

# CAS Post Tenure Review Policy FY2015-16.pdf

## Post-Tenure Review Policies and Procedures Template, March 2015

### HOW TO READ THIS TEMPLATE:

- Text that is underlined (and in Arial font) provides explanations or instructions.
- Text in standard font (Calibri) and not in brackets is required template text which must appear in each department's Post-Tenure Review Policies and Procedures, unless instructions that are underlined specify that language for that paragraph or section may be modified.
- Text [in standard font in brackets] is optional as it may be appropriate for only some departments in the College.

### HOW TO COMPLETE THIS TEMPLATE:

- Complete as a Word document employing the "track changes" feature, **making all changes, including additions and deletions, in "track changes."**
- Delete all underlined explanations or instructions.
- If employing optional text [in brackets], delete brackets; if employing only some of the optional text [in brackets] delete the optional language you are not employing and the brackets; if not employing this optional language [in brackets] delete all the language and the brackets.
- **Save the template with your changes as a new file including your department name in the file name.**

\*\*\*\*\*

These "Post-Tenure Review Policies and Procedures" were reviewed and discussed in the Department and are sent to the Dean's Office with my approval:

Department: [Click here to enter text.](#)

Department Chair: [Click here to enter text.](#)

Date: [Click here to enter text.](#)

## **Post-Tenure Review Policies and Procedures**

### **I. Introduction**

Post-tenure review (PTR) is a systematic, comprehensive evaluation of the academic performance of tenured faculty members. The goals of post-tenure review are to:

- 1) Promote faculty development;
- 2) Ensure continued professional productivity; and
- 3) Provide accountability.

The PTR process respects the basic principles of academic freedom and should be flexible enough to acknowledge different expectations in different disciplines and changing expectations at different stages of faculty careers. These policies and procedures conform to the basic principles and guidelines for post-tenure review as defined by the Office of the Provost, the UNC-Chapel Hill Board of Trustees, and the UNC Board of Governors.

### **II. Review Cycle and Notification**

Each faculty member is subject to post-tenure review no less frequently than every five years following the conferral of permanent tenure.

The Department Chair will notify a faculty member in writing at least six months prior to the start of the scheduled post-tenure review.

A comprehensive review for promotion during the same time period may be substituted for post-tenure review.

Department chairs are subject to post-tenure review through a process similar to that for regular faculty members and the appropriate timing for their review is determined by the appropriate Senior Associate Dean.

III. **Post-Tenure Review Committee (PTRC)**

Departments will include a version of this paragraph, modifying it to include language for how the PTRC is selected; its size and composition; and departmental timelines.

The post-tenure review process must involve faculty peers and is conducted by a Post-Tenure Review Committee [appointed by the Chair; elected by the department faculty] with a minimum of three tenured faculty members at or above the rank of the faculty member being reviewed. The faculty member being reviewed may not participate in the selection of PTRC members. All post-tenure review evaluators, including members of the peer review committee and the Chair, shall receive post-tenure review training as prescribed by UNC General Administration and UNC-Chapel Hill prior to participating in a post-tenure review process. The Department will follow prescribed procedures to verify that such training has occurred.

In the case of tenured joint appointments, the home/primary department and secondary department(s) will each conduct their own review. If each department agrees, the review may be carried out with one joint post tenure review committee that includes eligible faculty members from all appointing departments.

#### IV. Performance Standards

Departments may not modify this wording, but may include additional requirements:

While there are different performance expectations at different stages of a faculty member's career, the general standards that govern post-tenure review for all tenured faculty are:

- A demonstrated commitment to, and continuing achievement of, research [or its equivalent form in artistic performance and creative activity as appropriate to certain disciplines];
- A demonstrated commitment to, and continuing achievement of, teaching excellence; and
- Continuing service to the Department, University, community, state, nation and world, and to one's academic profession.

#### V. Review Documentation

Departments may not modify this wording, but may include additional departmental requirements:

The faculty member is responsible for providing the following documentation to the PTRC according to the Department's stated timeline:

- Concise self-assessment statements summarizing the faculty member's research, teaching, service and engagement accomplishments over the past five years and his/her goals for the next five years. Such goals may be modified annually by the faculty member, in consultation with the Chair.
- Access to the faculty member's annual reports for the previous five years
- Current, updated curriculum vitae, prepared according to University guidelines
- Peer faculty teaching observation reports
  - One peer faculty member of the same or higher rank must observe at least one complete class session for the faculty member being evaluated

for post-tenure review during the year prior to or the year in which the post-tenure review is conducted.

- Each peer faculty member observing a class is required to complete a Faculty Peer Teaching Observation Report for each class session observed, employing the College template and this report must be included in the PTRC's report.
- Summaries of student teaching evaluations with quantitative data for the past five years
- Include other department requirements (e.g., samples of teaching materials, list of research support) or additional information or material as requested by the PTRC

## VI. Procedures

Departments may modify this section to prescribe timelines and to include procedural details:

The PTRC will carefully review and consider the documentation provided by the faculty member under review, examining the qualitative and quantitative evidence of all relevant aspects of a faculty member's professional performance over the previous five years in relation to the mission of the Department, College and University.

The PTRC will prepare a written summary report of its conclusions and recommendations. In so doing, the PTRC recommends an assessment using a three-point rating scale – meets expectations, exceeds expectations, does not meet expectations/is deficient - regarding the faculty member's overall performance for the review period. The overall rating must be explicitly stated in the report and will serve as the basis for the Chair's rating determination.

The PTRC should identify and recognize outstanding performance, which should be considered by the Department in the determination of annual salary increases, nomination for awards and other recognitions. The PTRC should also identify any

specific areas in which the faculty member can improve with specific recommendations for improvement. If the faculty member's overall performance does not meet expectations/is deficient, the PTRC report will include a statement of the faculty member's primary responsibilities, specific shortcomings as they relate to the faculty member's assigned duties and directional goals established.

Departments may modify this section to describe how the PTRC report is transmitted within the department.

The PTRC will provide its written report to the Chair. In turn, the Chair will provide the report to the faculty member. The faculty member being reviewed may, but is not required, to provide a written response to the report of the PTRC to the Chair, who may share it with the PTRC. The Chair will review the PTRC report and (if provided) the faculty member's written response, and then meet with the faculty member to discuss all aspects of his/her overall performance. This meeting will be documented in a brief letter to the faculty member which also provides the Chair's summary assessment of the faculty member's PTR using the three-point rating scale – meets expectations, exceeds expectations, does not meet expectations/is deficient.

The Chair will maintain, as a part of the faculty member's confidential personnel file within the department, a record of the PTRC's report, any response to it, and a copy of the Chair's letter summarizing the PTR meeting.

#### **VII. Development Plan**

For a faculty member whose overall performance does not meet expectations/is deficient, a more comprehensive written plan for improvement (a Development Plan) will be prepared by the Chair in consultation with the faculty member. The Development Plan will be individual to the faculty member and flexible, taking into consideration the faculty member's intellectual interests, abilities and career stage, as well as the needs of the Department, College and University. The Development Plan

should describe changes, if any, to be made in the faculty member's teaching, research and/or service responsibilities, establish clear goals, specify steps designed to achieve those goals, and define indicators of goal attainment. If appropriate, it should identify any resources available for implementation of the plan. The Development Plan also should establish a clear and reasonable time frame (1-3 years) for completion of goals and state the consequences of failure to attain the goals. The use of mentoring peers is encouraged.

The Development Plan will serve as the basis for subsequent review, which must be carried out by the Chair with the faculty member at least twice annually to assess progress toward meeting the expectations of the Development Plan. The Chair will provide the faculty member with a written summary of these meetings and file them in the faculty member's confidential personnel file in the Department. When a faculty member has made clear improvement and successfully completed a Development Plan, the Chair should document this outcome in writing to the faculty member.

#### **VIII. Right of Appeal**

A faculty member whose overall performance does not meet expectations/is deficient has the right to appeal the findings of the PTRC, the Chair's evaluation and the recommendation for a Development Plan to the Dean.

Faculty members may grieve matters related to post-tenure review to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment.

#### **IX. Reporting and Records**

Using the appropriate electronic reporting system, the Chair will provide to the Senior Associate Dean:



- The faculty member's self-assessment statements, c.v., peer teaching evaluations, and summaries of teaching evaluations;
- A copy of the PTRC report, the faculty member's response if applicable, and a copy of the Chair's letter summarizing the PTR meeting with the faculty member;
- Additional material as deemed appropriate, (e.g., a Development Plan), or as requested by the Senior Associate Dean.

The Senior Associate Dean will conduct an evaluative review of the post-tenure review report and associated information and will document his/her approval by signature through the appropriate electronic reporting system.

In the case of a faculty member who fails to complete a Development Plan successfully and whose performance continues to be deficient, the Chair should notify the Dean, who will consider whether grounds for dismissal or other disciplinary action exists under *The Trustee Policies and Regulations Governing Academic Tenure*.

Copies of each unit's post-tenure review procedures, as revised from time to time, will be filed with the Dean's Office. Chairs will maintain a list of the faculty members reviewed each year, a record of completed reviews and faculty responses to the reviews, the names of all faculty members for whom a Development Plan was recommended and established, and a copy of new Development Plans. The Dean of the College will submit an annual report summarizing this information to the Office of the Provost.

The PTRC report, the faculty member's response (if applicable), the Chair's written conclusion and the Senior Associate Dean's approval documentation will be maintained as part of the faculty member's confidential personnel file within the department and in the Dean's Office.

The Dean's Office will provide instructions to Chairs for submittal of post-tenure review documentation in the spring semester.

**X. Requesting a Post-Tenure Review Delay**

A faculty member may request a delay of post-tenure review for compelling reasons including submittal of a letter of intent to retire, resign or apply for the Phased Retirement Program within the academic year of review.

To request a delay in post-tenure review, the faculty member should submit a written request to the Chair, specifying the compelling reason(s) for a delay. The Chair must add his/her written justification and signature, and submit it to the Senior Associate Dean for approval. Dean-approved requests are submitted to the Provost for review, after which a written communication from the Provost will be sent to the faculty member, the Chair and the Senior Associate Dean indicating either approval or denial of the request for delay of post-tenure review.