

SOE Post Tenure Review Policy FY2015-16.pdf

March 28, 2012

Revisions May 10, 2013 per advice of UNC Legal Counsel

Revisions approved by SOE Faculty vote November 20, 2013 & April 23, 2014 meeting

Part IV

Post-Tenure Review

The Trustee Policy for Review of Tenured Faculty, effective September 1, 1998.

Purpose: Post-tenure review is a systematic process for the periodic, comprehensive review of the performance of all faculty members having permanent tenure and whose primary duties are teaching, research and service. The goals of post-tenure review are to promote faculty development, ensure faculty productivity and provide accountability. 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 Memorandum #371.

Policy: Each faculty member is subject to post-tenure review no less often than every five years following the conferral of permanent tenure. Reviews must examine all aspects of a faculty member's academic performance and must involve faculty peers. Comprehensive evaluations conducted for other purposes, such as a review for promotion, may be substituted for or combined with post-tenure review. A review may be delayed for compelling reasons approved by the Provost.

Procedures: . . . The unit head shall notify a faculty member at least six months in advance of an upcoming post-tenure review.

- 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. Each faculty member being reviewed should provide a concise summary of accomplishments and plans. Additional evidence for the review may include annual merit reviews, a current curriculum vita, copies of publications, evaluations of teaching, and other documentation of contributions and accomplishments.*
- The Post-Tenure Review Committee will provide to the faculty member and the unit head a written summary of its conclusions with regard to his or her overall performance and, where appropriate, its recommendations.*
- The faculty member being reviewed must be given an opportunity by the unit head to provide a written response to the report of the Post-Tenure Review Committee. The unit head will maintain a record of the Committee's report and any response to it as a part of the faculty member's confidential personnel file within the unit. When the unit head is being reviewed, the administrative officer at the next higher level will assume the function of the unit head in the review process.*
- The post-tenure review process should identify and recognize outstanding performance by faculty members. 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 reflects substantial*

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deficiencies, a more comprehensive plan for improvement (a development plan) should be prepared.

- *Development plans should be established jointly by the faculty member being reviewed and the unit head 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 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. Annual reviews should be used to assess progress toward goals specified in the plan. The unit head should acknowledge in writing a faculty member's clear improvement and the successful completion of a development plan.*
- *A faculty member whose overall performance has been found to show substantial deficiencies and for whom a development plan has been recommended will have the right to appeal the findings of the Post-Tenure Review Committee and the recommendation for a development plan to the dean or next higher level administrative officer beyond the unit head, whose decision shall be final.*
- *In the case of a faculty member who fails to complete a development plan successfully and whose performance continues to be deficient, the unit head should notify the dean, 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.*

School of Education General Policies

All matters relating to post-tenure review are confidential. All those who participate as members of the Post-Tenure Review Committee or who otherwise advise on individual cases should be advised of their obligation to abide by this requirement.

Comprehensive evaluations conducted for other purposes, such as promotion, may be substituted for post-tenure review. Annual reports may inform but not substitute for the post-tenure review.

The faculty believes that the post-tenure process should be as efficient, straightforward, fair, functional, constructive, and flexible as possible.

Responsibilities of the Dean

The Dean is to ensure that each tenured faculty member is reviewed at least once every five years following conferral of permanent tenure. More frequent review may be made at the discretion of the Dean. The review must examine all aspects of faculty activities and

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performance. Each faculty member who is to undergo review will be advised by the Dean of the upcoming review at least six months before the start of the review.

The Dean will review the Post-Tenure Review Committee's work and determine if additional consultation/review is needed. If the Post-Tenure Review Committee concludes that the faculty member being reviewed has a record of overall performance that reflects substantial deficiencies, the Dean will meet with the faculty member and establish a development plan designed to assist the faculty member in addressing such deficiencies. The plan should include clear goals, specific steps designed to achieve those goals, definite indicators of goal attainment, a clear and reasonable time frame for implementation of the plan, and identification of the consequences of failure to attain the goals. Faculty development plans should be individualized and flexible, taking into account the faculty member's intellectual interests, abilities, and career stage, as well as the needs of the School. The plan will be filed in the faculty member's personnel file. In the event that a development plan is established, the faculty member in question is reviewed on an annual basis by the Dean until such time as the faculty member being reviewed demonstrates successful completion of the development plan. The Dean should acknowledge in writing the faculty member's successful completion of a development plan. In the event substantial deficiencies in performance continue to exist at the end of the three-year period, the Dean will notify in writing the faculty member and make a recommendation regarding any remedial action, consistent with Trustee Policies and Regulations Governing Academic Tenure.

When faculty members being reviewed are found to have evidenced superior overall performance, the Dean may initiate other forms of positive recognition (i.e., recommendation for awards).

The Dean will maintain the Post-Tenure Review Committee's final report and the faculty member's response, if applicable, in the faculty member's confidential personnel file. If a development plan is required, then all background information and other materials used in the review are kept for a period of five years.

At the request of the Provost's Office, the Dean's office prepares and submits an annual report specifying the number of faculty members reviewed during the previous year and the number of evaluations that are given using the UNC-CH category system (deficient/unsatisfactory, satisfactory, above average, superior). In addition, information is presented on whether and how many development plans were recommended.

Expectations of Faculty Members

All members of the faculty are expected throughout their careers to maintain the standards of excellence in teaching, scholarship, and service as described in the School's APT Policy Manual. Evaluation of performance will take into account changing expectations at different stages of faculty careers. 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

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participating in creation of a development plan, if needed, to address deficiencies in performance.

Each tenured associate and full professor being reviewed should provide the following:

- A concise summary of accomplishments for the preceding five years and plans for the next five years (not to exceed 750 -1000 words).
- An updated CV.
- Copies of the last five years of annual reports (including course assignments, course evaluations, dissertation and thesis advisement, other student advisement, publications, and service activities)
- If desired, supporting materials selected by the faculty (such as copies of books).
- Tenured associate professors are to provide additional information on scholarship, including copies of all publications during the preceding five years (e.g., journals, books, conference proceedings,), as well as any other supporting evidence indicating national prominence in one's field. Tenured associate professors are also to have a review of their teaching, following the same procedures identified for untenured professors (see pages 28-29), with two faculty members providing a review of teaching evidence, including in class observations. (Reference section VI Peer Teaching Evaluations of Teaching beginning on page 28)

The Dean may also provide the Post-Tenure Review Committee with additional pertinent information developed during periodic merit reviews and information relating to the faculty member's ongoing work within the School.

Post-Tenure Review Committee Composition and Responsibilities

(Revision passed by FEC vote on 4/11/13)

The School of Education Post-Tenure Review Committee consists of five tenured full professors elected by the tenured faculty. Members' two-year terms are staggered to ensure continuity on the committee. A subcommittee of three members, with one serving as chair, conduct individual faculty member reviews. The faculty member may request a change in one member of the designated subcommittee.

The Post-Tenure Review Committee will use all the evidence provided by the faculty member being reviewed and the School in evaluating performance. The review process will be conducted in a way that provides the faculty member being reviewed, the Dean, and the members of the Post-Tenure Review Committee with relevant information concerning the faculty member's accomplishments and plans in the areas of teaching, scholarship and service in relation to the mission of the School and University over the course of at least the previous five years.. Either the faculty member or the chair of the faculty's review committee may request a meeting prior to the time the committee prepares its report, for the purpose of discussing teaching, scholarship, service, and other accomplishments, or to seek clarification of submitted information.

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The Post-Tenure Review Committee prepares a written report summarizing its findings and also makes recommendations, when appropriate. Within its report, the Post-Tenure Review Committee will advise the faculty member being reviewed and the Dean on its conclusions regarding the faculty member's performance, using the UNC-CH category system (deficient/unsatisfactory, satisfactory, above average, superior). The Post-Tenure Review Committee may also provide informal peer advice and recommendations to the faculty member being reviewed and to the Dean.

The final post-tenure review report is submitted to the Dean or a representative of the Dean for review before the final report is sent to the faculty member under review. The faculty member being reviewed is afforded an opportunity to review the report and provide a written response to the Post-Tenure Review Committee within two weeks of the report being sent to the faculty member. Based on this response, the Dean may ask the Committee to re-visit its recommendations. The final Post-Tenure Review and faculty member's response (if applicable) are kept in the faculty member's confidential personnel file.