

University of South Carolina – Columbia
University Committee on Tenure and Promotion

UCTP Guidelines for Units: Preparing Criteria and Files

[Approved by UCTP: April 19, 2017]

Abstract

The purposes of this document are: 1) to provide guidance to units in preparing and revising their criteria and procedures for tenure and/or promotion, and 2) to help tenure and/or promotion candidates and their units in the compilation, submission, and confidential handling of tenure or promotion files. This document should be made available to all unit administrators and their respective unit tenure and promotion chairs at the beginning of each academic year. This document will also be made available online on the Provost's website for both units and candidates to consult. Part I of this document deals with guidelines for developing unit criteria. Part II deals with the compiling, submitting, and accessing of tenure and promotion files. An appendix summarizes procedures for the tenure and promotion process at the unit level as specified in the 2012 Faculty Manual. This document is 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 now 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 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
- MOU = Memorandum of Understanding
- Provost = Written communication from Provost
- Senate = Minutes of Faculty Senate
- UCTP = University Committee on Tenure and Promotion

Table of Contents

I. Introduction.....	1
II. Guidelines for Developing Unit Criteria	1
A. Formulating Unit Criteria.....	1
1. Important Considerations	1
2. Clear Standards	2
3. Evaluating Performance.....	2
4. Defining Levels of Performance.....	2
5. Comparisons Beyond the Unit.....	2
6. Required Adjectival Standards and Terminology	2
B. Other Matters to Be Addressed in Unit Criteria and Secondary Unit Procedures	2
1. Additional Issues Requiring Specification	2
2. Discipline-specific Practices	3
C. Procedures for Approval of Criteria and Secondary Unit Procedures	3
1. Periodic Review	3
2. UCTP Vote: Positive	3
3. UCTP Vote: Negative	3
4. Mediation of Differences	3
III. Compiling, Submitting, and Accessing Individual Tenure or Promotion Files	4
A. Responsibilities	4
1. Candidate’s Responsibility	4
2. Teaching Evaluation	4
3. Outside Evaluations.....	5
4. Format	5
5. Responsibilities	6
6. Secondary Files	6
B. Contents of File	6

1.	Assembling the File.....	6
2.	Personal Statement.....	6
3.	On Withholding or Removing Documents	6
4.	On Including Additional Materials.....	7
5.	Evaluations from Previous Years	7
6.	Teaching Component of File	7
7.	Additions to File after Unit Vote.....	7
	C. Electronic Submission of Files.....	8
1.	Provost’s Office Website and Templates	8
2.	Responsibility of the Unit Tenure and Promotion Committee Chair.....	8
3.	Secure Server.....	8
4.	Hard Copies	8
	D. Access to Files	8
1.	Candidates’ Access.....	8
2.	Secondary Units’ Access	8
3.	Confidentiality	8
4.	Privacy of Downloaded Files	8
5.	Unit Access to Hard Copy.....	9
6.	Privacy of Votes	9
7.	Decision Feedback.....	9
	IV. Appendix: Guidelines for Developing Unit Procedures.....	9
	A. Eligibility for Tenure or Promotion	9
1.	On Leave	9
2.	Extensions.....	9
	B. Procedures at the Unit Level	10
1.	Notification.....	10
2.	Identification of Applicable Criteria.....	10
3.	Tenure and Promotion in Cases of Reorganization.....	11

4.	Repository of Criteria for Tenure and Promotion Decisions.....	12
5.	Notification of Provost of Tenure and Promotion Candidates.....	12
C.	Faculty with Joint Appointments.....	12
1.	Primary Unit.....	12
2.	Secondary Unit Statement of Procedures.....	12
3.	Primary Unit Requirements.....	12
4.	Memorandum of Understanding.....	12
D.	Local Unit Structure.....	13
E.	Voting at the Unit Level.....	13
1.	Eligible Voters.....	13
2.	Closed Meetings.....	13
3.	Review Process.....	13
4.	Voting Requirements.....	14
5.	Written Justifications.....	14
F.	Procedures Just After the Unit Voting.....	14
1.	Favorable Unit Vote.....	14
2.	Unfavorable Unit Vote.....	14
3.	Split Unit Vote.....	14
4.	Appeal Just After Unit Vote.....	15
5.	Failure to Appeal Just After Unit Vote.....	15

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 in 2016 and hereafter referred to as “FM,” will be 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 Promotion (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 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 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 to be considered 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 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 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

¹ In this document, we use the term “unit” or “tenure unit” to indicate 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, accessed on 2016-03-01) are: 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 for promotion of a faculty member shall provide clear standards for the assessment of past achievements. The tenured faculty of each academic unit shall formulate specific written criteria and procedures for tenure and promotion that are consistent with achievement of established goals. The criteria and procedures shall clearly communicate to faculty members 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 bear in mind the qualifications outlined in the FM. In the event of inconsistency between UCTP guidelines and the FM, the FM is to be considered 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 so as to assign a level of performance.

4. Defining Levels of Performance

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. 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

Some units may wish to rate their faculty not simply against colleagues in their unit, but against persons in other tenure units in their discipline or profession. If they do so, they should be clear in their criteria about the basis used for selecting those units.

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

In addition, 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)

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 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 Promotion along with his or her comments. (FM)

2. UCTP Vote: Positive

If the UCTP finds that the proposed criteria and procedures are consistent with the guidelines in the FM and the guidelines published by the UCTP and that they are sufficiently clear, then the UCTP shall approve the criteria and procedures, which then become effective on the next tenure start date, August 15 or January 1, unless otherwise specified. The decision of the UCTP should be conveyed to the unit within 120 academic days after the UCTP receives the proposed criteria and procedures. An "academic day" is a week day during the nine-month period when the university is in session. (FM)

3. UCTP Vote: Negative

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 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 agreement or if revised criteria are not expeditiously received by the UCTP, the chair of the UCTP or his or her designee shall convene a meeting of representatives of the unit, of the UCTP, and of the Provost's Office to attempt to resolve the issues on which the unit and the UCTP are in conflict.

4. Mediation of Differences

The Provost's Office will endeavor to resolve through mediation any differences remaining after the meeting. Any disagreements that cannot be resolved through mediation will be resolved by an ad hoc committee composed of those members of the Faculty Advisory Committee who are tenured full professors and members of the Grievance Committee. If necessary in order to comprise a

committee of at least five persons, the Chair of the Faculty Senate shall appoint one or more additional tenured full professors to the ad hoc committee. In resolving the disagreement, the ad hoc committee shall 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 preparation of the file on which the decision will be based. The candidate should see to it 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) The Provost office also provides a list indicating the expected order of materials in Tenure and/or Promotion files. Included in each file must be 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 evaluations as well as for providing student evaluation forms for candidate use.

Regarding the evaluation of classroom teaching of a candidate, the FM (p. 24) states:

Evaluation of Teaching: Procedures for the evaluation of 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 by noting, 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.

Unit criteria and procedures for the evaluation of 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 as well. Please note that it is the responsibility of the unit rather than the candidates to arrange these peer evaluations as well as to ensure that they are compiled and ultimately placed in each candidate's file.
- b. Student evaluations:** The FM also 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 should include comparative data 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. If such comparisons are neither possible nor applicable, a short explanation should be provided.

3. Outside Evaluations

The unit is responsible for obtaining at least five outside evaluations of the candidate's research. All of the outside evaluators must be selected by the unit. In the case of a joint appointment, 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 and representative group of evaluators. In any event, an 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).

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 individual faculty member is arranged in accordance with 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 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 unit's criteria and procedures in the operation of its tenure and promotion process.

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 contain paper documents (e.g., manuscripts, articles, and books), electronic media (e.g., CD, DVD, or Flash drive), or a combination of both supporting the claims of the candidate to tenure or promotion. Consult III.B.1 as well as the FM for further details concerning this required documentation. 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 delivered directly to the Faculty Senate Office by the date the primary file is electronically delivered to the Provost.

B. Contents of File

1. Assembling the File

Both 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 in the primary file a Personal Statement, 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. A candidate may not direct that a document that he/she regards 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 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 both 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:

- a. Unit faculty vote justifications, and statements from the unit administrator, dean, and Provost accompanying the file to the next steps of the procedure.
- b. The votes and justifications of the members of the UCTP.
- c. 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.
- d. 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.
- e. 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. Provost's Office Website and Templates

Files submitted electronically as portable document files (pdf) should use the templates available from the Provost's Office Tenure and Promotion website (<http://www.sc.edu/tenure/>). Some flexibility in the format is allowed if it serves the overall aim of clarity (see III.A.4). Guidelines for the compilation of files are available on this website as well. Hard copies are permitted in addition to electronic files if the former is required by the unit or college.

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 discussion of the file. The unit's Tenure and Promotion Committee chair shall 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 using a unique ID and Password provided to all persons who have 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 on-line data only under controlled conditions where the information is not visible to others.

4. Hard Copies

All other tenure and promotion files will be submitted as paper files using the forms available from the Provost's web site.

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 that 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 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.

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

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 or commitments 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. Complete procedures

for obtaining an extension are set forth in University Policy ACAF 1.31. Extension of Faculty Tenure-Track Probationary Period issued by the Provost's Office. (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 Provost's Office, 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 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.

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 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 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 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.

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.