

SOPharm Post Tenure Review Policy FY2015-16.pdf

V. OTHER POTENTIAL ACTIONS

A. SUSPENSION, DIMINISHMENT IN RANK, DISCHARGE. During any fixed or probationary term appointment and while on permanent tenure, a faculty member may be suspended, diminished in rank or discharged from employment only on the grounds and in accordance with the procedures as outlined in the Trustee Policies and Regulations documentation.

B. NON-REAPPOINTMENT. A decision not to reappoint upon expiration of a probationary term at the rank of Instructor, Assistant Professor or Associate Professor in the tenure track may be made in the first instance by the Dean of the School of Pharmacy upon the recommendation of the appropriate Division Chair and after consultation with the assembled Full Professors Committee. A decision not to reappoint is final, except as it may subsequently be reviewed in accordance with the guidelines of the Trustee Policies and Regulations document. Such a decision may take into account, in whole or in part, any factors deemed relevant to total institutional interests, including funding and programmatic need. However, the decision not to reappoint may not be based upon (1) exercise by the faculty member or rights of freedom of speech guaranteed by the First Amendment to the Constitution of the United States or by Article 1 of the Constitution of North Carolina, or (2) discrimination based upon race, sex, religion, sexual orientation, or national origin of the faculty member, or (3) personal malice. A decision not to reappoint shall be communicated in writing to the faculty member by the Dean within the times prescribed by the Trustee Policies and Regulations document. This document details the procedures a faculty member must follow to request an administrative conference and, if necessary, review by a hearings committee, the Chancellor and the Board of Trustees.

VI. TENURE

A. POLICIES GOVERNING THE GRANTING OF TENURE. Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment. More specifically, it refers to the protection of a faculty member against involuntary suspension or discharge from, or termination of employment with, the University, except upon specified grounds and in accordance with specified procedures. This information may be found in the Trustees Policies and Regulations Governing Academic Tenure document.

Tenure is not earned, but rather is granted by the University following an assessment of institutional needs and resources and evidence of service to the academic community, potential for future contribution, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to effective teaching, research and public service. Tenure may be withheld on any grounds other than those specifically stated to be impermissible in the Trustee Policies and Regulations.

B. POLICIES GOVERNING POST-TENURE REVIEW. The fundamental purpose of post-tenure review in the School of Pharmacy is to advance the School's mission. In order to achieve this purpose, the review process should assist individual faculty members in their ongoing professional development, in particular in their efforts to enhance their skills as educators, their accomplishments as scholars, and their contributions to the profession and the public. The review process is intended to foster constructive dialogue between colleagues, a dialogue

characterized by fairness, mutual respect, a desire to learn, open-mindedness, and appreciation for the importance of academic freedom. The process of review also serves to enhance a sense of accountability within the School of Pharmacy and the University. The process conforms to the Framework for Implementation of Post-Tenure Review adopted by the University's Board of Trustees and the University Board of Governors. The system of post-tenure review supplements, rather than substitutes for, other systems of review, including annual reviews, reviews for promotion, or reviews associated with other personnel actions taken pursuant to University policies on matters relating to faculty conduct and performance.

A post-tenure review is conducted every five years from the effective date of conferred permanent tenure. The fundamental purpose of post-tenure review in the School of Pharmacy is to ensure that all tenured faculty are contributing to achieving the School's mission and maintaining the School's leadership role in scholarship. An important characteristic of many programs in the School of Pharmacy is the emphasis on interdisciplinary (team) approaches to targeted areas of excellence.

All members of the faculty of the School of Pharmacy are expected throughout their careers to maintain the standards of excellence in teaching, scholarship, and service that are set forth in this document. Evaluation of performance will take into account changing expectations at different stages of faculty careers.

VII. PROCEDURES

The procedures outlined below apply to initial appointments conferring permanent tenure; appointments for a fixed or probationary term longer than one year; promotions in rank; and reappointment at the rank of instructor, assistant professor, or associate professor (the latter conferring tenure in the tenure-track appointment series). Initial appointments or reappointments to terms not exceeding one year may be initiated by the Division Chair with concurrence from the Dean.

A. RECRUITMENT (AFFIRMATIVE ACTION PLAN). The Affirmative Action Plan of the University of North Carolina at Chapel Hill has been adopted by the Chancellor and represents the official commitment of the University. Fundamental to this Plan is the affirmative commitment of the University to equal employment and to establishing a diverse community of scholars. It is the University's policy to recruit, hire, develop, and promote without regard to race, color, religion, sex (except where sex is a bona fide occupational qualification), national origin, age, disability, sexual orientation, or veteran status; to base decisions on employment so as to further the principle of equal employment opportunity; to ensure that promotion decisions are in accord with principles of equal employment opportunity by imposing only valid requirements for promotion; and to ensure that all personnel actions (compensation, benefits, transfers, layoffs, terminations, sponsored training, education, tuition assistance, social and recreational programs) are administered in accord with the principles of equal opportunity.

B. APPOINTMENT. In accordance with the University's Affirmative Action Plan, the Division Chair, in consultation with the School's Office of Human Resources, will prepare a suitable advertisement and name an appropriate search committee. Both the advertisement and the composition of the search committee must be approved by the School's Equal Employment

Opportunity Officer, the Dean, and the University Equal Opportunity/ADA Officer before a search may commence.

Following receipt of applications and review by the Search Committee, external references will be requested for selected candidates to obtain information on issues relevant to the appointment. Such information will depend on the nature of the appointment (tenure-track, clinical, research, adjunct), rank, and the primary area(s) in which the appointment is being made (to support the teaching, research, and/or service mission of the School).

One or more selected candidates will be interviewed by the members of the recruiting Division, the Division Chair, the Dean, and relevant stakeholders within and outside the School. Each candidate will be required to present a seminar, open to the entire School, as part of the formal interview process, except in the cases of adjunct appointments, joint appointments when the School of Pharmacy is the secondary appointing unit, and for community-based faculty positions when the primary focus of the appointment is to serve as a preceptor in the School's experiential education program. Following the interview, the Search Committee Chair will solicit comments from all participants for consideration by the Search Committee. The Search Committee Chair will convey the Committee's recommendation to the Division Chair.

Full Professors will be invited to meet with the faculty candidate who will be proposed by the Division Chair for initial appointment at the Associate Professor or Professor rank. Such a meeting may be with the Full Professors Committee (for example through a scheduled "open hour"), or more commonly with individual Full Professors. The meeting with the Full Professors Committee, if selected, typically occurs during the candidate's second interview. Meetings with individual Full Professors can occur at any time during the interview process. Candidates proposed for appointment at the rank of Associate Professor must meet with a simple majority of the Full Professors. Candidates proposed for appointment at the rank of Full Professor must meet with at least two-thirds of the Full Professors in the School. Candidates proposed for appointment at the Assistant Professor rank, or at any rank in a fixed-term appointment series, are not required to meet with the Full Professors.

A vote of the Full Professors must precede completion of an appointment recommendation for all new appointments, with the exception of one-year fixed-term appointments. For all other fixed-term appointments, as well as tenure-track appointments that do not confer tenure, a vote must be obtained at a meeting of the Full Professors Committee.

To finalize the appointment recommendation, the Division Chair must communicate the recommendation in writing to the Dean. This recommendation letter should include all relevant information regarding the selected candidate's qualifications for appointment. The Dean, in turn, submits the final recommendation for appointment to the Office of the Provost.

C. REAPPOINTMENT

The Trustee Policies and Regulations document requires that faculty receive periodic formal consideration for reappointment or promotion. The review process leading to reappointment, however, differs by appointment series and rank. In addition to these formal reviews, it is the responsibility of the Division Chair to meet annually with each faculty member and to

communicate in writing the goals related to teaching, scholarship/research, service and professional collegiality qualities. This evaluation will become part of the documentation considered by the Division Chair for reappointment/promotion.

Fixed-term appointments. The faculty member must be reviewed by her or his Division Chair no less than 12 months prior to the expiration of the current appointment. The faculty member should provide a current curriculum vitae and, where appropriate (i.e., for faculty with teaching obligations as an expectation of the position), a teaching portfolio for review. It is expected that the Division Chair will consult with the Division faculty of rank equal to or higher than the rank sought by the individual under review as part of the review process. The individual's performance, her or his relevance to the mission of the Division and the School, and the continued availability of funding are factors that must be taken into account when considering the question of reappointment for fixed-term faculty. Upon completion of the review, the Division Chair will make a recommendation regarding reappointment to the Dean.

Tenure-track assistant professors. Initial appointment for assistant professors in the tenure track is for a four-year term. No later than the end of the third year, a recommendation must be made regarding reappointment to a second, three-year term. Therefore, a formal review must be undertaken in the latter half of the assistant professor's third year. The candidate must provide a current curriculum vitae, a teaching portfolio, a reflective self-evaluation, and a plan for the subsequent term as part of the documentation for review. The candidate will be reviewed by the Division Chair. It is expected that the Division Chair will consult with the Division faculty of rank equal to or higher than the rank sought by the individual under review as part of the review process. Upon completion of this phase of the review, the Division Chair will compose a letter to the Full Professors Committee communicating a recommendation regarding reappointment to a second three-year term. The Division Chair will present the case at a regularly scheduled meeting of the Full Professors, who will communicate their recommendation to the Dean. A final recommendation regarding reappointment will be provided by the Dean to the Provost.

Tenured associate professors. Review is required during the fifth year after appointment or promotion to this rank, and every five years thereafter, consistent with the University's post-tenure review process. However, the decision to pursue or forego consideration for promotion to the rank of professor must be made at this time as well. If the faculty member, in conjunction with the Division Chair, decides to pursue review for promotion to full professor, the review process is governed by the procedures specified for promotion. If the faculty member, in conjunction with the Division Chair, decides not to pursue review for promotion to full professor, the review process is governed by the procedures specified for post-tenure review.

Full professors. Full professors are reviewed at five-year intervals, consistent with the University's post-tenure review policy.

D. PROMOTION

Peer review for faculty under consideration for promotion in rank, and/or for the awarding of tenure, is an important element in the promotion and tenure process. For the purposes of review for promotion and/or tenure, "peers" are defined as those faculty at or above the rank under

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consideration. The candidate's dossier (AP-2 form, curriculum vitae, teaching portfolio, reflective and planning statements) will be made available to peers within the candidate's Division. The Division Chair will convene a meeting of these peers to discuss the candidate's strengths, weaknesses, and to receive a recommendation (by written vote of all those in attendance) of the Division. The tabulated vote must be reported in the Division Chair's summary statement to the Full Professors Committee. In addition, written commentary will be invited by the Division Chair from the candidate's peers in the other Divisions in the School. Contributing to this evaluation process, while not mandatory, is an expectation of members of a community of scholars.

The candidate and the Division Chair should meet to discuss the outcome of the internal peer review process. If this process suggests a lack of enthusiasm for the requested action, or uncovers potential weaknesses in the candidate's case, the decision may be made at that time, by the candidate, to withdraw the requested action. However, if the decision is made to proceed, the candidate must undergo external peer review. A minimum of four external reviewers, at or above the rank under consideration and independent of a prior relationship with the candidate, will be selected. The candidate should present a list of potential reviewers to her or his Division Chair. The Division Chair selects two reviewers from this list; selection of the remaining reviewers should be made independent of the candidate. A letter communicating the request for review, together with the candidate's material (curriculum vitae, teaching portfolio, reflective and planning statements) and a copy of the School's ***POLICIES AND PROCEDURES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTION, AND TENURE FOR FACULTY IN THE SCHOOL OF PHARMACY***, will be sent to each external reviewer. A copy of the letter of solicitation for review becomes part of the permanent documentation for the requested promotion/tenure action.

Following completion of internal and external peer review, the Division Chair will present the requested action, including the candidate's materials, the Division Chair's summary letter, and all written internal and external letters of review, to the Full Professors Committee. Upon completion of their deliberation, the Full Professors will communicate their recommendation to the Dean. In addition, the Chair of the Full Professors Committee will notify the candidate of the Committee's decision, along with any relevant recommendations. Upon receiving the advice of the Full Professors, the Dean will forward a recommendation for action to the Provost.

The recommendations of the Chair, the Full Professors Committee, and the Dean may be shared with the candidate as a particular action is in process. It is understood, although should be reinforced to the candidate, that these are merely recommendations for action, and do not guarantee a particular outcome. However, once a requested action has been forwarded by the Dena to the Provost, no further information should be provided to the candidate until a final decision has been rendered and communicated by the Provost or the Chancellor. Any public announcement of a reappointment or promotion, or the granting of tenure, should occur only at the time that the particular action becomes effective and not at the time of final approval.

Consideration of promotion for faculty with fixed-term appointment is pursued in a manner identical to that described above, with the exception that initial appointment and promotion to higher ranks in this series require a minimum of two external letters (for promotion, those letters

must be from individuals without a prior relationship with the candidate). Depending upon the individual situation, however, external commentary may be helpful. The decision to include external peer review as part of the documentation provided to the Full Professors Committee is left to the discretion of the candidate and her or his Division Chair.

E. Tenure.

Tenure refers to the conditions and guarantees that apply to a faculty member's employment, particularly with respect to the protection of a faculty member against involuntary suspension or discharge from her or his position by the University except upon specified grounds and in accordance with specified procedures. The protections accorded by tenure to members of the faculty are intended to secure individual academic freedom and to aid the University in recruiting and retaining the highest quality faculty. Conferral of tenure requires an assessment of institutional needs and resources, evidence of service to the academic community, evidence of the potential for future contributions, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to providing effective teaching, advancing scholarship, and contributing to the broader community.

No recommendation for a promotion or reappointment which will confer permanent tenure may be initiated until the candidate has been a member of the University faculty for at least 18 months. Any recommendation for a promotion or reappointment which will confer permanent tenure must have an effective date within 18 months of initiation of the recommendation. With the explicit exception of actions that also confer tenure, promotions in rank may be made at any time during a faculty member's employment with the University.

Actions that result in the conferral of tenure (promotion to the rank of associate professor in the tenure track; reappointment of an untenured associate professor in the tenure track) are pursued in a manner identical to that described for promotion in the preceding section.

F. Post-tenure review.

Once every five years, each tenured member of the faculty (associate and full professors) must undergo formal review. The Full Professors Committee serves as the School's post-tenure review committee, and is responsible for the conduct of the review, for formulating recommended action, and for communicating those recommendations to the faculty member and the Dean.

Prior to the review, the faculty member should meet with the Division Chair to summarize progress made during the time since the last post-tenure review (or since the granting of tenure in the case of the first post-tenure review). In advance of the Full Professors Committee meeting, the faculty member should provide the Division Chair with an updated current curriculum vitae, an updated teaching portfolio, a reflective self-evaluation of the preceding five-year period, and a plan of action for the subsequent five years. Additional evidence for the review may include copies of publications and other documentation of contributions and accomplishments. The Division Chair must provide her or his summary and recommendation to the Full Professors, together with the faculty member's material and copies of annual reviews for the years under consideration.

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Peer evaluation of teaching is an especially important component of the post-tenure review process. Peer review of syllabus materials, visitation of classes, and other indicators of teaching will be conducted in order to enhance the insights of the faculty as a whole about teaching and to provide relevant information on the faculty member being reviewed. As a general matter, the Division Chair will work with the faculty member being reviewed to arrange for visitation in at least two class sessions of at least two courses during the year prior to or the year in which the post-tenure review of an individual faculty member is conducted.

The post-tenure review assessment shall include, in writing, at least three categories which clearly specify that the faculty member's performance meets, exceeds or does not meet expectation. These categories may include scholarship (Education, Discovery or Application), the faculty members contribution to teaching, broad contributions to the organization as reflected by willingness to undertake service commitments to the School, the University and outside constituencies including professional associations, and administrative responsibilities.

The Full Professors Committee will advise the Dean on the faculty member being reviewed; this advice also will be conveyed to the Division Chair. The Full Professors Committee will consider whether the faculty member being reviewed is performing at a satisfactory level or has substantial deficiencies in performance that need to be addressed through creation of a development plan, which will be communicated to the faculty member by the Dean in writing. The faculty member being reviewed must be given an opportunity to provide a written response to the report of the Full Professors' Committee.

The Division Chair shall review the committee's report, including any written response provided by the faculty member. His/her review along with all of the report information from the committee, and the faculty member's response, shall be provided to the Dean. The Dean shall also conduct an evaluative review of the information provided.

In the event that the Dean and Division Chair conclude that the faculty member being reviewed has a record of overall performance that reflects substantial deficiencies that must be addressed, the Division Chair and the faculty member being reviewed will meet to formulate a development plan designed to assist the faculty member in removing deficiencies in performance. The development plan will include clear goals, indicators of goal attainment, a reasonable time frame for the completion of goals, and a statement of consequences if the goals are not reached. The performance of a faculty member who is found to have substantial deficiencies in overall performance and who is working on completion of a development plan will be reviewed by the Full Professors Committee on an annual basis for a period of up to three years, until such time as substantial deficiencies have been remedied. In the event that substantial deficiencies in performance continue to exist at the end of the three-year period, the Dean will consider whether action should be initiated pursuant to the Trustee Policies and Regulations Governing Academic Tenure or other steps taken to address the substantial deficiencies in performance.

Appeals of Findings of Substantial Deficiencies and Development Plans. Faculty members found by the Division Chair and the Dean to have substantial deficiencies in performance and for whom a development plan is established may appeal the finding of substantial deficiency or the terms of the development plan within 30 days of receiving a final letter from the Dean including such findings and development plan. Appeal rights are as provided for in the University's policy on post-tenure review.

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Annual Reports Filed with Provost. As provided in the University policy on post-tenure review the Dean will file annual reports to the Office of the Provost specifying the names of faculty members reviewed during the previous year, the names of faculty members for whom a development plan was recommended and established, and the names of faculty members who were subject to review in that year but for whom a delay was requested (along with the reasons for delay).