

# TEMPLATE

## CAMPUS PROCEDURES FOR PERIODIC POST-TENURE PERFORMANCE REVIEW

### I. Introduction

In its Policies on Academic Freedom, Responsibility, and Tenure (Board Policy BT0006), the Board of Trustees has recognized and affirmed the importance of tenure in protecting academic freedom and thus promoting the University's principal mission of discovery and dissemination of truth through teaching, research, and service. The Board has also recognized its fiduciary responsibility to students, parents, and all citizens of Tennessee to ensure that faculty members effectively serve the needs of students and the University throughout their careers. To implement these principles, **[INSERT CAMPUS NAME]**, with the approval of the President and the Board, has established these procedures under which every tenured faculty member shall receive a comprehensive performance review no less often than every six years.

### II. Post-Tenure Review ("PTR") Period

Except as otherwise provided in these procedures, each tenured faculty member must undergo some form of comprehensive performance review no less often than every six years. The PTR shall not substitute for the Annual Performance and Planning Review in the year a faculty member is scheduled for PTR.

The dean of each college shall develop, and submit to the chief academic officer for approval, an initial plan for staggering post-tenure reviews to avoid excessive administrative burden at any given time. The initial staggering plan may be revised with the approval of the chief academic officer if later developments require changes in order to avoid excessive administrative burden. The post-tenure review period begins at the granting of tenure, and, except as otherwise provided by the staggering plan, a faculty member's PTR will occur no less often than every six years thereafter unless one of the following circumstances results in a different timetable:

- Suspension of post-tenure review period – A faculty member's post-tenure review period is suspended during any year in which the faculty member is granted a leave of absence or a modified duties assignment.
- Restarting of post-tenure review period due to alternative comprehensive review – A comprehensive review of a faculty member's performance restarts the faculty member's PTR period under the following circumstances:
  - If a tenured faculty member undergoes a successful promotion review or a promotion is in progress during the year scheduled for PTR, the promotion review fulfills the PTR requirement and the PTR period is modified to require PTR six years after the promotion review.
  - If a tenured faculty member undergoes an Enhanced Post-Tenure Performance Review (EPPR) (generally triggered by annual performance review rating(s)) and is either rated as meeting expectations or successfully completes the terms of the EPPR improvement plan, the EPPR process fulfills the PTR requirement and the PTR cycle is modified to begin with the date of the EPPR committee's report.

- Start of the PTR period upon conclusion of an administrative appointment – Full time administrators and faculty members with a majority administrative appointment (more than 50%) are not subject to PTR; faculty members holding a less than majority administrative appointment (50% or less) are subject to PTR regarding their faculty duties based on expectations consistent with their faculty duty allocation. When a full-time or majority-time administrator leaves his or her administrative position to assume a tenured faculty position, the faculty member’s initial PTR shall occur within six years after leaving the administrative post.
- **[CAMPUSES MAY ADD AN EXCEPTION FOR FACULTY MEMBERS WHO HAVE MADE A BINDING COMMITMENT TO RETIRE]**
- A faculty member’s scheduled PTR may be otherwise deferred or modified only for good cause approved by the chief academic officer.

### III. Annual Schedule for Post-Tenure Review

All post-tenure reviews will be conducted and completed during the **FALL/SPRING** semester according to the following schedule:

- The dean of the faculty member’s college/chief academic officer **[CHOOSE WHICH]** shall appoint all PTR Committees as set forth in Section IV below no later than \_\_\_\_\_ **[FILL IN DATE]**.
- Each PTR Committee shall be provided with the materials required by Section V below no later than \_\_\_\_\_ **[FILL IN DATE]**.
- Each PTR Committee shall submit its report required by Section VII below no later than \_\_\_\_\_ **[FILL IN DATE]**.
- **[INCLUDE OTHER DEADLINES, SUCH AS FOR SOLICITING EXTERNAL REVIEW MATERIALS, AS DEEMED APPROPRIATE]**

### IV. Appointment and Composition of Post-Tenure Review Committee

All post-tenure reviews must be conducted by a committee established for the sole purpose of post-tenure review. Each PTR Committee shall include \_\_\_\_\_ members **[MINIMUM OF THREE; MUST BE AN ODD NUMBER]**, appointed by the dean of the faculty member’s college/chief academic officer **[CHOOSE WHICH]** in the following manner: **[INSERT MANNER OF SELECTION OF COMMITTEE; AMONG OTHER THINGS, ADDRESS ASSURING THAT NO PTR COMMITTEE MEMBER WILL HAVE AN ACTUAL OR APPARENT CONFLICT OF INTEREST AND WHAT TO DO IN CASE OF THE NEED FOR AN ALTERNATE MEMBER]**. The composition of the PTR Committee must meet the following requirements:

- Each PTR Committee member must be a tenured full-time faculty member who is at the same or higher academic rank, and whose locus of tenure is at the same campus, as the faculty member being reviewed.
- One, and only one, PTR Committee member must hold an appointment in the same department as the faculty member being reviewed, unless there is no such faculty member eligible to serve. **[OR]** One, and only one, PTR Committee member must hold an appointment in the same division as the faculty member being reviewed, unless there is no such faculty member eligible to serve; provided that no other PTR Committee members may hold an appointment in the same

department. **[EXPLANATORY NOTE: CAMPUSES MAY REQUIRE THAT THE DEPARTMENTAL FACULTY MEMBER BE IN THE SAME DIVISION AS THE FACULTY MEMBER UNDER REVIEW FOR THOSE CAMPUSES THAT HAVE DEPARTMENTS DIVIDED INTO DIVISIONS]**

The chief academic officer, working with the University of Tennessee Office of Academic Affairs and Student Success, will provide instructions, guidelines, and best practices to members of PTR Committees.

**[INSERT ANY DESIRED ADDITIONAL PROCEDURES REGARDING THE FUNCTIONING OF PTR COMMITTEES, INCLUDING THE ROLE OF THE CHAIR].**

#### **V. Materials to be Reviewed by Post-Tenure Review Committee**

The PTR Committee must review (1) annual review materials (including the department head's/chair's evaluation and rating of the faculty member's performance, and student and any peer evaluation of teaching) for each year since the last review (to be supplied by the department head/chair); (2) the faculty member's current CV; a narrative, not to exceed two pages, prepared by the faculty member describing the faculty member's milestone achievements and accomplishments since the last review as well as goals for the next review period; and (if there has been a previous PTR) a copy of the narrative submitted as a part of the faculty member's previous PTR (each to be supplied by the faculty member); and (3) external reviews when deemed necessary by the PTR Committee or when deemed necessary by the dean of the faculty member's college/chief academic officer **[CHOOSE WHICH]. [INSERT ANY DESIRED CAMPUS PROCEDURES FOR SOLICITING EXTERNAL REVIEWS] [CAMPUSES MAY ALSO INCLUDE PROVISIONS ALLOWING A FACULTY MEMBER TO REQUEST EXTERNAL REVIEW, INCLUDING ANY NECESSARY PROCEDURES AND APPROVALS FOR SUCH EXTERNAL REVIEW].**

#### **VI. Criteria for Post-Tenure Review**

The post-tenure review process should ensure the faculty member has demonstrated continued professional growth and productivity in the areas of teaching, research (including scholarly, creative and artistic work), service, and/or clinical care pertinent to his or her faculty responsibilities. The criteria for assessing the faculty member's performance must be consistent with established expectations of the department, school/college, and campus and provide sufficient flexibility to consider changes in academic responsibilities and/or expectations. The expectations for faculty performance may differ by campus, college, department, and even among sub-disciplines within a department or program. Those expectations may be commonly-held standards in the discipline or sub-discipline. Those expectations may be stated explicitly in the faculty member's own past annual performance reviews, work assignments, goals or other planning tools (however identified), as well as department or college bylaws, the campus faculty handbook, this policy, and in other generally-applicable policies and procedures (for example, fiscal, human resources, safety, research, or information technology policies and procedures).

#### **VII. Post-Tenure Review Committee's Conclusions and Report**

The PTR Committee is charged to review the faculty member's performance during the review period and to conclude whether the faculty member's performance satisfies the expectations for the faculty member's discipline and academic rank. **The PTR Committee's voting must be conducted by anonymous ballots. [CAMPUSES MAY DELETE THIS SENTENCE IF NOT REQUIRING ANONYMOUS VOTING]** All conclusions and recommendations shall be adopted upon the vote of a simple majority of the PTR Committee. No member of the PTR Committee may abstain or recuse himself or herself from voting. Based on the judgment of its members, the PTR Committee must conclude either:

- That the faculty member’s performance satisfies the expectations for the faculty member’s discipline and academic rank; or
- That the faculty member’s performance does not satisfy the expectations for the faculty member’s discipline and academic rank.

The committee must report its conclusions and recommendations in writing using a standard format prepared by the chief academic officer, including (1) an enumeration of the **anonymously cast [DELETE IF NOT REQUIRING ANONYMOUS VOTING]** vote, (2) the supporting reasons for its conclusion, (3) a dissenting explanation for any conclusion that is not adopted unanimously if a dissenting member chooses to provide one **[CHOOSE THIS OPTION IF REQUIRING ANONYMOUS VOTING]** / a dissenting explanation for any conclusion that is not adopted unanimously **[CHOOSE THIS OPTION IF NOT REQUIRING ANONYMOUS VOTING]** , (4) an identification of any incongruences observed between the faculty member’s performance and his or her annual evaluations, (5) a statement of any additional concerns identified or actions recommended, and (6) if applicable, an identification of areas of extraordinary contribution and/or performance.

The detailed PTR Committee report shall be provided to the faculty member, department head/chair, dean, and chief academic officer.

**[CHOOSE ONE OF THE FOLLOWING TWO PROCEDURAL OPTIONS]**

**[OPTION IF DEAN IS IN CHARGE OF PTR PROCESS]** Faculty members and department heads/chairs must have the opportunity to provide a written response to the PTR Committee report. The dean shall either accept or reject the PTR Committee’s determination that the faculty member’s performance satisfies or does not satisfy the expectations for the faculty member’s discipline and academic rank. The chief academic officer and the Chancellor shall indicate whether or not they concur in the dean’s determination. If the PTR Committee report is not unanimous, the dean shall provide the supporting reasons for his or her determination. If the dean, the chief academic officer, or the Chancellor do not concur in a determination, then he or she shall provide the supporting reasons for the non-concurrence. The dean’s determination, the chief academic officer’s and Chancellor’s concurrences, and any written responses of the faculty member and department head/chair will be maintained with the PTR Committee report in **[INSERT OFFICIAL CAMPUS REPOSITORY – E.G., OFFICIAL PERSONNEL FILE, ONLINE STORAGE SYSTEM, CHIEF ACADEMIC OFFICER’S OFFICE, ETC.]** and submitted electronically to the University of Tennessee Office of Academic Affairs and Student Success.

**[OPTION IF CAO IS IN CHARGE OF PTR PROCESS]** Faculty members, department heads/chairs, and deans must have the opportunity to provide a written response to the PTR Committee report. The chief academic officer shall either accept or reject the PTR Committee’s determination that the faculty member’s performance satisfies or does not satisfy the expectations for the faculty member’s discipline and academic rank. The Chancellor shall indicate whether or not he or she concurs in the dean’s determination. If the PTR Committee report is not unanimous, the chief academic officer shall provide the supporting reasons for his or her determination. If the chief academic officer or the Chancellor do not concur in a determination, then he or she shall provide the supporting reasons for the non-concurrence. The chief academic officer’s determination, the Chancellor’s concurrence, and any written responses of the faculty member, department head/chair and the dean will be maintained with the PTR Committee report in **[INSERT OFFICIAL CAMPUS REPOSITORY – E.G., OFFICIAL PERSONNEL FILE, ONLINE**

**STORAGE SYSTEM, CHIEF ACADEMIC OFFICER'S OFFICE, ETC.]** and submitted electronically to the University of Tennessee Office of Academic Affairs and Student Success.

#### **VIII. Appeal**

Within thirty days of receipt of the PTR Committee report, the faculty member may appeal any conclusion with which the faculty member disagrees. The procedure for appeal is described in Section [REDACTED] **[INSERT CAMPUS FACULTY HANDBOOK APPEAL CITATION]**, except that a final decision on the appeal shall be made within ninety (90) days of the faculty member's appeal, and the final decision of the Chancellor on an appeal shall not be appealable to the President.

#### **IX. Further Actions**

If the PTR Committee concludes that the faculty member's performance has not satisfied the expectations for the faculty member's discipline and rank, a PTR improvement plan must be developed using the same procedures used for the development of an EPPR improvement plan as detailed in Board Policy BT0006 Appendix E.

If the chief academic officer concludes that deficiencies exist in the departmental annual performance review process (including failure of department heads/chairs to conduct rigorous annual performance reviews) or other incongruences are observed between the PTR performance review and rankings assigned through the annual performance review process, the chief academic officer must develop a process for addressing the issues.

#### **X. Annual Report to the Board of Trustees**

The chief academic officer shall prepare an annual assessment report of campus post-tenure review processes, procedures and outcomes for submission by the Chancellor to the Board of Trustees, through the President, no later than June 1 of each year. The report shall include a description of any deficiencies identified in departmental annual performance review processes and the plan for addressing the issues.