## 4.08 Post-Tenure Review

### A. Introduction

Post-tenure review (PTR) is a comprehensive, formal, periodic evaluation of all tenured faculty. The purpose of this review is to support continuing faculty development, to promote faculty vitality, and to encourage excellence among tenured faculty. This is achieved by recognizing and rewarding faculty performance, offering suggestions to enhance performance, providing a clear plan and timetable for improvement of faculty members whose performance does not meet expectations, and providing for the imposition of appropriate sanctions for those whose performance continues not to meet expectations. Post-tenure review shall be consistent with the UNC Policy Manual Section 400.3.3, Performance Review of Tenured Faculty, and the University of North Carolina Board of Governors' policy of giving teaching primary consideration.

### B. Faculty to Be Reviewed

Post-tenure review shall evaluate all aspects of the professional performance of faculty, whose primary responsibilities are teaching, and/or research, and/or service[[1]](#footnote-1). If faculty responsibilities are primarily only to one or two of the areas of teaching, scholarship, and service, then post-tenure review and resulting recommendations should take this allocation of responsibilities into account. (UNC Policy Manual 400.3.3.1 [G]-5)

### C. Timetable

A tenured faculty member may elect to undergo PTR during any academic year. Faculty for whom PTR is required must undergo a review no later than the fifth academic year following the most recent of any of the following review events: award of tenure or promotion at Western Carolina University, prior post-tenure review, or return to faculty status following administrative service (UNC Policy Manual 400.3.3.1 [G]-2). Candidates who are denied promotion in the required PTR year must submit PTR materials no later than the following academic year. Exceptions shall be made in the following cases: 1) when on leave from duties, that period shall not be included as part of the five years between mandatory review events and/or 2) when temporarily assigned to duties away from Cullowhee/Asheville during the period of a required review, PTR occurs upon return. In the event of serious illness, childbirth or other compelling reasons, the PTR timetable may be extended by the Provost (see APR 4 at <http://www.wcu.edu/about-wcu/leadership/office-of-the-provost/resources-for-faculty-and-staff/academic-procedures-and-regulations/index.asp>).

### D. Materials to Be Submitted for Review

At a minimum, a faculty member being reviewed will provide a current curriculum vitae (CV), the four most recent annual faculty evaluation summary statements from the department head, and the most recent set of directional goals[[2]](#footnote-2). Departments may require a faculty member to add additional materials as directed by Departmental Collegial Review documents.

At the beginning of the post-tenure review cycle, the faculty member shall propose a set of directional goals which will be considered in the post-tenure review. These directional goals shall be approved by the department head. Directional goals can be modified annually by the faculty member, in consultation with the department chair, as deemed appropriate by changes in institutional, departmental, or personal circumstances. Directional goals should include milestones that will be incorporated into annual performance evaluations. (UNC Policy Manual 400.3.3.1[G] – 6)

### E. Procedures

Performance to be reviewed is limited to the five years preceding review or to the period subsequent to the prior review event, whichever is less.

The tenured faculty of each department shall establish a procedure for post-tenure review. These procedures must be approved by the dean of the college and the Provost and must be in compliance with UNC Policy and Guidelines on Performance Review of Tenured Faculty (UNC Policy Manual 400.3.3 and 400.3.3[G]) . Each department establishes a PTR committee (approved by the departmental faculty) with at least three tenured departmental colleagues, excluding the department head. Whenever a department finds it impossible to form a committee containing at least three tenured faculty, the matter will be referred to the Provost. The Provost, with the approval of the tenured faculty of the department and the dean of the college, will, by selecting tenured faculty from similar departments, constitute a committee of three tenured faculty for the department. Faculty members being reviewed are not permitted to select a member of the committee. However, this does not preclude such faculty members from voting on committee membership along with their colleagues.

The department PTR committee shall present its written evaluations as to the extent to which the faculty member meets the post-tenure review criteria to the department head. The department head shall then append his/her evaluation of the candidate to the committee’s evaluation. The department head shall provide a copy of both of these evaluations to the faculty member and shall meet with the faculty member to discuss the review. . The faculty member then has the option of attaching a written response. When a department head is reviewed, the dean shall perform the roles ordinarily performed by the department head.

The department head shall present both written evaluations to the dean, along with any written response from the faculty member. The dean shall then append his/her evaluation of the faculty member with respect to the extent that they meet the post-tenure review criteria.

### F. Criteria

Criteria for post-tenure review are established by departments and included in the Departmental Collegial Review Document (DCRD). Demonstration of professional competence, conscientious execution of duties–taking into account distribution of workload as developed by the department head–and efforts to improve performance with regards to departmental criteria should be considered the basic standard for meeting expectations[[3]](#footnote-3). Faculty performance that exceeds expectations, as determined by the department, should involve sustained excellence in teaching, scholarship, and service. *[NOTE, if we are to keep this pattern, must we also establish minimum criteria for those who fail to meet expectations? Or is that just falling below the basic standards?]*

### G. Outcomes – NOTE: initial suggestions for edits stopped here; this section will need editing too

Post-tenure review outcomes, including a faculty member’s response to a negative decision in an academic unit, must be reviewed by the Dean. The Dean’s decision, along with the Department’s decision will be sent to the Provost for information.

In the case of a satisfactory decision, results are documented for university award and merit pay decisions. In addition, suggestions to enhance performance may be provided.

In the case of an unsatisfactory decision, the department head, in consultation with the faculty member, PTR committee, and dean of the faculty member's college, will create a three-year development plan within one month of the review. The plan shall include (1) a statement of the faculty member’s primary responsibilities and specific descriptions of shortcomings as they relate to the faculty member’s assigned duties; (2) specific improvements to be accomplished within three years, (3) resources to be committed to the improvement efforts, and (4) other support provided by the administration. If duties are modified as a result of a less than satisfactory rating, then the development plan should so indicate and take into account the new allocation of responsibilities. The department head and PTR committee will monitor the faculty member's progress relative to the development plan and provide verbal and written feedback to the faculty member semi-annually. The development plan and the written feedback are to be copied to the Dean and the Provost. In the event of serious illness, childbirth or other compelling reasons, the PTR development period may be extended by the Provost through a university process established, in consultation with and endorsed by the Faculty Senate, and approved by the Chancellor.

The plan shall also include a clear statement of consequences should adequate progress not occur by the end of the third year. The consequences may range from suspension of pay raises to, in the most extreme cases, reduction in rank, temporary suspension of employment, or termination of employment.

### H. Appeals

The Faculty Grievance Committee shall consider problems and appeals that arise from PTR.

### I. Due Process

"A faculty member, who is the beneficiary of institutional guarantees of tenure, shall enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees the faculty member may be discharged from employment, suspended, or demoted in rank only for reasons of incompetence, neglect of duty or misconduct of such a nature as to indicate that an individual is unfit to continue as a member of the faculty" (*Code of the University of North Carolina*, Chapter VI, Section 603). Disciplinary actions for noncompliance with the development plan are limited to those established in Chapter VI of the *Code of the University of North Carolina*. Due process and the right of appeal as specified in the *Code of the University of North Carolina* and the "Tenure Policies and Regulations of Western Carolina University" in the Faculty Handbook shall be guaranteed.

NOTE: Additions must be made to include training of those involved in the Post Tenure Review process. The Provost is working on a UNC group on this issue.

1. All tenured faculty are subject to post-tenure review with the exception of those currently serving in Tier I or Tier II Senior Academic and Administrative Officers as defined by UNC Policy 300.1.1-I (e.g. at or above the level of assistant or associate dean). [↑](#footnote-ref-1)
2. Directional goals, as mandated by UNC Policy Manual 3.3.1[G], are to be developed at the beginning of the faculty member’s next post-tenure review cycle, starting with the 2015-2016 academic year. All tenured faculty are to have a set of directional goals by the 2020-2025 academic year. [↑](#footnote-ref-2)
3. In Post-Tenure Review: An AAUP Response, the Association’s Committee on Academic Freedom and Tenure indicated “The basic standard for appraisal should be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position, not whether the faculty member meets the current standards for the award of tenure as those might have changed since the initial granting of tenure.” [↑](#footnote-ref-3)