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5-26-09 copy to m. walker
(From J. Tovey)

5-27- Rigsby
Pari
George



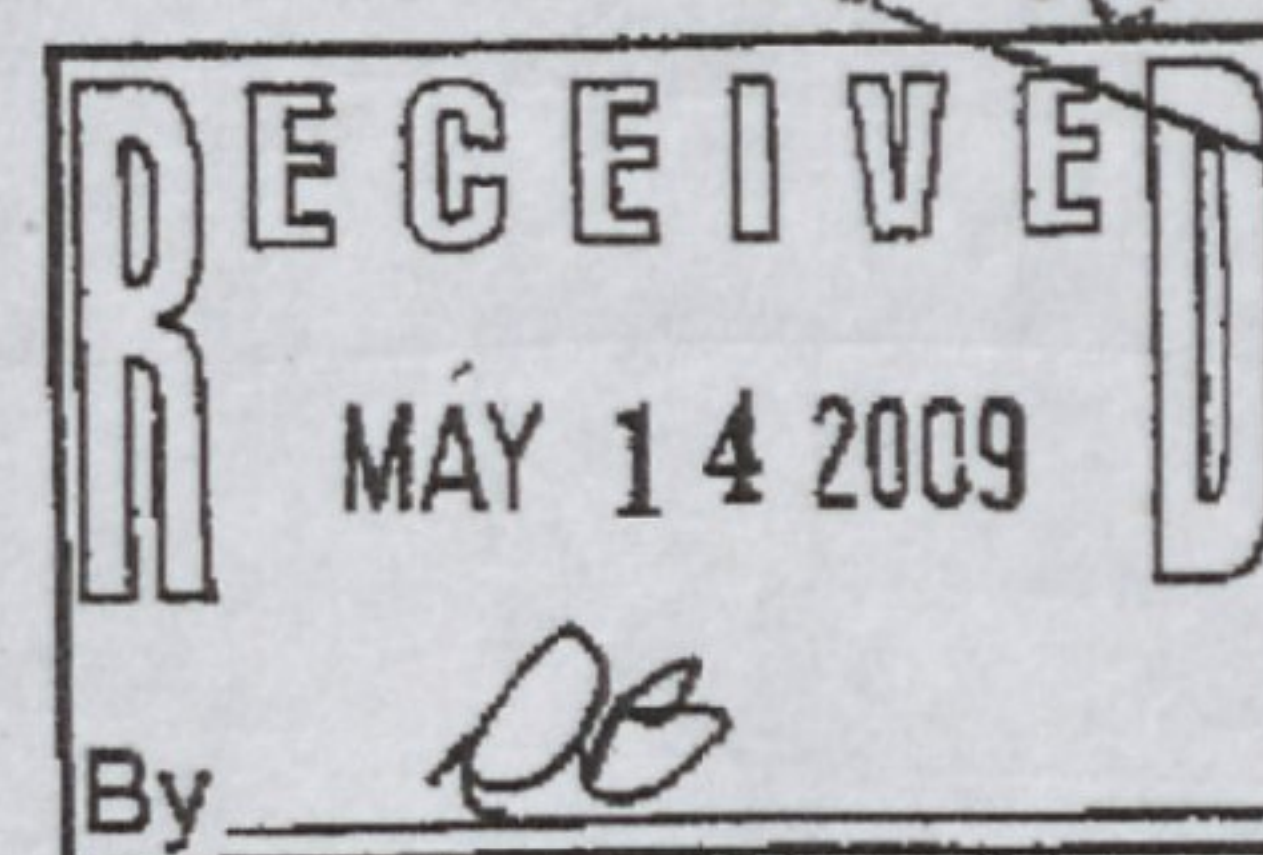
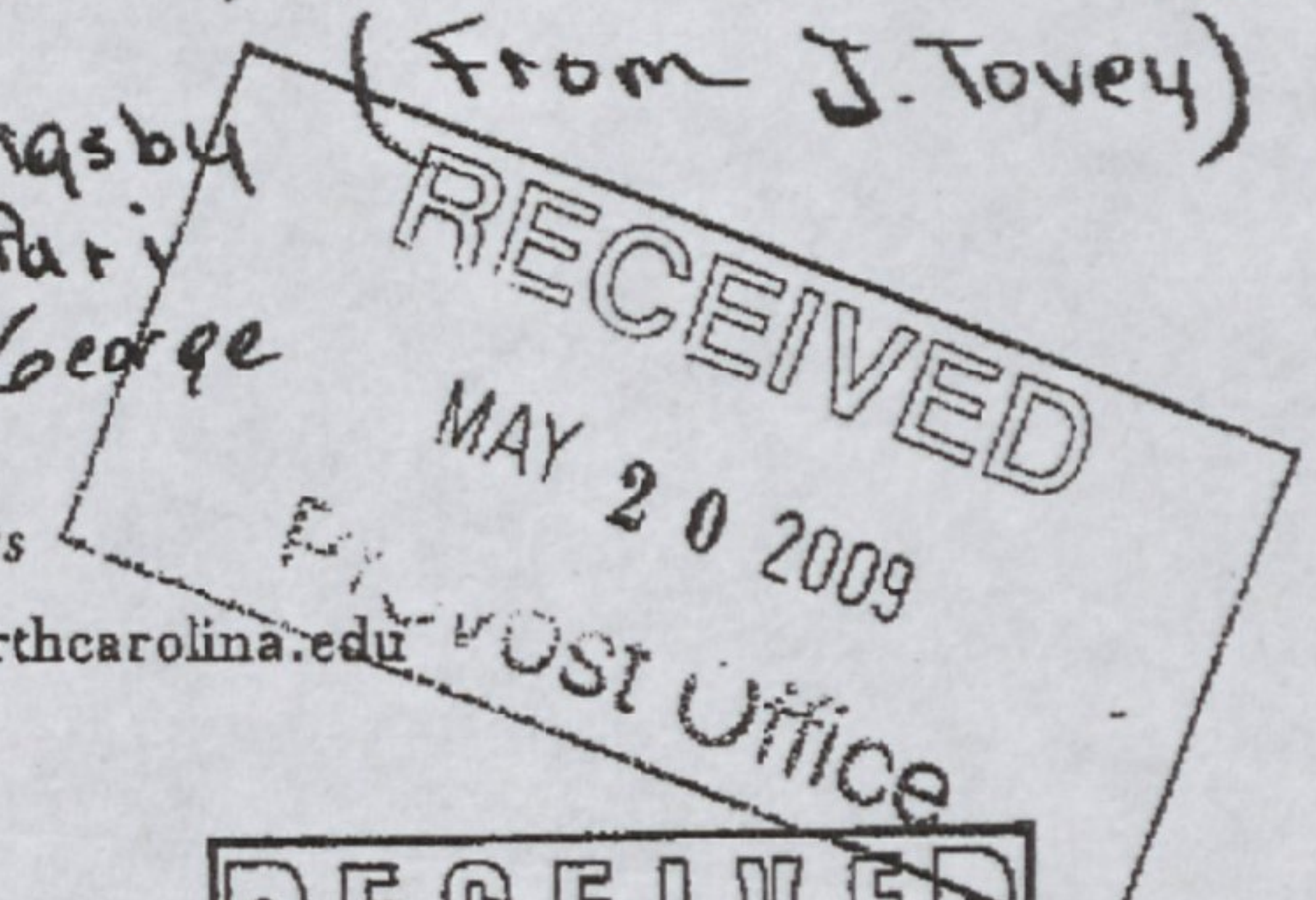
The University of North Carolina

GENERAL ADMINISTRATION

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East Carolina
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Elizabeth City
State University

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University

North Carolina
Agricultural and
Technical State
University

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North Carolina
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North Carolina
at Greensboro

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North Carolina
at Pembroke

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University

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School of Science
and Mathematics

An Equal Opportunity/
Affirmative Action
Employer

May 13, 2009

Dr. Austin Bunch, Associate Provost
East Carolina University
1000 East Fifth Street
Mail Stop 111/Stillman
Greenville, NC 27858-4353

Re: Review of Post-Tenure Review Policy

Dear Dr. Bunch, *Austin,*

We have completed our review of the East Carolina University's revised "Tenured Faculty (Post-Tenure Review)" policies. Generally, this is a model policy and we commend the campus for its work on incorporating the revisions.

However, we do note one issue for which we recommend resolution prior to taking this policy to the Board of Governors for approval:

1. The requirements of UNC Policy Manual, 400.3.3.1[G] 7 and 9 regarding the development plan do not appear to have been fully included in your policy. The omission of these requirements may create problems for ECU later in appeals of dismissal for unsatisfactory performance.

Once we receive an electronic version of the revised policy showing the above change, we will prepare the policy for submission to the Board of Governors for approval.

Please do not hesitate to contact me or Charles Waldrup if you have any questions.

Sincerely,

Harold L. Martin, Sr.
HLM/la
copy: Charles Waldrup

PERFORMANCE REVIEW OF TENURED FACULTY

[At its meeting on May 16, 1997, the Board of Governors adopted the recommendations in the report of the University of North Carolina Committee to Study Post-Tenure Review entitled, "Post-Tenure Review in The University of North Carolina." These recommendations are contained herein. The full text of the report is available at UNC General Administration.]

Recommendations

1. That the system of post-tenure review in the University of North Carolina shall incorporate the following principles:
 - a. The purpose of the review shall be to support and encourage excellence among tenured faculty by:
 - (1) recognizing and rewarding exemplary faculty performance;
 - (2) providing for a clear plan and timetable for improvement of performance of faculty found deficient, and
 - (3) for those whose performance remains deficient, providing for the imposition of appropriate sanctions which may, in the most serious cases, include a recommendation for discharge.
 - b. The system of review will encompass and acknowledge the importance and significance of annual performance reviews while providing for comprehensive, periodic, cumulative review of the performance of all faculty whose primary professional responsibilities are teaching, research, and/or service.
 - c. The review procedure must provide for the evaluation over an appropriate period of time of all aspects of professional performance of faculty relative to the mission of the institution, college, and program. For each tenured faculty member, a cumulative review shall take place no less frequently than every five years. A review undertaken to grant tenure or to decide on promotion qualifies as such a cumulative review.
 - d. There must be peer involvement in the review.
 - e. The review process must include written feedback to the faculty member being reviewed as well as a mechanism for faculty response to the evaluation.
 - f. Institutional policies for post-tenure review must not abrogate, in any way, the criteria and procedures for due process and for discharge or other disciplinary action established in Chapter VI of *The Code* of the University.
 - g. While constituent institutions may wish to consider individual development or career plans for all faculty as a part of the review system, each performance review system must

require such a plan for each faculty member receiving less than satisfactory ratings in the cumulative review. These individual development or career plans must include specific steps designed to lead to improvement, a specified time line in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated time line.

- h. In proposing its policies, each constituent institution must consider the resources necessary to support and facilitate a meaningful review system and its outcomes.
- 2. That within the broad principles approved in 1. above, each constituent institution will develop policies and procedures for review that will reflect the mission of the institution. Development a system of post-tenure review will require re-examination of the effectiveness of current faculty personnel policies as well as planning and program review policies.
- 3. That institutions will have one year following the release of guidelines by General Administration to develop their policies and procedures.
- 4. That the policies and procedures developed by each constituent institution will be approved by the Board of Governors and included in appropriate documents of the constituent institutions.

- * **Note:** "Because of the unique character and mission of the University of North Carolina School of the Arts¹, the requirement that the institution adopt tenure policies will be satisfied at that institution based on renewable contracts. . ." (*The Code*). Therefore, the recommendations contained herein are not applicable to the North Carolina School of the Arts.

¹ Name changed from North Carolina School of the Arts to University of North Carolina School of the Arts effective August 1, 2008.

Guidelines on Performance Review of Tenured Faculty

Background

At its meeting on May 16, 1997, the Board of Governors adopted the recommendations in the report of the University of North Carolina Committee to Study Post-Tenure Review. A copy of that report is available at General Administration. Post-tenure review is defined in the report as "a comprehensive, formal, periodic evaluation of cumulative faculty performance, the prime purpose of which is to ensure faculty development and to promote faculty vitality" (p. 8).

The report asserts that review of the performance of tenured faculty in the University shall be "to support and encourage excellence among tenured faculty by:

1. recognizing and rewarding exemplary faculty performance,
2. providing for a clear plan and timetable for improvement of performance of faculty found deficient, and
3. for those whose performance remains deficient, providing for the imposition of appropriate sanctions, which may, in the most serious cases, include a recommendation for discharge" (p. 12).

The report also provides broad principles for carrying out such reviews but leaves room for each institution to develop the details of its own process following the release of guidelines by General Administration. In keeping with Section 602 of *The Code*, the Board of Trustees of each constituent institution shall adopt the policies and regulations governing performance reviews of tenured faculty. Institutional policies and procedures will also be approved pursuant to Policy 400.3.3 and should be included in all appropriate documents of the constituent institutions.

The report further specifies that "developing a system of post-tenure review will require reexamination of the effectiveness of current faculty personnel policies as well as planning and program review policies" (p. 13). Initiation of these performance reviews in the University of North Carolina provides constituent institutions with an opportunity to create a policy that examines individual faculty contributions to departmental, school/college, and university goals as well as to the academic programs in which faculty teach. Thoughtful attention to the ways in which post-tenure review can promote faculty vitality across their careers will assure that such reviews lead to increased effectiveness within the university.

Guidelines to assist in formulating institutional policy concerning performance reviews of tenured faculty are set out below. Guidelines adopted in June 1997 were used by constituent institutions to develop their post-tenure review policies. Revision of the guidelines was deemed necessary because of the substantial discrepancies in post-tenure review outcomes noted among constituent institutions over a period of years. A review of constituent

institution policies identified practices at some institutions that constrained the rigorous application of post-tenure review as intended by the Board of Governors.

Guidelines

The following guidelines shall be observed in developing institutional policies and procedures for post-tenure review:

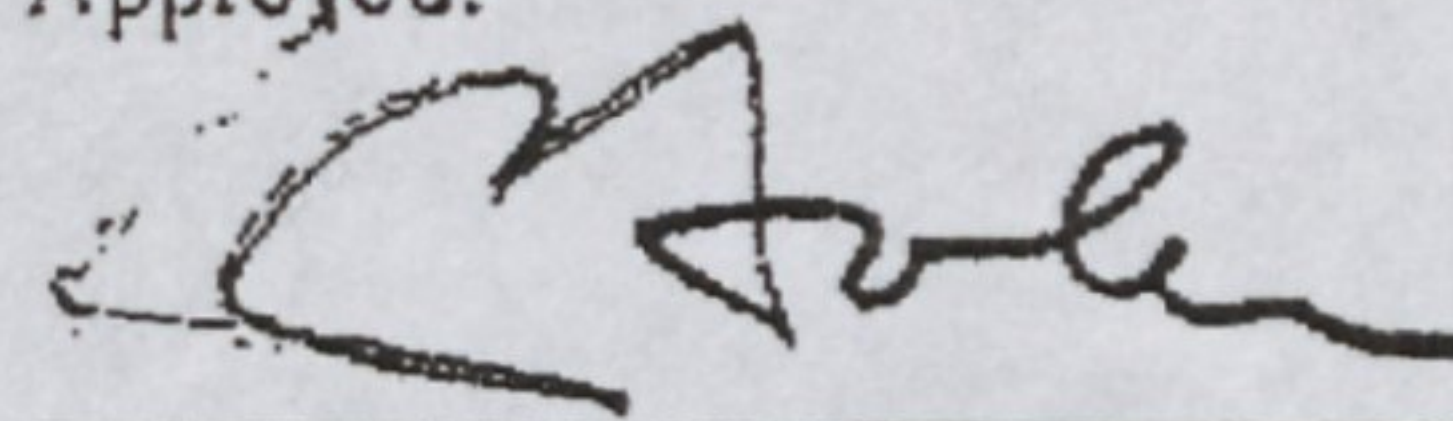
1. Institutions shall develop policies and procedures for implementing post-tenure review and revise them as necessary to conform with the following amended guidelines. Proposed revised policies must be submitted to General Administration for approval no later than October 1, 2008. Implementation of revised policies will be effective upon approval pursuant to Policy 400.3.3.
2. Institutional policy statements shall show the relationship between the annual performance review of tenured faculty and the post-tenure review. Annual performance reviews, however, are not a substitute for the "comprehensive, periodic, cumulative review" required by the Board of Governors. The post-tenure review process can be informed by annual reviews but must involve an additional assessment as described in these guidelines.
3. Institutional reviews shall provide for the evaluation of all aspects of the professional performance of faculty whose primary responsibilities are teaching, and/or research, and/or service. If faculty responsibilities are primarily only to one or two of these areas, post-tenure review and resulting recommendations should take this allocation of responsibilities into account.
4. Institutional policies shall assure that faculty performance will be examined relative to the mission of the institution, college, and program.
5. Institutional policies shall assure that each tenured faculty member undergoes a cumulative review no less frequently than every five years. (Note: a review undertaken to grant tenure or to decide on promotion qualifies as such a cumulative review.)
6. Institutional policies shall explicitly involve peers in the review process. A peer review committee for a department or academic unit will be selected by a process agreed upon by the tenured faculty in that unit. The faculty member being reviewed will not have the option of selecting members of the peer review committee. The department chair or academic unit head must consult with the peer review committee. Post-tenure review outcomes in an academic unit must be reviewed at one or more higher administrative levels.
7. Institutional policies shall assure that there is written feedback to the faculty member being reviewed as well as a mechanism for faculty response to the evaluation. As intended by the Board of Governors, this feedback should include recognition for exemplary performance. Because performance rewards are often part of the annual review process, the post-tenure review may provide additional support for this form of recognition. A negative review must include a statement of the faculty member's primary responsibilities and specific descriptions of shortcomings as they relate to the faculty member's assigned duties. Faculty response to a negative review will also be shared at the next highest administrative level.

8. Institutional policies shall be in compliance with the criteria and procedures for due process and for discharge or other disciplinary action established in Chapter VI of *The Code of the University*.

9. Institutional policies shall require individual development or career plans for all faculty receiving less than satisfactory ratings in the cumulative review. These plans must include specific steps designed to lead to improvement, a specified time line in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated time line. The use of mentoring peers is encouraged, and progress meetings with the department chair or academic unit head must occur on at least a semi-annual basis during the specified timeline. 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.

10. As policies are developed, institutions shall consider resource implications of a meaningful performance review system, identifying in advance the sources of support for the process and its outcomes.

Approved:



Erskine B. Bowles, President

March 10, 2008