

SSW Post Tenure Review Policy FY2015-16.pdf



UNC

SCHOOL OF SOCIAL WORK

CRITERIA FOR POST-TENURE REVIEW

STATEMENT OF PURPOSE: The purpose of post-tenure review is to provide a systematic process for the periodic, comprehensive review of the performance of all tenured faculty members whose primary duties are research; engagement; and teaching, advising, and mentoring. This process serves as an additional means of fostering the School's mission of educational excellence, including its goal of contributing to the development of knowledge through scholarship and engagement and providing high-quality instruction to its students. Post-tenure review serves to enhance a sense of accountability within the School and the University. The post-tenure review process should respect the basic principles of academic freedom. Post-tenure review does not abrogate, in any way, the due process criteria or procedures for dismissal or other disciplinary action established under the Trustee Policies and Regulations Governing Academic Tenure. The policies and procedures presented below incorporate the basic principles of the policies established by the Board of Governors in Sections 400.3.3 and 400.3.3.1 of the UNC Policy Manual.

SCHEDULE FOR REVIEW: All tenured members of the faculty will be reviewed in 5-year cycles. Members of the faculty who are appointed or promoted to tenured positions in subsequent years will be brought into the 5-year cycle so that they participate in the process of post-tenure review no later than 5 years after the effective date of tenure. If necessary, adjustments in the schedule of review may be made to meet the needs of individual faculty members and the institution. The Dean will advise faculty members who will undergo post-tenure review in any given year a minimum of six months in advance of an upcoming post-tenure review.

A. RELATION TO OTHER FORMS OF REVIEW: The system of post-tenure review will supplement, rather than substitute for, other systems of review, including those relating to tenure and promotion, annual feedback in years prior to tenure, appointment to distinguished chairs, salary determinations, yearly evaluation meetings with the Dean, or personnel actions taken pursuant to University policies on tenure and promotion and other matters relating to faculty conduct and performance.

B. PROCESS: The following guidelines outline the process that post-tenure review should follow. This process should identify and recognize outstanding performance of faculty members and may also identify specific areas in which faculty members can improve and, in such cases, the process should result in specific recommendations and plans for improvement:

- **General Principles.** The post-tenure review process should be as simple, straightforward, fair, functional, and flexible as possible.
- **Obligation of Confidentiality.** All matters relating to individual post-tenure reviews will be regarded as confidential in nature. All faculty members who participate as members of the Post-Tenure Review Committee (PTR Committee) or otherwise advise on individual cases will take seriously their obligation to abide by this requirement.
- **Participation of Faculty Member Being Reviewed.** Each faculty member who is to undergo review in a given year will take an active role in the post-tenure review process by assisting with planning, preparing relevant background information, engaging in constructive dialogue with colleagues and the Dean, and undertaking a development plan if needed to address deficiencies in performance.
- **Composition and Duties of the PTR Committee.** In consultation with the Dean, the School's PPT Committee will appoint an individual PTR Committee for each faculty member under review. Each PTR committee will have a minimum of three committee members, with at least one member who is also a member of the PPT Committee. In addition, after inviting nominations from the PPT Committee and the faculty member under review, the Chairperson of the PPT Committee will arrange for additional members of the faculty to serve on the PTR Committee. All members of the PTR Committee must be members of the School of Social Work tenure-track faculty and must be at equal or higher rank as the person under review. After completing its review of the contributions of the faculty member, the PTR Committee will provide a written report and recommendation to the Dean. In summarizing the contributions of faculty members, the PTR Committee will determine whether the performance of the faculty member under review meets, exceeds or does not meet expectations. If deficient, the PTR Committee will

recommend to the PPT and the Dean that the faculty member prepare a development plan specifying actions to remedy his or her deficiencies.

The Post-Tenure Review Committee will consult with the Dean and provide to the faculty member and the Dean a written summary of its conclusions with regard to the faculty member's overall performance and, where appropriate, its recommendations. The faculty member being reviewed must be given an opportunity, by the Dean, to provide a written response to the report of the Post-Tenure Review Committee.

UNC-Chapel Hill shall provide ongoing support and training for all post-tenure review evaluators, including peer review committee members, department chairs or academic unit heads, and deans. UNC General Administration will provide digital training modules that focus on the basics of state personnel policy and UNC policies, regulations, and guidelines related to personnel and tenure; the essential elements of a useful and thoughtful review; how to prepare, conduct and manage a meaningful review process; and how to provide constructive criticism in a positive manner. UNC-CH shall ensure that all post-tenure review evaluators review these modules and receive training in campus-specific policies and procedures. In submitting the requisite annual post-tenure review reports, the Provost will also certify that required training has been conducted.

- **Information Considered During Review Process:** The review should involve an examination of qualitative and quantitative evidence of all relevant aspects of a faculty member's professional performance over at least the previous five years in relation to the mission of the department, school and institution, If a faculty member's responsibilities do not include teaching, research and public service, but instead focus primarily on one or two of these areas, the review shall take this allocation of responsibilities into account.
 - **Self-Assessment By Faculty Member:** The faculty member being reviewed will prepare a written self-assessment indicating accomplishments during the past five years and goals for the next five years. Self-assessments should be approximately two single-spaced pages in length.
 - **Background Information:** The faculty member will also prepare a file that includes:
 - a copy of up-to-date curriculum vitae (CV);

- teaching evaluations for the past 5 years;
 - scholarly work completed since the last review (three to five examples of work that best represents the faculty member’s contributions) ; and
 - information concerning significant professional and public engagement¹
- **Peer Visitation of Classes.** Peer visitation of classes will be conducted to enhance the insights of the faculty as a whole about teaching and to provide relevant information on the faculty member being reviewed. The purpose of the visit is to observe the faculty in a typical classroom activity. As a general matter, the PTR Committee will arrange for visitation in at least one class session of at least one course during the year prior to or the year in which the post-tenure review of an individual faculty member is conducted. One or two members of the PTR committee will conduct the peer visitation. Before visitation, faculty members under review will meet with the member(s) of the PTR Committee to plan for a class visit and to describe the objectives and activities for the class session to be observed. The faculty member under review will provide the PTR Committee member(s) with a course syllabus. These visitations are intended to be as unobtrusive as possible. The date and time of the in-class observation should be announced to students prior to the class. The reviewer(s) shall submit a report of the classroom observation to the PPT using the Peer Observation Form, which is available from the Dean’s Administrative Assistant.
- **Determination Regarding Overall Performance.** The PRT Committee will submit its summary review and recommendations to the PPT Committee and the Dean. The Dean will advise the faculty member being reviewed whether he or she believes that the faculty member’s performance meets, exceeds or does not meet expectations. The post-tenure review process should identify and recognize performance that exceeds expectations. The process may also identify specific areas in which faculty members can improve and, in such cases, the process should result in specific recommendations and plans for improvement. For faculty members whose overall performance does not meet expectations, the report of the Post-Tenure Review Committee shall include a statement of the faculty member’s primary responsibilities, directional goals established, specific descriptions of shortcomings as they relate to the faculty member’s assigned duties, and a more comprehensive plan for improvement (a development plan) should be prepared.

¹ The Dean may also provide additional written information that may be pertinent, including information developed during periodic merit reviews and information relating to the faculty member’s ongoing work within the institution.

Establishment and Monitoring of Development Plan. Development plans should be established jointly by the faculty member being reviewed and the Dean on the basis of the evaluation and recommendations provided by the Post-Tenure Review Committee. Faculty development plans should be individualized and flexible, taking into account the faculty member's intellectual interests, abilities, and career stage, as well as needs of the unit and institution. 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, define indicators of goal attainment, establish a clear and reasonable time frame for the completion of goals, identify any resources available for implementation of the plan, and state the consequences of failure to attain the goals. The use of mentoring peers is encouraged, and progress meetings with the Dean must occur on at least a semi-annual basis during the specified time frame. Annual reviews should also be used to assess progress toward goals specified in the plan. The Dean should acknowledge in writing a faculty member's clear improvement and the successful completion of a development plan.

Role of the Dean:

- The Dean will consider the PTR Committee's report and the faculty member's comments in preparing a memo to the faculty member conveying the results of the review. The Dean will maintain the PTR Committee's written summary and the faculty member's response, if any, as part of that faculty member's confidential personnel file, along with all background information and other materials used in connection with the post-tenure review.
- The Dean shall review the committee's report, including any written response provided by the faculty member.

E. APPEALS AND REPORTS TO THE PROVOST:

- ***Appeals of Findings of Deficiencies and Development Plans.*** 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.

In the case of a faculty member who fails to complete a development plan successfully and whose performance continues to be deficient, the Dean should notify the Provost, who will consider whether grounds for dismissal or other disciplinary action exist under the Trustees Policies and Regulations Governing Academic Tenure. Dismissal or severe sanction may be imposed only in accordance with and on the grounds stated in the *Trustees Policies and Regulations Governing Academic Tenure*.

- **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).

Procedure for Requesting a Post Tenure Review Delay

- Requests to delay an upcoming post tenure review should be submitted to the faculty member's Dean in advance to ensure timely departmental processing of the request.
- Requests must be in writing and specify the compelling reason(s) for the request to delay the review.
- Requests must include a written justification from the Dean, and be approved by the next higher level administrative officer (or his/her designee).
- Approved requests are then submitted to the Executive Vice-Provost and Chief International Officer for review and approval. Once the request is reviewed, a written communication will be sent from the Provost's Office to the faculty member and the Dean indicating whether the request has been approved.
- If the request is approved, the faculty member's academic unit must then complete an electronic action in the existing system, with the Provost's letter of approval attached, to finalize the change to the Post Tenure Review date.