

CRITERIA AND PROCEDURES FOR FACULTY APPOINTMENTS, REAPPOINTMENTS, PROMOTION AND TENURE

Revised December 2001

I. General Considerations

A. Mission of the School

The School of Information and Library Science seeks to advance the profession and practice of librarianship and information science; to prepare students for careers in the field of library and information service; and to make significant contributions to the study of information. Faculty members further these goals by teaching and advisory work; by research and scholarly publication; and by service to the school, the University, the state and the professional community.

B. University Policies and Procedures for Personnel Matters

All the procedures and policies relating to decisions affecting faculty in the School of Information and Library Science conform to statements regarding these matters set forth in the following University publications. In cases of conflict, the most recent edition of each document takes precedence.

1. *The Code*, Board of Governors, UNC, as amended through February 1999. (See www.unc.edu/faculty/faccoun/).
2. *Trustee Policies and Regulations Governing Academic Tenure*, UNC-CH, July 1, 1987 (as amended through April 9, 1998). (See www.unc.edu/faculty/faccoun/).
3. *Equal Opportunity Plan*, UNC-CH, as revised April 1, 2000. (See www.unc.edu/depts/eoada/).
4. *Guidelines for the Preparation of EPA Personnel Actions*, Division of Academic Affairs, UNC-CH, October 20, 1991.

The following criteria and guidelines do not repeat all these policies and procedures. They are intended to conform to them. This statement is supplemental to and subject to the above policies. The Dean, faculty and students involved in making personnel decisions have a responsibility to become familiar with their provisions.

It is important to note that personnel records are confidential. Only the Dean, full professors, other faculty, and student members of the Personnel Committee are

allowed to have access to the records and documents related to candidates' appointment, reappointment, promotion and tenure and they are required to keep the contents of these records and the deliberations in conducting reviews confidential.

C. Appointment, Promotion and the Award of Tenure

In selecting and promoting faculty, the School of Information and Library Science seeks to demonstrate high standards of teaching and research. Service to the school, the University, and the professional community is also expected.

An earned doctorate or its equivalent is generally required for appointment. The competencies and areas of interest represented by present faculty and by candidates for appointment are considered to assure that a balanced and comprehensive approach is maintained. The individual's potential contributions to the School's mission will be a major consideration.

The School of Information and Library Science is committed to equality of opportunity. Concomitant with this is the tradition of fairness to each individual without prejudice to race, age, sex, creed or national origin. The official policy of the School of Information and Library Science regarding equal opportunity is stated in the most recent revision of the *Equal Opportunity Plan of the University of North Carolina at Chapel Hill*.

The awarding of tenure and promotion is considered recognition of work completed and teaching effectiveness. In no case will these decisions be based on future but unrealized potential. Likewise, a recommendation to award tenure will signify confidence that the faculty member is, has been, and will continue to be a significant contributor toward meeting the long-term goals of the School.

D. Grievance and Dismissal

The document, *Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill*, provides for suspension, diminishment in rank, or discharge for "incompetence, neglect of duty," or "misconduct of such a nature as to indicate that the faculty member is unfit to continue as a member of the faculty."

The person in question is given the opportunity for a hearing before an elected standing faculty committee; has the right to counsel; may present testimony of witnesses and other evidence; may cross-examine adverse witnesses. The standing committee makes a recommendation to the University Chancellor for decision. A decision unfavorable to the accused may be appealed to the Board of Trustees of UNC-CH.

The decision not to reappoint a faculty member upon expiration of a probationary term may not be based on that person's exercise of freedom of speech, on unfair discrimination, or on personal malice. The *Trustees Policies and Regulations Governing Academic Tenure* document also gives detailed procedures for review

of such cases, along with those involving terminations due to reasons of financial exigency or program change.

Faculty grievances may be referred to the University's Faculty Grievance Committee, an elected standing committee, which considers matters related to employment status and institutional relationships--not matters relating to formal suspension or discharge, though it may consider cases on non-renewal of probationary terms.

II. Responsibilities

A. Faculty Members

Individual faculty members should be aware of their dates of eligibility for promotion, reappointment, or tenure. Prior to the promotion or tenure review they must assemble a portfolio that will include the following: an up-to-date AP-2 form; full curriculum vitae, copies of all publications; recent syllabi and other items as listed under IV.B., Teaching section, below; class evaluations (faculty approved standardized evaluation instrument); written evaluations by peer faculty members based on classroom observation, interviews and examination of syllabi and assignments; and a statement of research, teaching and service philosophy, plus such other items as the Personnel Committee may indicate as desirable. In addition, the faculty member being reviewed may add any other documentation which he/she thinks significant.

NOTE: Page numbers are needed for all publications as well as an indication of which articles were "refereed." Only those articles which have been refereed before publication should be designated with the abbreviation "Ref." beside each such article. If the article, book, etc., has not been published, indicate the status, (e.g., submitted for publication, in preparation, etc.), page numbers; even if only typed, page numbers must be given on unpublished material. The dissertation with page numbers should be listed as part of the publication list even if unpublished.

All tenure-track faculty members will be asked to provide a written evaluation of any faculty member being considered for appointment, reappointment, promotion or tenure. Faculty should consider it their responsibility to provide a written evaluation.

All letters of recommendation or evaluation received by the school form a part of the colleague's personnel file and, under state law, are open to the candidate. All outside review letters must be sent forward by the appointing school together with the recommendation. Outside reviewers shall be informed that their letters become part of the personnel file and, under state law, are open to the candidate.

B. Personnel Committee

The Personnel Committee is charged with collecting and evaluating the evidence and making a recommendation to the Dean in cases regarding both full-time and adjunct faculty appointments, reappointments, promotions, and tenure.

The Personnel Committee is composed of three faculty members, one from each rank (insofar as possible given the composition of the faculty body at the time), and two students, one from the Master's program and one from the Ph.D. program, who are also full voting members of the Committee. It is chaired by a tenured faculty member. All members of the Committee are appointed by the Dean, who will take into consideration the ILSSA President's recommendation of a Master's student member, and the resident doctoral students' recommendation of a Ph.D. student member.

The Personnel Committee may also serve as a search committee for new faculty. In some cases this Committee will be augmented by additional faculty or by individuals from outside the School. In carrying out its charge relative to the recommendation for faculty reappointments, promotions, and tenure decisions, the Committee must collect and examine the necessary evidence and documentation described under "Criteria" in this statement. The Committee canvasses students, former students, faculty colleagues, and, in the case of promotion and tenure decisions, outside experts.

C. Dean

It is the responsibility of the Dean to appoint a Personnel Committee. The Dean will consider the composition of the Personnel Committee in light of the person(s) being reviewed and will communicate the names of the proposed committee members informally to the candidate(s) for reappointment or promotion before the committee is finalized. The Dean will take into consideration any concerns the candidate(s) might have about the composition of the committee before making his or her final decision, which will be final.

The Dean will also make final recommendations about appointment, reappointment, promotion, and tenure through appropriate channels to the Chancellor of the University after considering the advice of the Personnel Committee and after consulting with the full Professors assembled.

The Dean notifies each non-tenured, tenure track faculty member of any required personnel action involving reappointment, promotion or tenure at least one and a half years prior to the expiration date of their current appointment and invites the faculty member to assemble his/her portfolio according to guidelines specified here with any additions requested by the Personnel Committee.

The Dean notifies each tenured faculty member of any required personnel action involving promotion or review at least six months before the academic term of their scheduled review.

Once the Personnel Committee's recommendation has been received, the Dean convenes the full Professors and presents the recommendation to them and chairs a discussion on the merits of the case. During that meeting, the dean should encourage as much active discussion of the candidate as is possible to gain the fullest range of advice. The vote advising the dean must be reported to the Provost. The responsibility for making a final recommendation remains with the Dean.

Retired colleagues may furnish advice to the Dean, but should not vote on personnel matters.

The Dean prepares his/her final recommendation letter which includes the report of the Personnel Committee, reports the vote of the full Professors assembled, and may provide additional justification for the recommendation. The final portfolio is assembled for submission to University authorities in the required format.

The Dean informs the candidate of the final recommendation.

III. Types of Appointments and Specific Criteria

A. Tenure Track

1. **Instructor.** This rank is used for the initial appointment of an individual who meets all criteria for Assistant Professor but has not yet received the doctoral degree. The appointment is for a period of no more than two years in successive one-year appointments. At the completion of the degree, the individual will be reappointed as an Assistant Professor. In such cases, the effective date of the appointment at the rank of Assistant Professor shall be retroactive to the effective date of the current appointment as Instructor or to the July 1st or January 1st immediately preceding the conferral of the specified academic degree, whichever is nearest in point of time. If the degree has not been awarded at the end of the second year appointment, there will be no further reappointment.
2. **Assistant Professor.** This position is intended for an initial appointment to the University. It is the rank used both for an individual new to a faculty position and for one who has held equivalent rank elsewhere. Initial appointment at this rank is for a probationary term of four years. No guarantee of tenure or promotion accompanies this initial appointment. However, one criterion for appointment is that the candidate appear capable of progressing to tenured status. Only a candidate who shows potential to become an effective teacher and scholar is considered for appointment as Assistant Professor. He/she will generally hold the doctorate or its equivalent at the time of appointment.
3. **Associate Professor.** This position can be attained through promotion from the rank of Assistant Professor in the University (carrying tenure in such cases). When a candidate for initial appointment demonstrates

significant scholarly accomplishment, gives evidence of being an effective teacher, and shows clear promise of later earning promotion to the rank of Professor, the appointment may be made at the rank of Associate Professor usually without tenure for a probationary five-year term of appointment. Only under exceptional circumstances is tenure granted with the initial appointment.

4. **Professor.** This is always a tenured position. As this appointment places the individual at the level of the senior members of the School, such appointments will be made only after it is ascertained that the individual is a productive scholar who has achieved national distinction in addition to being an effective teacher. A candidate who already exhibits all the qualities expected of those who would be promoted from Associate Professor to Professor in the University may be initially appointed as Professor.

B. **Non-Tenure Track**

1. **Fixed-term Administrative Faculty.** Appointments may be made to fixed-term faculty ranks with an appropriate title designation, e.g., Director of Development, etc. Initial fixed-term administrative appointments for a period of one to five years are made by the Dean subsequent to the recommendation of a search committee appointed by the Dean.
2. **Adjunct Teaching/Research/Service Faculty.** At SILS, the term “adjunct” is used to refer to those who hold primary University appointments elsewhere on campus, at another academic institution, or who do not have an academic appointment but have demonstrated excellence in information and library science teaching, research or service in the community (e.g, in Research Triangle Park). A criterion for appointment is that the individual can contribute to the needs of the School, faculty, or students in such a way as to be of special benefit to the School. The candidate must meet criteria similar to those of tenure-track faculty in the fields of teaching, research, and/or public service appropriate for their area of appointment.

Appointments may be made at the ranks of Assistant Professor, Associate Professor, or Professor. Examples of titles for these appointments are: Adjunct Research Professor, Adjunct Teaching Professor, Adjunct Assistant Professor of Practice, Adjunct Research and Teaching Professor, etc. The rank to which appointed is commensurate with the candidate’s record of accomplishment for the field(s) in which his/her appointment is made.

Appointments are made by the Dean upon the recommendation of the Personnel Committee. Appointments are usually made for five-year terms after an initial one-year appointment.

3. **Distinguished Appointments.** Distinguished appointments are used for special appointments relating to research, teaching and/or service. Appointments are made by the Dean following consultation with the Personnel Committee.
4. **Clinical Teaching Faculty.** Clinical teaching faculty are typically appointed by the Dean for an initial one year appointment. These appointments are generally part-time appointments. Clinical teaching faculty are appointed as clinical lecturers, clinical assistant professors, etc.
5. **Visiting Faculty.** Visiting appointments are offered to individuals holding faculty appointments at other academic institutions. Visiting appointments may be made at any rank to fill a specific departmental need, usually for a term of a semester or a single academic year. These appointments are generally full-time appointments. Under certain circumstances, visiting appointments can be renewed for one year but may not exceed two years in succession. They are not viewed as leading to permanent positions. To be considered for appointment as a visiting faculty member, an individual must meet the criteria for tenure-track faculty of the designated rank. Visiting appointments are made by the Dean subsequent to a recommendation from the Personnel Committee.
6. **Fixed Term Teaching Faculty.** Appointments may be made at any rank to fill a specific departmental need, usually for a semester or a single academic year. These appointments are generally full-time appointments made by the Dean on recommendation of the Personnel Committee.

Reappointments (Non-Tenure Track).

1. **Fixed Term Administrative Faculty.** Reappointments for one to five year's duration are made by the Dean with solicited input from the faculty.
2. **Adjunct Teaching/Research/Service Faculty.** At least one year before the expiration of a multi-year appointment, the adjunct's contribution to the needs of the School are reviewed by the Personnel Committee. The Dean will provide a report of the individual's activities to the Personnel Committee who will solicit additional input as appropriate and make a recommendation to the Dean.
3. **Distinguished Appointment.** Distinguished appointments are typically made for an indefinite period and are not subsequently reviewed.
4. **Clinical Teaching Faculty.** Contracts are renewable for up to three years to fulfill specific teaching needs in the School. Contracts are renewable

any number of times. Candidates must meet the same criteria for effective teaching as do tenure track faculty.

5. **Visiting Faculty.** Renewal of a visiting faculty appointment for one additional year is made by the Dean on recommendation from the Personnel Committee. The criteria are the same as that used for tenure-track faculty.
6. **Fixed Term Teaching Faculty.** Appointments may be renewed as needed. The individual must meet the same criteria for effective teaching as do tenure-track faculty. Reappointments are made by the Dean subsequent to review and recommendation from the Personnel Committee.

IV. Standards and Evaluative Criteria

The School's ongoing pursuit of excellence entails an active search for a diversity of persons, talents, and backgrounds, based on the School's needs and its long-range goals. Effective contribution to teaching, research and service is expected of all faculty. Personnel actions will take into account the overall mix of faculty contributions and strengths within the School and the individual candidate's unique contribution to the School. The latter aspect presupposes that faculty remain competent to teach courses, advise students, guide student research and conduct their own research in areas that continue to be relevant to the School's mission and programs in a manner that satisfies the conditions of quality specified in the following criteria.

A. Teaching

Effective teaching is a fundamental responsibility of each faculty member. Effective teaching involves a number of dimensions: the ability to design a course of study appropriate to the level of instruction and the nature of the subject matter; the ability to present clear, intellectual exciting lectures and to develop meaningful, challenging assignments; the ability to facilitate discussion and debate in a way to encourage students to articulate their ideas and to examine and evaluate other ideas and arguments; the ability to stimulate intellectual curiosity; and the ability to motivate students to work independently and to gain confidence in their skills. Important factors for teaching in a research university are the integration of research and teaching in the instructional process, the inclusion of the latest research findings and professional debates that affect the field, and the ability to balance theoretical aspects with practical applications. An effective teacher is concerned with the progress and well-being of students, is available for individual conferences beyond the classroom environment and grades and evaluates student work according to the highest standards and gives prompt and useful feedback.

B. Evidence of Effective Teaching

Evaluation for reappointment, promotion and tenure decisions must include the following kinds of evidence to assess the extent to which the candidate has met these criteria:

1. List courses taught each semester for the past three years and the number of students taught by section. Give the names of graduate students supervised, thesis titles, and completion dates for degree work since employment at UNC-CH. Undergraduate honors projects should be included as well.
2. Current and past course and seminar syllabi, reading lists, assignments and the like, which state the course objectives and how they are met.
3. Written evaluations gathered from current students for each course.
4. Written comments from students solicited at the time of consideration for personnel action.
5. Written comments of a random sample of graduates who have taken one or more classes with the candidate.
6. Written evaluations by peer faculty members based on classroom observation, interviews and examination of syllabi and assignments.
7. Examples of work of candidate's students including:
 - a. Papers or abstracts of Master's papers directed by the candidate.
 - b. Abstracts of Dissertations of Ph.D. students directed by the candidate plus others on which the candidate has made a substantial contribution.
 - c. Published work of students showing evidence of strong support and direction from the candidate.
 - d. Examples of other papers or projects completed by students under the candidate's direction.
8. Other documentation considered significant by the Personnel Committee or the faculty member being reviewed.

When making an initial appointment, the Personnel Committee will solicit comments on these criteria from colleagues where the individual has previously taught or studied. A candidate selected to come to campus for an interview will be asked to present his/her current research or another topic of scholarly interest in order to assess his/her ability to present effectively.

C. **Research**

It is the obligation of faculty of the School of Information and Library Science to carry out and report on investigations of scholarly topics. Published books and articles and sponsored research projects are the clearest evidence of scholarly activity. Refereed publications are the preferred vehicles for research reports.

In recommending reappointment, promotion and/or tenure, the School will consider:

1. All published works, works in press, and works under review of the candidate using, where appropriate, reviews of these works and citations to them and the reputation of the journal or publisher carrying the work. Because multi-authored works are not necessarily proportionally attributable, candidates will be asked to describe the nature of their contribution. Multi-authored works are not necessarily proportionally attributable. Where warranted, evidence of the candidate's contribution may be sought.
2. Grant proposals and grant awards to carry out scholarly projects along with the technical reports derived from such funded work with particular weight given to major grants and grants which provide support for faculty members in the School and in other units within the University. In the case of collaborative research, the candidate will be asked to indicate the nature of her or his contributions to the project.
3. Letters of evaluation from recognized authorities outside the School who are scholars in the candidate's areas of expertise will be sought by the chairperson of the committee.

For new tenure track faculty appointments there should be at least four outside letters supporting a recommendation from an appointing school; these letters should indicate the relationship of the letter writer to the candidate in question.

For reappointment with tenure as an associate professor, for promotion from assistant to associate professor with tenure, or for a promotion to full professor, a minimum of four letters of evaluation from outside the University at Chapel Hill shall accompany any recommendation for tenure and/or promotion. In advance of the review, a candidate will be asked to submit a list of four or more names of colleagues outside the University from which the reviewing committee may make selections. The Committee will identify reviewers from a variety of sources and ask the candidate if any of the selected individuals might be inappropriate. The Committee will consider any evidence of bias the candidate wishes to present, but the final selection of outside peers will remain with the committee. A candidate will be informed when letters of solicitation are placed in his or her personnel file. Reviewers should be requested to emphasize the quality of a candidate's research contributions. Reviewers

must be informed that a candidate has the right to read letters of evaluation.

It is assumed that outside evaluators will be asked to review published material of the colleague and any manuscript or other material the school desires to send for evaluation. If not all of the material is sent for review, the candidate will be informed of the items sent.

All letters of recommendation or evaluation received by the school form a part of the colleagues' personnel file and all outside review letters must be sent forward by the appointing school together with the recommendation.

Outside reviewers shall be informed that their letters become part of the personnel file and, under state law, are open to the candidate.

4. A list and description of ongoing research work and its stage of completion plus any draft materials from such work, including galleys, typescripts, and letters of acceptance.
5. Papers presented at institutes and workshops.
6. Invitations to serve on panels and juries and requests to give conference presentations.

D. Service

Faculty members in a professional school have a responsibility to the profession. Additionally, they have a responsibility to the School and the University.

Candidates for personnel action will be expected to:

1. Serve within the School on committees and in coordinator roles; attend and participate in all faculty meetings; contribute questions and evaluative assessments for comprehensive exams; serve on doctoral committees; advise students; assist in hosting distinguished visitors to the School and the like.
2. Represent the School within the University through service on University committees and attendance at various forums of importance to the School and the University.
3. Represent the School and the University positively to the other external communities on matters of professional interest.
4. Serve the profession by participating in and providing leadership to professional associations on local, state, regional and national levels.
5. Serve as consultants on professional and research matters.

Although the primary concerns of the faculty are research and teaching, each person will be expected to be involved in a variety of service activities. Each faculty member will also be expected to share equitably in and perform

competently in day-to-day and special activities necessary to develop and maintain a high quality professional school.

V. Reappointment and Promotion

Individuals will be evaluated for reappointment, promotion and tenure on the basis of their achievements in research, teaching and service. Expectations are different at each professorial rank. For instance, to be reappointed as Assistant Professor, an individual must have demonstrated research competence, while to be promoted from Associate Professor to Professor, he/she must have attained national distinction for research. Teaching effectiveness, however, is required at all levels. This section outlines criteria and procedures for reappointment and promotion at each rank.

A. Reappointments (Tenure Track)

1. **Assistant Professor.** Not less than twelve months before the expiration of the first term of appointment, a decision must be made and communicated in writing to the assistant professor as to whether or not he or she will be reappointed upon expiration of the current term. No decision then has to be made as to the rank of reappointments. If a decision to reappoint is made and no decision to promote is made, the assistant professor is reappointed for a second probationary term of three years. In order to provide adequate time to conduct the review it would be initiated two years before the expiration of the term.

Not less than twelve months before the expiration of this second term a decision must be made and communicated in writing to the assistant professor as to whether he or she will be reappointed upon expiration of the current term. Reappointment will be contingent upon promotability as an individual will not be appointed for more than two terms, a total of seven years, at the rank of assistant professor. The assistant professor must be considered for promotion to the rank of associate professor at least one and a half years before the expiration of the second term. A review should begin two years before the expiration of the term in order to provide adequate time to conduct the review.

To be recommended for reappointment an assistant professor must have demonstrated research competence as evidenced by refereed publications, teaching competence, and service to the school and profession.

2. **Associate Professor.** Not less than twelve months before the expiration of the first term of appointment, a decision must be made and communicated in writing to the associate professor as to whether or not he or she will be reappointed upon expiration of the current term. No decision then has to be made as to the rank of reappointment.

In order to provide adequate time to conduct the review it should be initiated two years before the expiration of the term. The recommendation may be (a) to promote to Professor as described in paragraph V.B.2, with

automatic conferral of tenure; (b) to reappoint as Associate Professor with tenure; or (c) neither, in which case the appointment will terminate at the end of the five year term.

To be considered for tenure, a faculty member must have demonstrated research ability, be committed to ongoing research, have a strong teaching record, and be recognized as a helpful and valued colleague, who has conscientiously performed needed service within the academic and professional community. Only those persons showing promise of continuing achievement in all three areas of research, teaching and service will be tenured.

B. Promotion

1. **Associate Professor.** Normally, an Assistant Professor will be considered for promotion and tenure in the first semester of the sixth year after initial appointment. The promotion to Associate Professor automatically confers award of tenure and requires teaching competence and scholarly activity. To be considered for tenure, a faculty member must have demonstrated research ability, be committed to ongoing research, have a strong teaching record, and be recognized as a helpful and valued colleague, who has conscientiously performed needed service within the academic and professional community. Only those persons showing promise of continuing achievement in all three areas of research, teaching and service will be tenured.

In exceptional circumstances, an individual may be considered for promotion to Associate Professor and tenure at the end of his/her first four-year term. One such circumstance might be a prior tenure-track appointment elsewhere and evidence of scholarly accomplishments well beyond what is expected of an Assistant Professor. Review for early consideration of promotion is done without prejudice or penalty to any later review for promotion.

2. **Professor.** In most cases, promotion from Associate Professor to Professor will be considered in the fall first semester of the fifth year after the candidate has become an Associate Professor, and every third year thereafter to determine his/her qualifications for promotion. Early consideration of promotion is done without prejudice or penalty to any later review for promotion. The candidate for Professor must have a scholarly record of national distinction and a commitment to ongoing research in his/her field. In addition, he/she must be an effective teacher, and must have continued to serve the School, the profession and the University as a mature scholar.

A full review for promotion to Professor must include collection and consideration of comments from alumni, students, other faculty members, and a minimum of four external reviewers. The candidate must develop a portfolio containing a personal statement regarding teaching, research and

service; copies of his/her publications; course syllabi; ratings on faculty approved standardized student evaluations on courses taught; and other relevant materials.

An Associate Professor may choose an Internal Review rather than a full review at one or more of the required review periods, although in no case may an internal review be substituted for a full review in two consecutive periods. An internal review consists of all the items included in a full review with the exception of comments from external reviewers. Alumni comments, a personal statement from the candidate, and a quasi-external review by a UNC faculty member or librarian is optional but may be solicited or included if the reviewee so chooses.

VI. Post tenure review policy

Statement of Purpose. The School of Information and Library Science seeks to advance the profession and practice of librarianship and information science; to prepare students for careers in the field of library and information science; and to make significant contributions to the study of information. The purpose of the School's post-tenure review policy is to ensure that faculty continue to support the mission of the School effectively after tenure is granted. Throughout their careers, members of the faculty of the School of Information and Library Science are expected to maintain the School's standards of excellence in teaching, research, and service as described in the School's *Appointments, Promotions, and Tenure* documentation.

Schedule for Review

Cycle of Review. The number of faculty members to be reviewed in any given year will be approximately 20% of the number of tenured faculty members, excluding the Dean. This approximately 20% will include those tenured faculty being evaluated for promotion that year as well as tenured faculty not seeking promotion during that year. All tenured faculty members other than the Dean will be reviewed during a five-year period beginning with the 1998-1999 academic year, and in five-year cycles thereafter. Members of the faculty other than the Dean who are appointed to tenured positions in subsequent years will be brought into the five-year cycle and evaluated no later than five years after the effective date of tenure.

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.

General Principles. The faculty believes that the post-tenure review should be as simple, straightforward, fair, functional, constructive, and flexible as possible, so that the purposes of the review process are achieved in both an effective and time-efficient fashion.

Obligation of Confidentiality. All matters related to post-tenure review, as with all personnel matters, will be treated as confidential in nature and those involved with evaluating faculty will take seriously their obligation to abide by this requirement.

Participation by Faculty Member being Reviewed. A faculty member who is being reviewed during a given semester will take an active role in the post-tenure review process by assisting with planning, preparing relevant background information, engaging in constructive dialogue with the Dean and colleagues, and undertaking a Development Plan if needed to address deficiencies in performance.

Process. Before the beginning of the semester in which evaluation takes place, the Dean will notify the faculty member that the evaluation is scheduled for the coming semester and will inform the faculty member which materials will be needed to be submitted by the faculty member and the dates for submission. All materials will be submitted to the Dean, who will forward appropriate materials to the Personnel Committee. The Personnel Committee will obtain additional appropriate materials, such as letters from faculty and students addressing ways in which the person being evaluated supports the goals of the School as described in the School's Mission statement. A letter making recommendations will be submitted by the Personnel Committee to the Dean before the end of the semester. The Dean will make constructive recommendations to the candidate, both in a meeting and in writing, and a Development Plan will be developed addressing those significant deficiencies needing to be remedied.

Composition of the Evaluation Committee: The School's Personnel Committee will evaluate the post-tenure faculty member. Usually, the committee will consist of one assistant professor, one associate professor, and one professor, as well as a current master's student and a current doctoral student.

Determination Regarding Overall Performance. The Personnel Committee will indicate to the Dean those areas in which the faculty member is satisfactory and those areas in which substantial improvement is considered desirable. Specific constructive recommendations may be made to the Dean. The Dean will then make her or his desired recommendations to the faculty member. If a Development Plan is required by the Dean, the necessity will be communicated to the faculty member at this time.

Recognition of Outstanding Performance. In instances in which the faculty member being reviewed is found to have evidenced outstanding overall performance, the Dean will endeavor to recognize that performance through

appropriate forms of positive recognition, including but not limited to nominations for awards.

Establishment and Monitoring of a Development Plan. If the Dean requires that the faculty member produce a Development Plan, the faculty member will do so during the month after the necessity for its development is communicated to the faculty member. Constructive comments from the Dean should be sought during its development and the plan must meet with the Dean's approval. The plan will contain clear behavioral goals, indicators of goal attainment, and a reasonable time frame for the completion of goals. The Dean will include or attach a statement of the consequences if the goals are not reached. Those faculty who have been found to have significant deficiencies and who are working on achieving the goals specified in the Development Plan will be evaluated yearly by the Dean for up to three years or until the deficiency has been removed. If the deficiencies continue to exist at the end of three years, the Dean will consider whether action should be initiated pursuant to the *Trustee Policies and Regulations Governing Academic Tenure*, or other steps may be taken to address the substantial deficiencies in performance.

Background Information. The faculty member will prepare a file that contains a current curriculum vitae, student teaching evaluations, one letter from a peer teaching observer describing the results of a peer teaching observation from among the last 3 peer teaching observations, copies of all publications during the last 5 years, and optionally teaching materials currently used in classes and publications from before the preceding 5 years, as well as any other relevant material that the faculty member may choose to submit. The faculty member being evaluated will supply a written statement describing their past and planned teaching, research, service, and activities. Faculty colleagues will be invited to comment on the information contained in the material submitted. Comments from current students will be solicited. Letters will be requested by the Dean from distinguished scholars from outside the School, critiquing the scholarship of the faculty member being evaluated, at the discretion of either the faculty member being evaluated or the Dean.

Peer Observation of Classes. Peer observation of classes will be conducted in order to gain insights about the faculty member's teaching. Normally, such observations will be conducted before the semester in which the candidate is evaluated. Observations will be conducted in accordance with the School's guidelines, as described in the Guidelines for Peer Observations.

Appeals of Findings of Substantial Deficiencies and Development Plans. Faculty members who have produced a Development Plan may appeal the findings of a substantial deficiency or the terms of the Development Plan within 30 days of receiving a final letter from the Dean including such findings and Development Plan. Appeal rights are as provided for in the University's policy on post-tenure review.

Annual Reports Filed with Provost. As provided for in the University policy on post-tenure view, 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 reason for the delay).