

# University of South Carolina – Columbia

## University Committee on Tenure and Promotions (UCTP)

### UCTP Guidelines for Units: Preparing Criteria and Files

[Approved by UCTP: 15 May 2023]

#### Abstract

The purposes of this document are to: 1) guide units in preparing and revising their criteria and procedures for tenure and/or promotion, and 2) help tenure and/or promotion candidates and their units in the compilation, submission, and confidential handling of tenure and/or promotion files. This document should be available to all unit administrators and their respective unit tenure and promotion chairs. This document will also be available online for units and candidates on the Office of the Provost's website.

Part I of this document provides guidelines for developing unit criteria. Part II provides information about compiling, submitting, and accessing tenure and promotion files. The unit criteria and whichever Faculty Manual was in place when those criteria were developed and approved by the UCTP remain the only controlling authorities. (Senate 11/1/95). The appendix summarizes procedures for the tenure and promotion process at the unit level. The UCTP Guidelines are not intended to supersede and should not be construed as superseding the tenure and promotion criteria of the relevant department or unit. The unit criteria and whichever Faculty Manual was in place when those criteria were developed and approved by the UCTP remain the only controlling authorities. (Senate 11/1/95). This UCTP guideline for units on "Preparing Criteria and Files," together with the document entitled "Internal Rules and Procedures," is intended to replace the defunct "Goldenrod" UCTP Guide to Criteria and Procedures.

#### Abbreviations Used

This guide cites as often as possible the University publications and other documents that provide the basis for tenure and promotion policies and procedures at USC. Whole paragraphs drawn from such documents have references at the end. Any paragraph without a reference should be considered an 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
- MOU = Memorandum of Understanding
- Provost = Written communication from Provost
- Senate = Minutes of Faculty Senate
- UCTP = University Committee on Tenure and Promotions

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## I. Introduction

The unit criteria and whichever Faculty Manual was in place when those criteria were developed and approved by the UCTP remain the final authorities on tenure and promotion policies and procedures. The most recent Faculty Manual, approved on 24 June 2022 and hereafter referred to as “FM,” is the manual referenced throughout these guidelines. 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 FMs. Therefore, the FM requires that the University Committee on Tenure and Promotions (UCTP) shall “publish guidelines for departmental tenure and promotion criteria and procedures” (FM, Section II), criteria that the UCTP will ultimately approve. The FM also states that a “candidate and the academic unit should follow UCTP guidelines for compiling files” and adds that the “the record of teaching, research, and service shall be thoroughly documented, as prescribed in the UCTP guidelines.” This document provides these guidelines as stipulated by the FM.

This Guide draws from three authorities: (1) The tenure and promotion regulations in the FM; (2) directives the University Administration, 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 FM. Though the Committee has scrupulously tried to follow the letter and spirit of the FM, in the event of any inconsistency between this guide and the FM and/or already approved departmental criteria, the FM is the final authority.

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.

## II. Guidelines for Developing Unit Criteria

This section is intended as a guide for the formulation and/or revision of unit<sup>1</sup> criteria following university guidelines and the accepted practices of most units at the University.

### A. Formulating Unit Criteria

#### 1. Important Considerations

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 a consideration of the general university criteria as expressed in the FM. The university is committed to achievement in research (including scholarship and/or creative activity in

<sup>1</sup> In this document, the term “unit” or “tenure unit” indicates the unit that tenure and promotion criteria apply to. Tenure units are also sometimes called “tenure homes.” A tenure unit may be a department, a school, a college, a collection of departments. Current examples (see the list of tenure and promotion criteria at [http://www.sc.edu/about/offices\\_and\\_divisions/provost/faculty/tenure/unitcriteria.php](http://www.sc.edu/about/offices_and_divisions/provost/faculty/tenure/unitcriteria.php), accessed on 2016-03-01) include the Department of Statistics, the School of Journalism and Mass Communication, the College of Nursing, the Basic Science Unit in the School of Medicine. The head of a tenure unit is the individual referred to as the “unit

administrator” in the Faculty Manual (Section: Unit Consideration of Tenure and Promotion Files). The unit administrator may be a department chair, school dean or director, a college dean, or other administrator as appropriate.

visual and 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.

## **2. Clear Standards**

Unit criteria for tenure and promotion of a faculty member shall provide clear and explicit standards for assessing past achievements. The tenured faculty of each academic unit shall formulate specific written criteria and procedures for tenure and promotion that are consistent with the achievement of established goals. The criteria and procedures shall clearly articulate the unit's expectations concerning scholarly productivity, including the nature and quality of scholarly activities necessary to attain tenure and promotion. In composing definitions and criteria for the different ranks, units should consider the qualifications outlined in the FM. If there is an inconsistency between UCTP guidelines and the FM, the FM is the final authority (FM).

## **3. Evaluating Performance**

Criteria for all tenure and promotion decisions should require a record of accomplishment indicative of continuing development of the faculty member in research, teaching, and service. When the general criteria have been decided, the unit must find a means to relate performance to criteria to assign a level of performance.

## **4. Defining Levels of Performance**

A useful way to define performance levels is by providing concrete examples that will be identifiable to colleagues and administrators inside and outside the unit. For example, the criteria might identify what specific activities comprise the "minimally effective" level. Upon request, members of the UCTP will share examples of clearly expressed, well-defined criteria.

## **5. Comparisons Beyond the Unit**

Units wishing to rate their faculty against persons in other units in their discipline or profession should be clear in their criteria about the basis used for selecting those persons.

## **6. Required Adjectival Standards and Terminology**

Units should consult the section entitled "General Standards for Assessment of Faculty" in the FM for the specific adjectival standards and terminology that should be used in the unit criteria.

## **B. Other Matters to Be Addressed in Unit Criteria and Secondary Unit Procedures**

### **1. Additional Issues Requiring Specification**

The primary unit's criteria and procedures and the secondary unit's procedures must specify whether (a) candidates for faculty appointments may be recommended for tenure on appointment, (b) an abstention vote counts towards the total votes for the candidate in determining the existence of a majority vote, (c) time and accomplishments in a faculty position at another educational institution may be considered in evaluating a candidate for tenure or promotion, and (d) whether there is a required minimum time of service at USC for faculty hired from another institution to be considered for tenure or promotion.

### **2. Discipline-specific Practices**

Unit criteria should describe any discipline-specific practices that may affect the weight given to the applicant's publications or activities. Examples include practices regarding the order in which co-authors are listed on publications with multiple authors; practices regarding the identification of PI's (principal investigators) and co-PI's on grants; which faculty are expected to supervise Ph.D. students; the significance of electronic publications in the discipline; and situations when teaching is not expected, such as receipt of NIH grants or other grants that restrict teaching. (FM). If applicable to the discipline, the unit criteria should require specifying the candidate's role in grants. The significance of student-led or student co-authored publications should be outlined in relation to meeting the unit criteria for teaching and/or research.

## **C. Procedures for Approval of Criteria and Secondary Unit Procedures**

### **1. Periodic Review**

Each primary unit shall submit its criteria and procedures, and each secondary unit shall submit its procedures for periodic review on a rotating basis as determined by the Office of the Provost. Each primary unit shall submit its proposed tenure and promotions criteria and procedures, and each secondary unit shall submit its procedures through the dean to the provost, who shall forward the proposed criteria and procedures to the University Committee on Tenure and Promotions along with their comments. (FM)

### **2. UCTP Vote: Positive**

If the UCTP finds that the proposed criteria and procedures are sufficiently clear and consistent with the FM and UCTP guidelines, the UCTP shall approve the criteria and procedures, which become effective on the next tenure start date, August 16 or January 1, unless otherwise specified. Ideally, the UCTP decision should be conveyed to the unit within 120 academic days after receiving the proposed criteria and procedures. An "academic day" is a weekday during the nine months when the university is in session. (FM)

### **3. UCTP Vote: Negative**

If the UCTP disapproves the proposed unit criteria and procedures, they will be returned to the unit with an explanation of the deficiencies. The unit must revise its proposed criteria or procedures and resubmit them to the UCTP within 60 academic days. If the unit and the UCTP are unable to reach an agreement or if revised criteria are not expeditiously received by the UCTP, the chair of the UCTP or their designee shall convene a meeting with representatives from the unit, the UCTP, and the Office of the Provost to attempt to resolve the issues.

### **4. Mediation of Differences**

The Office of the Provost will endeavor to resolve any differences remaining after the meeting through mediation. Any disagreements that cannot be resolved through mediation will be resolved by an ad hoc committee composed of Faculty Advisory Committee members who are Professors and members of the Grievance Committee. If necessary, to populate a committee of at least five persons, the Chair of the Faculty Senate shall appoint one or more additional Professor to the ad hoc committee. In resolving the disagreement, the ad hoc committee will consult with the unit, the UCTP, and the provost. (FM)

## **III. Compiling, Submitting, and Accessing Individual Tenure or Promotion Files**

This section is intended as a guide for the processing and handling of tenure and/or promotion files following university guidelines and the accepted practices of most units at the University.

### **A. Responsibilities**

#### **1. Candidate's Responsibility**

The candidate bears primary responsibility for file preparation on which the decision will be based. Candidates should see to it that appropriate materials have been prepared and submitted for all sections for which they are responsible. The faculty member shall include a sheet listing the materials they included in the file. (Provost, 9/22/77) The Office of the Provost provides a list indicating the expected order of materials in Tenure and/or Promotion files. Each file must include the original letter of appointment and, in the case of a joint appointment, a copy of the Memorandum of Understanding (MOU). Consult the FM for further details on compiling files for faculty members with joint appointments.

#### **2. Teaching Evaluation**

Units are responsible for arranging periodic peer teaching evaluations and providing student course evaluation data.

Regarding the evaluation of classroom teaching of a candidate, the FM states:

Evaluation of Teaching: Procedures for evaluating classroom teaching must require peer and student evaluations, conducted periodically throughout the faculty member's tenure-track or tenured

appointment at the university. A summary and evaluation of the faculty member's classroom teaching, based on clearly specified criteria, must be included in the faculty member's promotion and/or tenure file. This summary should give context to student evaluations of the faculty member's classroom teaching. (e.g., whether evaluations of a particular class historically have been low; in a multi-section course, how the faculty member's evaluation scores compare with those in the other sections; or whether poor evaluation scores are correlated to a faculty member's strict grading standards).

Other teaching functions and the weight to be given to them in evaluating teaching performance must be specified in the unit criteria. These include, but are not limited to, advisement and mentoring of students and student organizations; creation of teaching materials, techniques or programs; supervision of PhD students; and supervision of research or independent study by undergraduate or masters-level students. Regarding the supervision of graduate students, the unit criteria shall guide the candidate to distinguish their role as the advisor/director/major professor from a committee member.

Unit criteria and procedures for evaluating classroom teaching performance of candidates for tenure and/or promotion should be consistent with the relevant FM guidelines.

**a. Peer Evaluations:** As a mandatory component of each candidate's primary file, peer evaluations should be conducted periodically during a candidate's review period. In the case of joint appointments, peer evaluations from the secondary units must be included. It is the responsibility of the candidate to arrange these peer evaluations and ensure they are compiled and placed in the candidate's file.

**b. Student evaluations:** The FM requires student evaluations of classroom teaching. Student evaluations must be conducted periodically throughout the faculty member's tenure track or tenured appointment at the university and should ideally be conducted during each semester of a candidate's review period that the candidate has taught at least one course.

**c. Teaching Summaries:** A teaching summary must be prepared by the unit and included in the faculty member's promotion and/or tenure file. This summary should cover the faculty member's tenure-track or tenured appointment with particular emphasis placed on the teaching that occurred during the review period. Each unit will determine the format of these evaluative summaries. Regardless of the format used, the teaching summaries must include comparative data (e.g., averages and standard deviations) from other sections of multi-section courses and from the same - or, when applicable, comparable—courses taught by other faculty members in the recent past. The total enrollments and percent response rates should be included in the teaching summaries. If the teaching evaluations are unavailable or the comparisons are neither possible nor applicable, an explanation must be provided.

### 3. Outside Evaluations

The unit is responsible for obtaining at least five outside evaluations of the candidate's research. The unit must select all outside evaluators. In the case of a joint appointment, the secondary unit must be allowed to propose outside evaluators and to comment on evaluators proposed by the primary unit. Primary and secondary units should work together to obtain a suitable and representative group of



evaluators. An outside evaluation must be solicited from at least one evaluator nominated or approved by each secondary 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 the letter requesting the evaluation and informing the evaluator of the unit's relevant criteria for tenure or promotion (FM, Section II).

The external reviewers must have a minimum of the same rank and terminal degree required of the internal tenure and promotion committee. For example, an Associate Professor cannot evaluate a Full Professor candidate. Emeritus Professors qualify as external reviewers. External reviewers can be requested from non-academic entities or institutions that are not peer aspirants (FM); however, these should be the minority case (FM). Units should provide a justification for the selection of reviewers who are non-university specialists or who are from institutions that are not peer-aspirant.

The UCTP suggests that units use the general template letter provided by the Office of the Provost on request. When inviting candidates, units should avoid all suggesting/leading language or suggestive information on gender, ethnicity, or similar attributes. External review letters resulting from biased invitation letters may be excluded from consideration.

Persons “who have co-authored publications, collaborated on research, or been colleagues or advisors of the applicant normally should be excluded from consideration as outside evaluators” (FM). However, all evaluators “must...disclose any relationship or interaction with the applicant” (FM). It is suggested that units define conflict of interests within their discipline’s parameters in the unit criteria.

#### **4. Format**

It is the responsibility of the candidate and, where confidential materials are concerned, the chair of the unit's tenure and promotion committee to see that the file of each faculty member is arranged by the established format for tenure and promotion files. This format is published on the website <http://www.sc.edu/tenure/>. The candidate is allowed some flexibility and may edit the precise format of the tables contained in the primary file to accommodate differences between various disciplines. A key goal in preparing the file is to achieve clarity.

#### **5. Responsibilities**

The primary responsibility for operating all tenure and promotion procedures rests with the tenured faculty in each academic unit (FM, Section II). Part of the responsibility of the UCTP is to ensure that each unit has followed its own criteria and procedures.

#### **6. Secondary Files**

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. The secondary file may be electronic, or paper, or a combination of both. Consult III.B.1 and the FM for details. The secondary file should be delivered to the dean’s office when the primary file is electronically delivered to the dean’s office, but the

secondary file should be provided to the Faculty Senate Office by the date the primary file is electronically delivered to the Office of the Provost.

## **B. Contents of File**

### **1. Assembling the File**

The candidate and the academic unit should assemble files that contain the following items if and when relevant to the criteria and to the candidate under consideration:

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

### **2. Personal Statement**

The candidate is permitted to include a Personal Statement in the primary file, which may contain aspects of the candidate's teaching, research and scholarly accomplishments, and service to the university and the profession.

### **3. On Withholding or Removing Documents**

Neither the candidate nor any other person may bar or remove from a file any document or other evidence deemed relevant by the unit tenure and promotion chair, unit administrator, dean, or provost. Candidates may not direct that a document that they regard as unfavorable be withheld from the file. (ID, 3/6/78)

### **4. On Including Additional Materials**

No faculty member other than the candidate, unit administrator, 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 unit administrator may cite or quote from any evidence or personal experience not in the file. Such letters will be placed in the file.

## **5. Evaluations from Previous Years**

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

## **6. Teaching Component of the File**

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 peer and student evaluations. All such evidence shall be organized in reverse chronological order. The candidate, dean or unit administrator may include other evidence of teaching effectiveness.

## **7. Additions to File after Unit Vote**

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

1. Unit faculty vote justifications, and statements from the unit administrator, dean, and provost accompanying the file to the next steps of the procedure.
2. The votes and justifications of the members of the UCTP.
3. 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.
4. Letters from faculty members in the unit. Each faculty member, whether or not authorized to vote, may write to the unit administrator, and/or the dean and/or the provost. Each of these letters will become part of the file at the addressee's level. In the case of joint appointments, letters from the secondary units will also be included.
5. 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 the unit, the unit administrator, when appropriate, the secondary unit, the dean, the provost, and the UCTP.

## **C. Electronic Submission of Files**

### **1. Office of the Provost Website and Templates**

Files submitted electronically as portable document files (PDF) should use the templates available from the Office of the Provost's Tenure and Promotion website (<http://www.sc.edu/tenure/>). Some flexibility in the format is allowed if it increases the overall file clarity (see III.A.4). Guidelines for the compilation of files are available on this website.

### **2. Responsibility of the Unit Tenure and Promotion Committee Chair**

The chair of the unit's Tenure and Promotion Committee shall ensure that the file is correctly assembled and made available to the members of the unit committee for evaluation prior to the

discussion of the file. The unit's Tenure and Promotion Committee chair will append the votes and justifications of the committee members to the file before submitting it further.

### **3. Secure Server**

Files are stored on a secure server (Blackboard) using a unique ID and Password provided to all individuals with access to files, such as unit T & P committee members, Unit T&P chair, unit administrator, and dean. To preserve the security and confidentiality of the electronic review process, persons with qualified access should maintain sole ownership of ID and password in the electronic review process. To preserve confidentiality, persons with qualified access should retrieve online data only under controlled conditions where the information is not visible to others.

### **4. Hard Copies**

Other tenure and promotion files can be submitted as paper or electronic files using the forms available from the Office of the Provost's website.

## **D. Access to Files**

### **1. Candidates' Access**

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)

### **2. Secondary Units' Access**

The secondary units will have access to the complete files, including the outside letters.

### **3. Confidentiality**

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

### **4. Privacy of Downloaded Files**

Persons with qualified access are encouraged to read the file material on the server but may temporarily download files if necessary. File material should not be printed. All downloaded files should be secured using password protection or encryption. While accessing online data for the purposes of review, unit members should ensure they do so under controlled conditions where the information is not visible to others. At the end of the file review process, all downloaded material related to the file evaluation process should be deleted.

### **5. Unit Access to Hard Copy**

Each unit should maintain one hard copy of the file for unit members to examine.

## **6. Privacy of Votes**

Votes and vote justifications of unit faculty, and the recommendations of the unit administrator, when appropriate, the secondary unit, the dean, or the provost will not be revealed to the candidate. However, the dean will provide the candidate with the vote of the UCTP upon request.

## **7. Decision Feedback**

After the president has made their decision, the dean will have access to the files of candidates from their 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.

# **IV. Appendix: Guidelines for Developing Unit Procedures**

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

## **A. 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 for non-tenured tenure-track faculty is automatic unless the faculty member requests in writing that consideration be deferred until the following year.

### **1. On Leave**

The time during which the faculty member is on leave, either with or without pay, will not be counted as part of the probationary period (FM, Section II).

### **2. Extensions**

Non-tenured faculty members will be automatically granted an extension of the probationary period in the event of the birth or adoption of a child, or the death of the faculty member's spouse/partner or child if notice is provided in accordance with applicable university policy. An extension of the probationary period may also be granted upon request in the case of serious illness or death of a spouse/partner, child or close family member, the placement of a foster child or other circumstances, commitments or circumstances creating a need for additional time for the faculty member to demonstrate fully his or her professional qualifications for reappointment or tenure. Notification and documentation are required for both automatic and requested extensions. The guiding language for obtaining an extension are set forth in University Policy ACAF 1.31. Extension of Faculty Tenure-Track Probationary Period issued by the Office of the Provost (FM, Section II).

In cases where faculty members have been in probationary status for more than their normal probationary period due to an extension or extension(s) of the probationary period pursuant to University Policy ACAF 1.31 Extension of Faculty Tenure-Track Probationary Period, they shall be evaluated as if they had been in probationary status for the normal probationary period, not longer (FM, Section II).

## **B. Procedures at the Unit Level**

### **1. Notification**

Prospective candidates for tenure or promotion should be advised in writing by the dean, unit administrator 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, the unit administrator or other appropriate administrator at least one month in advance of the date when the file is due.

Before the end of the probationary period, a decision will be made to grant or deny tenure. If the decision is to deny tenure, notice will be given by letter dated and postmarked before the end of the penultimate year of the maximum probationary period. For faculty with a nine-month appointment, the penultimate year ends on May 15 for faculty with tenure start dates of August 16, and December 31 for faculty with tenure start dates of January 1. For faculty with a twelve-month appointment, the penultimate year ends on August 15. If notice is not given in the time and manner stated above, the appointment of the faculty member will thereafter be a continuous (or tenured) appointment (FM, Section II). Non-reappointment in conjunction with denial of tenure in the penultimate year may be grounds for a grievance under the full provisions of the Academic Grievance Procedures (FM, Section II).

### **2. Identification of Applicable Criteria**

#### **a. New Faculty**

New members of the faculty and persons transferred into tenure track positions must be informed in the offer of appointment of the tenure regulations applicable to the position. Any change in these regulations prior to the effective date of the appointment must be communicated to, and receipt acknowledged by, the new faculty member in writing and made a part of the faculty member's official record (FM, Section II).

#### **b. Faculty Hired on or After January 1, 1995**

Faculty members hired into the 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, unless the faculty member elects to be considered under the unit criteria and university standards in effect at the time of the application for tenure. 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).

### **c. Faculty Hired Prior to January 1, 1995**

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, except in cases of faculty who are in units that have undergone reorganization in which case they are subject to the provisions of Tenure and Promotion in Cases of Reorganization as stated below (FM, Section II).

## **3. Tenure and Promotion in Cases of Reorganization**

### **a. New or Merged Tenure Units**

If independent tenure units are merged to form a new tenure unit, or if one or more tenure units are subsumed by another tenure unit, or if a tenure unit is divided into several separate tenure units, tenure and promotion criteria and procedures for each new unit or units, or for the newly augmented unit, shall be developed by the affected tenured faculty and approved in accordance with the standard practice (FM, Section II).

### **b. Accommodating Differences Among Faculty**

These new tenure and promotion criteria and procedures should reflect and accommodate differences in faculty activities and specializations (FM, Section II).

### **c. Applicable Criteria and Appropriate Evaluators**

Until new tenure and promotion criteria and procedures have been approved for a new or reorganized unit, faculty members in the new or reorganized unit who are being considered for tenure or promotion or both, shall be evaluated under the criteria applicable to them prior to the reorganization. These faculty members may elect to have their file considered by the tenure and promotion committee of their prior unit as it existed before reorganization, or by the tenure and promotion committee of their new or reorganized unit. The file and recommendations of the committee shall then be forwarded, as appropriate, to the unit administrator and to the dean of the new or reorganized unit (FM, Section II).

### **d. Faculty Hired Prior to Reorganization**

Faculty in their probationary period who were hired before reorganization is completed, who are being considered for tenure or for their first promotion after reorganization, or both, may choose to have applied to them either the newly established criteria and procedures or the criteria and procedures applicable to them that were in effect when hired in the tenure unit preceding the reorganization. For all subsequent promotions, such faculty shall be subject to the criteria and procedures of the new unit (FM, Section II).

### **e. Faculty Hired Prior to January 1, 1995**

Faculty hired prior to January 1, 1995, may, within five years of final approval of the new tenure and promotion criteria and procedures, choose to have applied to them the criteria and procedures

applicable to them prior to reorganization. At the conclusion of the five-year period, the newly approved criteria and procedures for the reorganized unit must be applied (FM, Section II).

#### **4. Repository of Criteria for Tenure and Promotion Decisions**

Beginning on August 16, 2010, each unit shall maintain copies of all available versions of the unit criteria, along with a list indicating the date on which each became effective. Each unit shall submit copies of all available versions of the unit's criteria and the list to the Office of the Provost, which shall maintain a central repository of all available unit criteria, both current and historic. The provost shall maintain both electronic and hard copies of these materials (FM, Section II).

#### **5. Notification of Provost of Tenure and Promotion Candidates**

At least two weeks before the date when tenure or promotion files are due, the dean, unit administrator or other appropriate administrator shall notify the provost of each faculty member who intends to apply for tenure or promotion, the date on which the faculty member was hired, and whether the faculty member has chosen to be considered under the current criteria or the criteria in effect at the time they were hired (FM, Section II).

### **C. Faculty with Joint Appointments**

#### **1. Primary Unit**

The criteria for granting tenure or promotion to a jointly appointed faculty member shall be those of the primary unit. For faculty holding joint appointments, each secondary unit must be given an opportunity to propose outside evaluators and to comment on evaluators proposed by the primary unit. Primary and secondary units should work together to obtain a suitable, representative group of evaluators. In any event, an evaluation must be solicited from at least one evaluator nominated or approved by each secondary unit (FM, Section II).

#### **2. Secondary Unit Statement of Procedures**

Any tenure unit or program that is the secondary unit for one or more faculty members with joint appointments must have in effect a written statement of procedures by which the views of all faculty eligible to participate in evaluation of the candidate will be solicited and provided for inclusion in the candidate's file. A summary of faculty comments is permissible for this purpose. The written statement of procedures may be included in the unit criteria, in faculty by-laws, in another document adopted by or with the approval of the affected faculty, or in a memorandum of understanding (MOU) approved as provided below (FM, Section II).

#### **3. Primary Unit Requirements**

Any tenure unit that is the primary unit for one or more faculty members with joint appointments must include in its criteria, or in a MOU approved as provided below, processes for (1) involving each secondary department or program in the selection of outside evaluators; (2) making the candidate's file available to eligible faculty of each secondary unit; and (3) obtaining formal input



from the eligible faculty of each secondary unit and placing it in the candidate's file at least five working days prior to the unit's vote on the application (FM, Section II).

#### **4. Memorandum of Understanding**

The MOU should include (1) identification of the tenuring unit; (2) teaching load and split of teaching load between the primary and secondary units; (3) formula and criteria for sharing indirect cost return (IDCR) among the units; and (4) service responsibility load and split between the units.

The MOU should include signatures of the jointly appointed faculty member, the unit heads of the primary and secondary units, the deans of the colleges in which the units reside, and the provost. The teaching load for a joint appointment should not be greater than for a faculty member of the same rank in the primary unit. The service load for a joint appointment should be comparable to a normal service load of a faculty member of the same rank in the primary unit (FM, Section II).

#### **D. Local Unit Structure**

The tenured faculty of each academic unit shall serve as that unit's tenure and promotion committee. Tenure 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).

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

##### **1. Eligible Voters**

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 unit administrators, 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 who wants and is able to vote should be allowed to do so.

##### **2. Closed Meetings**

Meetings at which candidates are considered for promotion and tenure are closed to everyone except those eligible to vote on the candidate and a representative(s) of secondary unit(s). The representatives of secondary units are not allowed to vote unless chosen as a member of the T & P committee. However, 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 only for consideration at another administrative level.

### **3. Review Process**

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. Voting Requirements**

Each unit shall apply its criteria and procedures to determine whether a candidate qualifies for promotion, tenure, or both. All voting shall be conducted 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. It must be made explicit in the Unit Criteria the manner in which absentee ballots must be treated. 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 Justifications**

A 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, unit administrator (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.

## **F. Procedures Just After the Unit Voting**

### **1. Favorable Unit Vote**

If the unit vote is favorable to the candidate, the unit administrator 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 unit administrator 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 unit administrator.). The unit administrator 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.

## **2. Unfavorable Unit Vote**

If the unit fails to give the candidate a favorable vote, the unit's T&P chair or a designated senior faculty member will notify the candidate promptly and shall, upon request by the candidate, without attributions, provide the candidate with a written 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., unit administrator or dean).

## **3. Split Unit Vote**

If candidates receive both a favorable and unfavorable votes (e.g. "yes" for promotion; "no" for tenure), the candidate must make a written formal appeal of the unfavorable vote if they wish 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.

## **4. Appeal Just After Unit Vote**

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's 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 M.1.

## **5. Failure to Appeal Just After Unit Vote**

The chair of the unit's T & P 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.