from colleagues, administrators or outside references are considered confidential.

1. Votes of the unit, department, or college tenure and promotion committee will not be revealed to individuals under consideration. However, as part of the formal grievance procedure candidates may request through the dean's office the voting results of the University Committee on Tenure and Promotion.

2. Deans have access to the complete tenure and promotion files of faculty in their colleges, including comments from the provost and the record of the vote and vote justifications of the University Committee on Tenure and Promotions. Deans are authorized as part of the formal grievance procedures to give individuals summaries of their files, provided the summaries are approved first by the Office of the Provost.

3. The Faculty Grievance Committee in its official capacity has full access to individual files.

## **VI. PROCEDURES AFTER THE UCTP DELIBERATIONS**

If, after reviewing the file, the president favors promotion and/or tenure, he/she will notify the candidate that he/she will so recommend to the Board of Trustees for final action. The appropriate administrative officer will inform the candidate if the president's decision is negative.

## **VII. GUIDELINES FOR DEVELOPING UNIT CRITERIA**

This section is intended as a guide for the revision of unit criteria following university guidelines and the accepted practices of most units at the University.

### **A. Procedures**

Units should follow the procedures listed in this guide, Section II.

## **B. Letters of Referees**

The unit is responsible for obtaining at least five outside evaluations of the candidate's research (including scholarship, visual arts, or performing arts). A majority of the outside evaluators must be selected by the unit. The unit should include in the file a summary of the professional qualifications of each outside evaluator or a copy of each evaluator's curriculum vita, along with a copy of a letter requesting the evaluation and informing the evaluator of the unit's relevant criteria for tenure or promotion. (*FM*, Section II) In order to help assure objectivity, letters should not be solicited from those with close personal or professional ties to the candidate; e.g., the candidate's dissertation adviser, coauthors, former professors, classmates, or colleagues with whom the candidate served at other institutions. Letters to external referees should contain language to the following effect:

*Please use the enclosed unit criteria and other materials to evaluate the candidate's scholarship and research. Your evaluation need not be limited to the materials we have provided. We would also appreciate a statement describing your relationship, if any, with this candidate. Please be advised that the University cannot guarantee the confidentiality of letters prepared by external referees. The University will maintain the confidentiality of your letter to the extent allowed by South Carolina law. (Provost letter, 5/4/95)*

Letters written by faculty members in previous years may not be included automatically in a candidate's file for the year in which he/she is being considered anew. The unit tenure and promotion committee may request that the authors of old letters update their evaluations and the candidate may include old or updated letters. If the unit tenure and promotions committee wishes old letters to be included in the file, they must notify the original authors of this intention; if these authors fail to approve the request or to reply, the letters may not be used. (*ID*, 3/6/78)

## **C. Voting**

Units must state how abstentions will count against positive or negative votes. The UCTP recommends that abstentions not be included in calculating the majority required to send a file forward. Units must also state what majority is required to send a file forward (e.g., 50%, 67%).

## **D. Criteria**

The UCTP does not prescribe specific criteria for any unit. The unit must devise its own criteria according to its particular needs, the standards of the field, and the aspirations of the University. Units should begin with consideration of the general university criteria as expressed in the *Faculty Manual*. The university is committed to achievement in research (including scholarship, visual arts, or performing arts), teaching, and service. Collectively, the faculty profile of the university and of any academic unit should reflect performance consistent with that of major research universities. Unit criteria should reflect that if a candidate is weak in teaching or research, promotion or tenure might not be in

the best interest of the university.

Unit criteria for tenure and for promotion of a faculty member shall provide clear standards for the assessment of past achievements. Criteria for all tenure and promotions decisions should require a record of accomplishment indicative of continuing development of the faculty member in research, teaching and service. Unit criteria for promotion or tenure generally shall require, at a minimum, evidence of excellence in either research or teaching, accompanied by a strong record in the other areas. (*FM*, Section II) In composing definitions and criteria for the different ranks, units should bear in mind the qualifications outlined in the *Faculty Manual*.

For promotion to the rank of professor, the faculty member normally is expected to hold the earned doctoral degree and have at least nine years of effective, relevant experience. (*FM*, Section II) Criteria for promotion from associate professor to professor and for tenure at the rank of professor should require evidence of national or international stature in a field. (*FM*, Section II). To be eligible for the rank of associate professor, a faculty member normally is expected to hold the earned doctoral degree and must possess strong potential for further development as a teacher and scholar. (*FM*, Section II)

Unit procedures for the evaluation of the teaching component of the file must require peer and student evaluations. (*FM*, Section II)

For units in which a primary focus of the faculty is on public service, criteria for tenure and promotions shall require evaluations of the quality of the public service work and the relationship of the service to research or teaching. (*FM*, Section II)

#### **E. UCTP Guidelines for Defining Levels**

When the general criteria have been decided, the unit must find a means to relate performance to criteria so as to assign a level of performance. The UCTP advises that the specific adjectives used to indicate the levels (e.g., “Excellent-Good-Acceptable,” “Outstanding-Superior-Accomplished,” “Level 3-Level 2-Level 1”) are less important than clear definitions of those levels. A useful way to define these levels is by concrete examples that will be intelligible to colleagues and administrators both inside and outside the unit. Upon request, members of the Criteria and Procedures Subcommittee will share examples of clearly expressed, well-defined criteria. Some units may wish to rate their faculty not simply against colleagues in their unit, but against persons in other units or departments in their discipline or profession. If they do so, they should be clear in their criteria about the basis used for selecting those units.