



POLICY TITLE	Post-Tenure Review	Policy Number	638
Section	Academics	Approval Date	February 22, 2018
Subsection	Faculty	Effective Date	February 22, 2018
Responsible Office	Office of the Vice President of Academic Affairs		

1.0 PURPOSE

1.1 In accordance with Utah State Board of Regents' policy and accreditation requirements, the University conducts post-tenure reviews of tenured faculty members in order to (1) recognize performance in the discipline's endeavors that demonstrates growth and development; (2) communicate to the faculty member improvements needed in scholarship, teaching, and service and in adhering to UVU Policy 635 *Faculty Rights and Professional Responsibilities* and other applicable policies; and (3) enhance each individual's future productivity.

2.0 REFERENCES

2.1 Northwest Commission on Colleges and Universities *Accreditation Standards* 2.B.6 "Human Resources"

2.2 Utah Board of Regents' Policy R481 *Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review*

2.3 UVU Policy 633 *Annual Faculty Reviews*

2.4 UVU Policy 635 *Faculty Rights and Professional Responsibilities*

2.5 UVU Policy 646 *Faculty Appeals for Retention, Tenure, and Promotion*

2.6 UVU Policy 648 *Faculty Personnel Reduction (Interim Policy)*

3.0 DEFINITIONS

3.1 Faculty performance file: An ongoing file maintained by a faculty member and next-level supervisor, with a copy in the dean's office, for each tenured faculty member. The file contains a faculty member's annual reviews of teaching, beginning with the first year that a faculty member is tenured and continuing throughout the faculty member's career at the University.

3.2 Post-Tenure Remediation Review Portfolio: A collection of documents, including but not limited to all annual reviews, improvement plans, and faculty member and chair documentation



of efforts to meet any improvement plans. This portfolio is submitted by a faculty member for review in cases where the faculty member receives a negative annual review and fails to complete the agreed upon improvement plan during the post-tenure retention review period.

3.3 Post-tenure Remediation Review: The process initiated after a failed or partially failed post-tenure review, or after two annual reviews that do not meet expectations in a three-year period, when a tenured faculty member is subject to remediation under an improvement plan in accordance with this policy.

3.4 Retention, Tenure, and Promotion (RTP) Committee: A group of tenured faculty members that evaluates faculty peers for recommendations for or against retention, tenure, or promotion. RTP committees may serve a single academic department, a cluster of academic departments in the same school, or an entire school.

4.0 POLICY

4.1 Post-Tenure Review

4.1.1 The Office of the Senior Vice President of Academic Affairs (SVPAA) provides oversight and management of the annual review process, and approves and retains copies of all school/departmental post-tenure annual review criteria.

4.1.2 Post-tenure annual review criteria shall include teaching, scholarship/creative works, service, and compliance with *Policy 635 Faculty Rights and Responsibilities* and other applicable university policies. The standards for teaching, scholarship/creative works, and service against which faculty are evaluated are established by each department in its post-tenure review criteria. Departmental post-tenure review criteria and procedures shall be consistent with the requirements of all university policies and RTP requirements.

4.1.3 Post-tenure review is conducted on a five-year cycle that begins after a tenure-track faculty member is awarded tenure or a tenured faculty member has successfully completed post-tenure review remediation. Post-tenure review is not a reapplication for tenure every five years. Post-tenure review consists of the next-level supervisor and appropriate RTP Committee reviewing materials from the faculty performance file for the previous five years. Each year faculty members are responsible for submitting required materials and ensuring that the department, dean, and the SVPAA receive the same files. Faculty members have the right to submit additional materials for inclusion in the file.

4.1.4 Any supervisor or committee conducting a faculty member's post-tenure review has the responsibility to ensure any annual review findings are not made in violation of the faculty member's right to academic freedom, and to ensure all findings are the result of evaluation of the faculty member's performance of faculty responsibilities.



4.1.5 During a five-year period, faculty members who meet or exceed departmental post-tenure criteria successfully pass post-tenure review for that cycle. These faculty members shall be notified by their deans that they have successfully passed post-tenure review.

4.1.6 Tenured faculty members shall complete remediation when they do not satisfactorily meet departmental post-tenure criteria during post-tenure review, or who receive two negative annual reviews during a three-year period (see 5.2).

4.1.7 When it is determined that a faculty member's performance as reflected in the Post-Tenure Remediation Review Portfolio does not meet the standards of the departmental post-tenure review criteria, or that a faculty member has not complied with UVU Policy 635 and other applicable university policies, the faculty member shall be referred to UVU Policy 646 *Faculty Appeals for Retention, Tenure, and Promotion* or 648 *Faculty Personnel Reduction (Interim Policy)* as appropriate.

4.1.8 Faculty members retain the right to appeal sanctions resulting from post-tenure or performance-related actions, pursuant to UVU Policy 646 *Faculty Appeals for Retention, Tenure, and Promotion* or 648 *Faculty Personnel Reduction (Interim Policy)*, as appropriate.

5.0 PROCEDURE

5.1 Post-Tenure Review

5.1.1 Departments shall ensure post-tenure review criteria are clear and are included in annual review criteria. Departments/schools shall supply, update, and obtain approval of any changes in post-tenure criteria from the SVPAA. The SVPAA shall keep a list of faculty members' post-tenure status. Post-tenure review shall be based upon the departmental faculty performance files.

5.2 Post-Tenure Remediation Review

5.2.1 Annually, department chairs shall monitor the three most recent annual reviews for tenured faculty members. If within a three-year period a tenured faculty member receives a first annual review noting that departmental criteria have not been met in one or more sections of the departmental/program post-tenure criteria or the faculty member has not complied with *Policy 635 Faculty Rights and Responsibilities* or other applicable university policies, the faculty member shall complete remediation as outlined in UVU Policy 633 *Annual Faculty Reviews*. If within a three-year period a tenured faculty member receives a second annual review noting that departmental criteria have not been met in one or more sections of the departmental/program post-tenure criteria or the faculty member has not complied with *Policy 635 Faculty Rights and Responsibilities* or other applicable policies, the faculty member shall enter into post-tenure remediation review.

5.2.2 During post-tenure remediation review, the faculty member and next-level supervisor shall create an improvement plan by following the procedures in UVU Policy 633 *Annual Faculty*



Reviews. In addition to the procedures in Policy 633, tenured-faculty improvement plans should contain a commitment from the department heads regarding resources available for remediation.

5.2.3 The improvement plan shall only include those specific areas that do not meet departmental post-tenure review standards or university policy compliance. The faculty member shall work with the RTP chair and department chair to find and utilize appropriate developmental opportunities and meet the plan's provisions within an appropriate amount of time. Depending on the areas of remediation, improvement plans may vary in the time necessary for completion; the faculty member and department chair shall agree upon an appropriate timeframe.

5.2.4 Until completion, the faculty member and the next-level supervisor shall incorporate the improvement plan into the department/school annual review criteria and review the improvement plan during annual reviews. The improvement plan shall be an additional criteria for evaluating the faculty member in the annual performance review. Adequate progress in the plan shall qualify as meeting university and departmental standards.

5.3 Submission and Review of the Post-Tenure Remediation Review Portfolio

5.3.1 During remediation, if a faculty member receives a third annual review that falls below university and departmental standards and/or if a faculty member fails to remediate issues or maintain ongoing, adequate progress towards remediation, as outlined in the improvement plan, within a reasonable time under the circumstances, the faculty member shall compile and submit a Post-Tenure Remediation Review Portfolio regardless of where the faculty member is in the five-year cycle of post-tenure review. Evaluation of the Post-Tenure Remediation Review Portfolio shall be based only on the contents of the portfolio.

5.3.2 A faculty member's RTP Committee, next-level supervisor, dean, and the SVPAA shall make recommendations regarding the contents of the portfolio. The contents include but are not limited to a faculty member's curriculum vitae; annual reviews; Student Ratings of Instructor (SRIs); documentation related to teaching, scholarly/creative works and service; and internal and/or external peer reviews of a faculty member's performance. During this review process, the RTP Committee, next-level supervisor, dean, and the SVPAA may also consider, and make recommendations about, the faculty member's compliance with *Policy 635 Faculty Rights and Responsibilities* and other applicable university policies.

5.3.3 The department/school RTP Committee, next-level supervisor, dean, and the SVPAA shall review materials from the Post-Tenure Remediation Review Portfolio, and consider policy compliance, separately and in succession. Recommendations addressed to the person at the next level of review shall be included in the portfolio as it progresses through the levels of review. Recommendations that disagree with those made at a previous level of review shall be explained in detail in the accompanying recommendation document. Any additional relevant materials regarding the faculty member's performance included in the portfolio by any party shall be disclosed to all parties.



5.3.4 The following table outlines each step and its corresponding deadline for the submission and review of a Post-Tenure Remediation Review Portfolio:

Action	Deadline
1) The next-level supervisor shall refer the faculty member to the department RTP Committee to begin the creation of the portfolio.	March 21
2) The faculty member shall submit the Post-Tenure Remediation Review Portfolio to the department RTP Committee; and The next-level supervisor shall submit the faculty member’s five preceding annual faculty reviews, along with any additional relevant materials regarding and known by the faculty member, to the department RTP Committee for review.	April 4
3) The chair of the RTP Committee shall forward the Post-Tenure Remediation Review Portfolio along with the Committee’s written, detailed recommendation to the next-level supervisor. The Committee’s recommendation shall comment in detail on significant achievements and/or recommend any areas for improvement, any previous attempts at remediation, as well as whether the faculty member’s portfolio demonstrates compliance with departmental post-tenure review criteria in teaching, scholarship/creative works, and service.	April 11
4) The next-level supervisor shall forward the Post-Tenure Remediation Review Portfolio, along with a detailed written recommendation to the dean (unless the faculty member is a department chair, in which case the RTP Committee forwards the portfolio directly to the dean).	April 18
5) The dean shall make available to the candidate a copy of the recommendations of the RTP Committee, next-level supervisor, and dean. The dean’s recommendation shall be written and detailed.	April 25
6) The candidate may respond in writing to the dean. Any response, including relevant supporting documents submitted by the faculty member, shall be added to the Post-Tenure Remediation Review Portfolio. Upon receipt of the candidate’s response, if any, the dean shall forward the portfolio to the SVPAA.	May 1
7) The SVPAA shall review the portfolio and render a final written decision and send copies of the decision to the faculty member, dean, next-level supervisor, and chair of the RTP Committee. The SVPAA’s decision is final.	May 7

5.3.5 In cases where reviewers determine that a faculty member’s Post-Tenure Remediation Review Portfolio does not meet the standards of the departmental post-tenure review criteria, or does not comply with *Policy 635 Faculty Rights and Responsibilities* and other applicable university policies, the faculty member shall be referred to UVU Policy 646 *Faculty Appeals for Retention, Tenure, and Promotion* or 648 *Faculty Personnel Reduction (Interim Policy)* as appropriate. The SVPAA shall maintain an electronic copy of the Post-Tenure Remediation Review Portfolio, including any required improvement plans.



5.4 Remediation and Disciplinary Action

5.4.1 In cases where the faculty member's performance at a subsequent annual review during post-tenure remediation review meets or exceeds the standards of the departmental criteria (or requirements stemming Policy 635 or other applicable policies if applicable) in specific areas discussed in the improvement plan, by March 14 the next-level supervisor shall notify the faculty member, RTP Committee, dean, and SVPAA in writing. The next-level supervisor shall place a detailed report regarding the successful remediation in the faculty member's faculty performance file and Post-Tenure Remediation Review Portfolio.

5.4.2 In cases where the faculty member is required to submit a Post-Tenure Remediation Review Portfolio and a review of the portfolio results in a sanction per Policy 648, the faculty member may file an appeal to the RTP Committee within 21 calendar days.

5.4.3 In cases where the faculty member's performance at a subsequent annual review during post-tenure remediation review does not meet standards, but has detailed supporting evidence that the faculty member will meet standards by a date within the next 90 calendar days, as determined by the next-level supervisor, the next-level supervisor, RTP chair, and dean shall jointly write a recommendation, including supporting evidence of the faculty member's ability to meet expectations by that date, to the SVPAA for an extension. The SVPAA shall write a recommendation, including supporting evidence of the faculty member's ability to meet expectations. The SVPAA shall make the final recommendation by the seventh calendar day after the extension date.

1) In cases where the faculty member's performance meets or exceeds the standards of the departmental post-tenure review criteria in those specific areas discussed in the improvement plan by the extension date, the chair of the department shall notify the faculty member, RTP Committee, dean, and the SVPAA in writing within seven calendar days.

2) In cases where the faculty member's performance remains unsatisfactory in those specific areas discussed in the improvement plan on the date of the extension, the next-level supervisor, in consultation with the dean and the SVPAA, shall refer the matter to UVU Policy 648 *Faculty Personnel Reduction (Interim Policy)* as appropriate.



Annual Review Results	Remediation Required?	Post-Tenure Review Required?	Post-Tenure Remediation Review Portfolio Required?	Disciplinary Action
Met/Exceeded five-year post-tenure review criteria (all 5 annual reviews were satisfactory)	No	Yes	No	None
First negative annual review in a 3-year period	Yes	No	No	None
Second negative annual review in a 3-year period	Yes	Yes	Yes—if improvement plan is not completed. No—if improvement plan is completed.	Per Policy 646 or Policy 648, as appropriate.

5.4.4 While compliance with Policy 635 *Faculty Rights and Responsibilities* and other university policies is, as set forth above, an important component of annual reviews and post-tenure review, faculty members may be disciplined at any time during their tenure if they violate university policies outside of the post-tenure review process and in accordance with the requirements of Policy 648 *Faculty Personnel Reduction (Interim Policy)*.

POLICY HISTORY		
February 22, 2018	Revised policy approved for entrance into the Policy Manual.	UVU Board of Trustees
February 11, 2010	Revised policy approved for entrance into the Policy Manual.	UVU Board of Trustees
April 14, 2005	Policy approved for entrance into the Policy Manual	UVU Board of Trustees