University of Colorado
Colorado Springs

UCCS CAMPUS POLICY

Policy Title: Post-tenure Review

Policy Number: 200-016   **Policy Functional Area:** Academic

Effective:	June 29, 2023
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:	March 3, 1008; June 27, 2017
Last Reviewed/Updated:	May 19, 2023
Applies to:	Tenured faculty members

Reason for Policy: The purpose of this policy is to develop procedures for appropriate peer evaluation during post-tenure review (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 (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice). 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 and resource needs and goals of the University 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

In accordance with Regent Policy 5.C.2 and APS 1022, tenured faculty shall undergo a post-tenure review (PTR) as a summative review every five years (to include sabbatical). As part of this process, the University shall have procedures for appropriate peer evaluation during PTR and for appeals of the PTR evaluation. In addition, the primary units shall have written guidelines that conform to campus procedures and APS 1022.

This policy describes University specific procedures for faculty undergoing PTR in order to make PTR a meaningful process for the faculty and to conform with APS 1022.

A. Procedures
   1. General
      a. Timelines. The initial post-tenure review process occurs five years after the faculty member is granted tenure and recurs at five-year intervals unless interrupted by promotion review or leave. Promotion serves to re-start the PTR clock. Leave extends the PTR clock in increments of one year.
      b. PTR Committee. PTR will be conducted by appropriate faculty peers within the campus; which includes 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. It is recommended that associate and full professors be evaluated by faculty of the same or higher rank. 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. Committee members may consist of members outside the department, if needed, due to departmental composition.
   2. Consistent with college and primary unit policy, the inclusion of these items in the PTR portfolio is required:
      a. Primary Unit Criteria (approved by the Provost)
      b. An updated Current Vita
      c. Executive Summary/Self-Evaluation (based on the past five years work in a clear and concise manner; this is not your annual evaluation). Describe your activities over the five-year period in teaching (or librarianship), scholarly/creative work, and leadership and service. This will include evidence of university, community and/or professional leadership/service; and, If applicable, evidence of professional practice.
      d. FCQ or other unit and campus approved mechanism for student evaluations of teaching (past five years)
      e. Annual Performance Ratings sheets (APR) (past five years)
      f. Annual Faculty Activity Report (past five years)
      g. Post-Sabbatical Report (if applicable within the review period)
   3. Consistent with college and primary unit policy, the inclusion of these items in the PTR portfolio are optional:
      a. The most recent previous Professional Plan (developed during first year of tenure or at last post tenure review).
      b. Professional Plan (for next five years) – signed by faculty member, your departmental chair/lead, and the Dean. The new Professional Plan will describe the predicted productivity in teaching, research and service over the next five-year period as percent effort. More information regarding the Professional Plan is provided in Appendix B of APS 1022.
      c. Additional materials recommended by the college may include peer reviews of teaching or librarianship (if applicable), and, if desired, other types of teaching evaluation data. Multiple means of evaluating teaching (or librarianship) are expected beyond student evaluations in this process. Copies of recent publications since the last review, and evidence of research and/or creative work and any related funding. This should include specific examples of work product such as conference proceedings, conference abstracts, grant proposals written, and other examples of evidence that the committee can point to in their evaluation.
   4. Professional Plans (If required by college).

a. Faculty members may develop a 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, based on college policy. The professional plan should be reviewed and, if needed, updated each year during the annual performance 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 are allocated to the areas of teaching (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice) 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. The FRS should be included with the Professional Plan if an FRS is used by a college or unit separately from the Professional Plan.

c. 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 professional plan should describe projections for professional productivity over a five-year period. 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 which should include teaching (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice). In addition to simple accountability, the professional plan could be utilized as a pathway for the faculty's own career success. For example, in the professional plan, the faculty could explore the resources that they would need to be successful in teaching (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice) over the next five years. 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, but should be clear on what efforts the faculty plans to make in each area. While qualitative, there should be some goals that the faculty have in each area of teaching (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice). 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.

5. PTR Committee Evaluation:

a. The PTR committee shall consider differentiated workloads of faculty in post-tenure reviews in their rating of the faculty member's work.

b. Annual Performance reviews are performed using different criteria than departmental RPT and will be used to help the committee understand the work of the faculty over the time-period, However, they will not be used as a primary method to make a decision on the post-tenure work as a whole for the candidate. These should be used along with the additional materials to understand the work of the faculty over the review period.

c. For the post-tenure review, considering professional plans, in the areas of teaching (or librarianship), and scholarly/creative work (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice) the reviewer(s) may only comment on the adequacy, feasibility, or wisdom of the professional 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 professional plan unless, in rare cases, the primary unit determines that a particular kind of service is vital to the mission of the primary unit.

d. Review of the faculty's materials submitted for review should be based on a review of the quality of the work and a determination of whether appropriate efforts were made in targeted areas.

e. 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 itself should not be viewed as the literal fulfillment of a set of nonnegotiable demands or rigid expectations, quantitative or otherwise.

f. The PTR evaluation committee will prepare a written report that summarizes the academic achievements of the faculty member, rates the faculty member's academic accomplishments, describes the major accomplishments, and explains the rationale of the committee rating for this five-year period. Specifically, the committee must rate the faculty member's performance in each of the areas of teaching (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice) as either "outstanding," "exceeding expectations," "meeting expectations," "below expectations" or "failing to meet expectations."

6. The Chair of the PTR committee shall submit the committee's written report to the Department Chair or Leader, who will forward it to the Dean and Provost. The Department Chair/Leader, Dean or Provost may elect to attach a letter of concurrence or non-concurrence. The dean will provide a summary report and copies of the individual reports to the Provost on the results of all the post-tenure reviews in the school/college. A copy of the final PTR report will be given to the faculty member and a copy placed in the faculty member's departmental (or school/college/library) personnel file at the end of the review process.

a. If the evaluations of the PTR committee and Dean are not in agreement, and the Dean writes a letter of non-concurrence, there will be discussion and further consideration by each in order to attain agreement.

b. If this additional step does not result in agreement among these groups, the Vice Chancellor's Review Committee (VCRC) will review the PTR committee's, Chair's or leader (if any), and the Dean's letter of non-concurrence, along with a report of the discussion and further consideration by each in order to obtain agreement. The recommendation of the VCRC will then be submitted to the Provost who will make the final decision on the matter.

7. If a faculty member receives a PTR summary rating of "below expectations" or "fails to meet expectations," in any of the evaluated areas of teaching (or librarianship), scholarly/creative work, and leadership and service (and, where indicated in primary unit criteria, other activities relevant to the specific unit such as professional practice), the faculty member must agree to a Performance Improvement Agreement (PIA). If the goals of the PIA are not met, an extensive review will be conducted, and a development plan will be written using the PIA process detailed in APS 5008.
8. Faculty must use the established college, campus and university appeal/grievance procedures when faculty believe an appeal/grievance is warranted.

III.   KEY WORDS

Differentiated workload - A faculty appointment reflects responsibilities in one or more of the areas of teaching, scholarly/creative work, and leadership and service, and where relevant, other activities relative to their specific units (e.g., clinical activity, librarianship). A faculty member's annual workload has two components: (1) a percentage weighting across areas of assigned responsibility that is used in the annual evaluation process; and (2) the expected activities associated with the weighting. Together, these two components represent a differentiated workload. While the phrase "differentiated workload" is used for historical purposes, it should be understood that the percent weighting is used for merit evaluation, while the expected activities for different weightings are unit specific. The allocation of weightings is not a specific allocation of faculty member's time.

Post-tenure Review (PTR) - Is a review of a tenured faculty member's performance record undertaken every five years. This regular review is undertaken by the department/primary unit and it determines whether the faculty member is meeting the professional standards outlined by the department/primary unit's policy on written standards and criteria.

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

A.   Administrative Policy Statements (APS) and Other Policies
1.   APS 1006 - Differentiated Annual Workloads for Faculty
2.   APS 1022 - Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review
3.   APS 5008 - Faculty Performance Evaluation
4.   Regent Policy 5.D - Reappointment (to a tenure-track position), Tenure, and Promotion
B.   Forms
1.   Professional Plan Template (see below)

V.   HISTORY

Initial policy approval: March 3, 2008

VI.   APPENDICES
1.   Professional Plan Template (see below)

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/ Librarianship	_Research/Creative Work_	_Leadership/Service_	_Professional Practice_

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.

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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.

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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.

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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