



UCCS CAMPUS POLICY

Policy Title: Post-tenure Review

Policy Number: 200-016

Policy Functional Area: i.e. ACADEMIC

Effective:	June 27, 2017
Approved by:	Venkat Reddy, Chancellor
Responsible Vice Chancellor:	Executive Vice Chancellor of Academic Affairs (EVCAA)
Office of Primary Responsibility:	EVCAA
Policy Primary Contact:	EVCAA, 719-255-3700
Supersedes:	N/A
Last Reviewed/Updated:	March 3, 2008
Applies to:	Tenured faculty members

Reason for Policy: The purpose of this policy is to develop procedures for appropriate peer evaluation during PTR, for appeals of the PTR evaluation, and for granting PTR development awards.

I. INTRODUCTION

At the University of Colorado Colorado Springs (“University”), tenure is granted with the expectation of continued professional growth and ongoing productivity in teaching, research/creative work, professional practice (if applicable), librarianship, and leadership/service. Thus, every tenured faculty member has a duty to maintain professional competence. The purposes of post-tenure review (PTR) are: (1) to facilitate continued faculty development, consistent with the academic needs and goals of the University and the most effective use of institutional resources; and (2) to ensure professional accountability by a regular, comprehensive evaluation of every tenured faculty member's performance.

Any PTR procedures developed at the college or department level must conform to this policy and any other system or campus policies on PTR.

II. POLICY STATEMENT

A. Procedures

1. General.

- a. Timelines. The post-tenure review process begins at tenure with the first PTR occurring five years after the faculty member is continuously tenured (in the sixth year after receiving tenure) and recurs at five year intervals (year 11, year 16, etc.) except when interrupted by promotion review

or pursuant to a Performance Improvement Agreement. Promotion serves to re-start the PTR clock.

- b. PTR Committee. PTR will be conducted by appropriate faculty peers within the campus, either the primary unit faculty or the faculty of the appropriate college personnel review committee. Each college will develop a written policy detailing how the committee will be constituted. This committee will be referred to below as “the PTR committee.” A faculty member may not serve on a PTR committee in the same year for any member of that faculty member’s PTR committee.

2. Professional Plans.

- a. Development. Faculty members must develop the initial professional plan within twelve months of the award of tenure, in accordance with APS 1022 – Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion Appendix B, and must develop a new professional plan as a part of each post-tenure review. The professional plan should be reviewed and, if needed, updated each year during the annual merit review process. The professional plan may be updated at any time to accommodate a variety of situations such as the receipt of grant awards, acceptance of fellowships, or changes in the focus of research, creative work, or teaching.
- b. Defined Faculty Responsibilities. Defined Faculty Responsibilities are allocated to the areas of research/creative work, teaching, professional practice, librarianship, and leadership/service as established within the primary unit, either as a standard distribution of responsibilities or through an approved faculty responsibility statement (FRS) in the case of a differentiated workload.
- c. Purpose. The primary purpose of the professional plan is to promote faculty development. The professional plan should give faculty members an opportunity to contemplate and communicate their plans for continuing or enhancing their professional contributions to their Defined Faculty Responsibilities. The initial plan should describe projections for professional productivity over a five-year period.
- d. Components. The following components should be considered in developing the professional plan:
 - i. The professional plan should generally not exceed two pages in length. The professional plan should provide a general description of planned activities in the faculty member’s Defined Faculty Responsibilities. A model template for the professional plan is attached as a Form.
 - ii. The professional plan should be qualitative rather than quantitative in nature. The professional plan should provide an overview of the likely areas of professional accomplishments that the faculty member intends to accomplish over the next five years. The document should not be used to set, for example, a specific number of publications projected for that period.
 - iii. The professional plan should be written based on a "good faith" effort on the part of the faculty member to contribute professionally and for the University to adequately support that professional contribution. The professional plan shall not require a faculty member to exceed the expectations applied at the time tenure was granted.
- c. Evaluation. Based on the policy of the primary unit, either the head of the primary unit or a faculty committee will review professional plans annually. Teaching and advising loads must be approved by the reviewer(s) to assure that the teaching needs of the unit are met. In the areas of research/creative work and professional practice the reviewer(s) may only comment on the adequacy, feasibility, or wisdom of the plan, but do not formally approve or disapprove it. In the area of leadership/service, the reviewer(s) will generally comment only on the adequacy, feasibility, or wisdom of the plan unless, in

rare cases, the primary unit determines that a particular kind of service is vital to the mission of the primary unit.

- i. Yearly or post-tenure evaluations of the plan should be based on a review of the quality of the work and a determination of whether appropriate efforts were made in targeted areas. Projections made in the professional plan, when compared to the faculty member's progress and achievements, should be considered as one of many possible bases for evaluating professional performance. The professional plan should not be viewed as the literal fulfillment of a set of nonnegotiable demands or rigid expectations, quantitative or otherwise.

3. Regular Five-Year Review.

- a. When Applicable. Faculty who have achieved an annual performance review evaluation of "meeting expectations" or better since either receiving tenure or the last PTR, whichever is more recent, will undergo Regular Review.
- b. Materials to be Evaluated. In a Regular Five-Year Review, the PTR committee examines the five previous annual performance evaluation reports, including FCQs, peer reviews, other types of teaching evaluation, the curriculum vitae, the faculty member's professional plan(s) from that PTR cycle and an updated professional plan for the next five-year cycle.
- c. PTR Committee Evaluation. The PTR committee shall provide an overall evaluation of the faculty member's performance as either outstanding, exceeding expectations, meeting expectations, below expectations or fails to meet expectations based on an overall consideration of teaching, research/creative work, professional practice (if applicable) and leadership/service, and shall provide a narrative explanation of that evaluation.
- d. PTR Committee Report. The PTR committee will write a brief report stating whether the candidate is meeting expectations or not. The report is an opportunity to evaluate the faculty member's contributions over the past 5 years to the unit, the University, the community (where relevant) and the profession. The PTR committee's report will summarize the PTR Committee's findings regarding the faculty member's adherence to the previous professional plan(s), meeting the department or primary unit's standards, and conclusions about the faculty member's productivity and contributions to the University in teaching, research/creative work, professional practice, and leadership/service. A copy of the PTR Committee's report will be given to the faculty member by the department chair or dean, depending on whether the PTR is undertaken by the primary unit or school/college. A copy of the PTR report will be placed in the faculty member's personnel file. The reports will be forwarded to the dean, who will provide a summary report and copies of the individual reports to the Executive Vice Chancellor for Academic Affairs on the results of all the post-tenure reviews in the college/school.

4. Triggered Review.

- a. Faculty who receive an overall annual performance review evaluation of "below expectations" at any time during the five-year PTR cycle are required to meet with members of their primary unit and/or the unit head, as determined by the primary unit's procedures, to identify the causes of the unsatisfactory evaluation and to plan and implement a written Performance Improvement Agreement (PIA) to remedy their problems in accordance with this policy and APS 5008 – Performance Ratings for Faculty.

5. The Performance Improvement Agreement (PIA).

- a. Faculty who receive a "below expectations" or "fails to meet expectations" summary rating as the result of their annual performance evaluation must participate in developing and implementing a Performance Improvement Agreement (PIA) in accordance with APS 5008 – Performance Ratings for Faculty.
6. Extensive Review.
- a. Faculty who have either received two overall annual performance evaluations that are rated "below expectations" or "fails to meet expectations" ratings within the previous five years, or whose PIA did not result in an evaluation of "meeting expectations" or better, must undergo an Extensive Review by the primary unit in accordance with APS 5008 – Performance Ratings for Faculty.
7. The Development Plan.
- a. Upon completion of the evaluative report, the faculty member, working with the appropriate primary unit committee, shall write a Development Plan in accordance with APS 5008 – Performance Ratings for Faculty.
8. Sanctions.
- a. Faculty members who fail to participate in any aspect of the PTR process, as required, may be subject to sanctions for insubordination and dereliction of duty.
 - b. In cases where the Development Plan has not produced the desired results, the faculty member will be subject to sanctions in accordance with APS 5008 – Performance Ratings for Faculty. The Vice Chancellor's Review Committee shall recommend sanctions in these circumstances.

III. KEY WORDS

Development Awards, Extensive Review, Post-tenure Review (PTR), Summary Evaluation, Triggered Review

IV. RELATED POLICIES, PROCEDURES, FORMS, GUIDELINES, AND OTHER RESOURCES

- A. Administrative Policy Statements (APS) and Other Policies
 - 1. Regent Law Article 5 Faculty Part B: Appointment and Evaluation
 - 2. APS 1022 – Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion
 - 3. APS 5008 – Performance Ratings for Faculty
- B. Procedures
- C. Forms
 - 1. Professional Plan Template (see below)
- D. Guidelines
- E. Other Resources (i.e. training, secondary contact information)

F. Frequently Asked Questions (FAQs)

V. HISTORY

Initial policy approval	March 3, 2008
Revised	N/A

University of Colorado Colorado Springs

Faculty Professional Plan

(A public document under the Open Records Act)

For the period _____ to _____.

Faculty Name: _____ Department: _____

Rank: _____ Percent appointment: _____

The primary purposes of the Professional Plan are to encourage faculty development and assure accountability. The Professional Plan is designed to communicate the defined faculty responsibilities in the areas of teaching, research/creative work, professional practice (if applicable) and leadership/service goals and to relate those goals to the needs of the primary unit. The director or chair of the primary unit (or appropriate primary unit committee) must approve any specific workload assignments defined by the plan (in accordance with school or college procedures for approving differentiated workloads), and may comment on the adequacy or wisdom of the plan, but may not approve or disapprove it.

Workload Weighting

Teaching Research/Creative Work Leadership/Service Professional Practice Librarianship

Percent: _____ _____ _____ _____ _____

Teaching and/or Librarianship. Describe in general terms your plan for contributing to your unit's teaching and advising mission over the next five years. Address the areas of classroom teaching, individualized instruction, graduate training, etc. Do not list specific course assignments.

Research/Creative Work. Describe your plan for contributing to your unit's research/creative work mission over the next five years. Describe work you intend to conduct, and how it will contribute to your overall body of work. Address the issues of proposed funding, publications, performances, and presentations, as appropriate.

Professional Practice (if applicable) Describe your plans in the areas of professional practice or librarianship and how they contribute to your unit's, college or school's, and campus' mission over the next five years.

Leadership/Service. Describe in general your plan for contributing to your unit's, college or school's, and campus' service mission over the next five years. Please address the nature of your service activities at various levels within the University, as well as your service external to the University.

I submit the above information as my Professional Plan. I understand that the contents of my Professional Plan do not necessarily constitute the standards and criteria against which I will be evaluated for the purposes of annual merit and/or promotion and/or tenure.

Faculty Signature

Date

I have reviewed the above Professional Plan and discussed its content with the author.

Authorized Primary Unit signature (chair, director, or dean)

Date

I acknowledge receipt of the above Professional Plan and agree that the stated workload weighting above has been approved.

School or College Official

Date