

# **SOG Post Tenure Review Policy FY2015-16.pdf**

## School of Government

### Post-Tenure Review Policy and Procedures

October 1998

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#### I. Purpose

The purpose of post-tenure review is to promote faculty development, ensure faculty productivity, and provide accountability. A strong interest in supporting faculty professional development underlies this policy. The post-tenure review process will respect the basic principles of academic freedom. It does not abrogate the due process criteria, procedures for dismissal, or other disciplinary action established under the *Trustee Policies and Regulations Governing Academic Tenure*.

#### II. Schedule for Review

- A. General. Each faculty member with permanent tenure whose primary duties are teaching, research, and service will be reviewed at least every five years following the conferral of tenure. In other words, the School will conduct post-tenure reviews for approximately 20% of its tenured faculty members each year. If compelling reasons are present, the Dean may seek approval from the Provost for delay of post-tenure reviews.
- B. Scheduling and Order of the Reviews. Each January the Dean will develop a post-tenure review schedule for the upcoming fiscal year. An effort will be made to review first those faculty members with the longest accrued time since the last formal review for tenure or promotion. In establishing a review schedule, however, the Dean will also consider the following factors: scheduled reviews for promotion to full professor, scheduled research and writing leaves, and other institutional or individual factors that might be more compelling than time accrued since the last review.
- C. Relationship to Other Evaluations. A review for promotion to full professor or a review that leads to appointment as a chaired professor will satisfy the post-tenure review requirement under this policy. Other internal reviews may meet the requirements of a post-tenure review if they are similarly comprehensive and rigorous.
- D. Advance Notification. A faculty member will be notified at least six months before an upcoming post-tenure review, but a person voluntarily may agree to be reviewed on shorter notice. For purposes of the notice requirement, a review starts when the Dean appoints a review committee.

- E. Requests For A Delay of Review. A faculty member may request that Dean delay post tenure review. Requests for delay must be in submitted to the Dean in writing, and must specify the compelling reasons(s) for the request. If approved by the Dean, delay requests must be submitted to the Executive Vice-Provost and Chief International Officer for review and approval.

### III. Expectations for Faculty

The faculty salary policy includes the clearest and most comprehensive statement of expectations for School faculty members. While the policy was written to guide salary decisions by the Dean, the same expectations have guided reappointment, promotion, and tenure decisions at the School. The expectations in the salary policy apply to post-tenure review.

School faculty members over time are expected to engage in all of the professional activities listed in the salary policy, and the quality of their work is expected to be high. They must demonstrate professional competence and the potential for future contributions. The relative importance of teaching, writing, consulting, service, and other professional work will vary from one faculty member to another, however, depending on the person's areas of responsibility and the opportunities they offer.

Post-tenure review should be flexible enough to acknowledge different expectations in different professional disciplines and among different audiences of public officials served by the School. Post-tenure review should also recognize that expectations might change at different stages of faculty careers.

### IV. Review Process

- A. Composition of Post-Tenure Review Committee. The Dean will appoint a separate three-person committee to conduct each post-tenure review under this policy and the Dean will designate one of its members to serve as chair. All School of Government faculty members are eligible to serve on post-tenure review committees. The Dean may appoint faculty members from outside the School to serve on a committee.
- B. Written Materials for the Post-Tenure Review. Each faculty member under review must provide the committee with a concise written summary of past activities, plans for the future, and thoughts about ways in which the School could assist in his or her professional development. The faculty member should provide 1) the comprehensive annual faculty activity reports and summary assessments for the past five years; 2) available data from the faculty advising log; 3) summary data on teaching evaluations; and 4) the faculty member's work goals or plans for the next five-years. A faculty member may supplement these materials with current curriculum vitae, teaching portfolios, research and writing, and other materials that document his or her contributions and accomplishments.
- C. Nature of the Post-Tenure Review. Post-tenure review is an examination of a faculty member's professional performance over at least the previous five years. The purpose

of the review is to determine whether a person is meeting overall expectations for School faculty members and to identify areas for possible improvement.

The review committee will examine the objective and qualitative measures listed in the faculty salary policy for teaching, consulting, and writing and publishing (Faculty Salary Policy, Sections II, III, and IV). The review will also take into consideration the extent to which a faculty member promotes a positive organizational culture (Faculty Salary Policy, Section I), engages in service to the School (Faculty Salary Policy, Section V), and contributes service to the University and to the faculty member's profession (Faculty Salary Policy, Section VI). The post-tenure review committee will also consider evidence of the impact of a faculty member's work to the extent that such information is available (Faculty Salary Policy, Section IX).

- D. Findings and Written Committee Report. The post-tenure review committee will provide a written report to the faculty member and to the Dean. The committee shall consult with the faculty member during the review and before the final report is submitted. The report must indicate, with respect to the three main areas of work – teaching, consulting, and writing and publishing – whether the faculty member's performance meets, exceeds, or does not meet expectations.

The post-tenure review committee should recognize outstanding performance by the faculty member under review and it should identify innovative practices or activities that might be shared with other faculty colleagues. The committee should also identify areas in which the faculty member can improve and, in consultation with that person, it may make specific recommendations for professional development, including ways in which the School could assist in his or her professional development.

The post-tenure review committee shall evaluate the extent to which a person's overall performance meets expectations for School faculty members and it shall indicate in its report to the Dean if in its opinion the overall performance is substantially deficient.

- E. Opportunity for Faculty Response. The Dean will give the faculty member under review the opportunity to provide a written response to the report of the post-tenure review committee. The Dean will maintain the committee's report and any written response by the faculty member as a part of the person's confidential personnel file.
- F. Conclusion of Review and Final Decision. The Dean will conduct an evaluative review of the committee's report and any written response by the faculty member, and will consult with the committee before rendering a final decision. The Dean will notify the faculty member either that the post-tenure review is final and no further action is required or that he or she has determined that the faculty member's overall performance is substantially deficient and is therefore requiring the creation of a comprehensive development plan under section V (Comprehensive Development Plans). The Dean's review, along with the committee's report are maintained as part of the faculty member's confidential personnel file within the unit.

## V. Comprehensive Development Plans

- A. Determination of Overall Substantial Deficiency and Decision to Require a Comprehensive Development Plan. The Dean will make the final decision on whether the faculty member's overall performance is substantially deficient after carefully reviewing the evaluation and any recommendations of the post-tenure review committee and any written response by the faculty member. The Dean will require the creation of a comprehensive development plan only if he or she determines that the faculty member's overall performance is substantially deficient. The Dean may recommend improvements by a faculty member without a finding of substantial deficiency and without requiring a comprehensive development plan.
- B. Right to Appeal. A faculty member has a right of appeal to the Provost if the Dean makes a finding of substantial deficiency and requires a comprehensive development plan. The notice of appeal must be made in writing within 30 days after receiving the Dean's written notice requiring a comprehensive development plan.
- C. Elements of a Comprehensive Development Plan. If the Dean requires a comprehensive development plan for a faculty member, the two of them will establish it jointly. A comprehensive development plan 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.

A comprehensive development plan should establish clear goals for the faculty member, specify steps for achieving those goals, and define measures for determining whether the goals have been satisfied. The comprehensive development plan should also establish a clear and reasonable time frame for meeting the goals and it should state the consequences for not meeting the goals. In addition, the comprehensive development plan should identify resources that will be available to support the faculty member in implementing its goals.

- D. Follow-Up and Improvement. The Dean will conduct annual or more frequent reviews for any faculty member with a comprehensive development plan in order to assess progress toward the stated goals. The faculty member must show improvement within three years after the creation of a comprehensive development plan. The Dean should acknowledge in writing if a faculty member shows clear improvement and successfully completes the comprehensive development plan.
- E. Failure to Complete a Comprehensive Development Plan. If a faculty member fails to successfully complete a comprehensive development plan and if the person's performance continues to be substantially deficient, the Dean will consider whether grounds for dismissal or other disciplinary action exist under the *Trustee Policies and Regulations Governing Academic Tenure*.

## VI. Records

- A. File Policy with the Office of the Provost. The Dean will file a copy of the School's post-tenure review policy with the Office of the Provost.

- B. Internal Record of Reviews. The Dean will maintain a list of faculty members reviewed each year, a record of completed reviews and responses to the reviews, the names of faculty members for whom a development plan was recommended, and a copy of the development plans.
- C. Annual Report to the Office of the Provost. The Dean will file annual reports with the Office of the Provost that contain the following information: names of faculty members reviewed during the previous year; names of faculty members for whom a development plan was recommended and established; and names of faculty members subject to review but for whom a delay was approved, along with the reason for the delay.

VII. Provost Implementation Policy

- A. For purposes of interpretation and guidance, this policy is based on a document entitled “Framework for Implementation of the Trustee Policy for Reviews of Tenured Faculty at the University of North Carolina at Chapel Hill. Office of the Provost (Revised 7/22/98).” [This document was available in February 2015 as a pdf entitled “Report on Post-Tenure Review” at <http://www.unc.edu/faculty/faccoun/reports/index.shtml>.] This policy was updated in 2014 to incorporate revisions adopted by the Board of Governors (Policy 400.3.3) as incorporated into the UNC policy, which is available here: <http://provost.unc.edu/policies/students-and-programs/post-tenure-review-policy/>.