

Post-Tenure Review (Post-TR)

Policy: Board of Regents Policy Manual, Section 8.3.5.4

http://www.usg.edu/policymanual/section8/policy/C245/#p8.3.5_evaluation_of_personnel

University System of Georgia Academic & Student Affairs Handbook, Section 4.6

http://www.usg.edu/academic_affairs_handbook/section4/C690

Georgia College Policies, Procedures and Practices Manual

Section Entitled POST-TENURE REVIEW

<http://gcsu.smartcatalogiq.com/en/Policy-Manual/Policy-Manual/Academic-Affairs/EmploymentPolicies-Procedures-Benefits/Performance-Evaluations-Administrators-and-Faculty/Faculty-Performance-Evaluation/Post-Tenure-Review>

Post-TR Forms (Form 1A, Form 1B, Form 2, Form 3)

<http://intranet.gcsu.edu/academic-affairs/policies-procedures-and-practices-manual-forms>

[Note to FAPC: The four Post-TR forms should be added to the web archive of academic affairs forms and are presently accessible only with Unify Credentials. The link above takes one to a Unify login page.]

I. Guiding Principles:

These Post-TR policies and procedures were informed by the standards of good practice for a formal system of post-tenure review as found in the statement entitled “Post-Tenure Review: An AAUP Response” provided by the American Association of University Professors (AAUP).

II. Statement of Purpose:

The purpose of Post-TR is stated in the University System of Georgia Academic & Student Affairs Handbook and Post-TR is required by Board of Regents Policy. The Post-TR process shall be developmental and identify opportunities for faculty to reach their full potential in service to the institution.

III. Faculty Members Submitting to Post-TR:

All tenured faculty are subject to Post-TR with the exception of those who are subject to five year administrative review.

IV. Relation of Post-TR to the Annual Review of Faculty Performance:

Post-TR covers activities spanning five years since the most recent promotion, tenure, or successful Post-TR, or spanning three years after an unfavorable Post-TR. The results of the Post-TR shall have no influence on annual evaluations and/or merit raises. The Post-TR candidate is also subject to the annual review of faculty performance process.

V. Limitations:

Obtaining a favorable result in one Post-TR cycle shall have no bearing on the outcomes of subsequent Post-TRs.

VI. Post-TR Calendar:

The following timeline outlines the stages for Post-TR. In the event that any of these dates falls on a weekend or holiday, the deadline shall be the next day of university business.

- May 1 The Chief Academic Officer notifies the Post-TR candidate as indicated in Section VII.
- August 25 The Post-TR Committee shall be determined as indicated in Section VIII.
- September 1 The Post-TR candidate submits the Post-TR portfolio as indicated in Section IX.
- September 22 The Post-TR candidate receives a decision from the Post-TR Committee as indicated in Sections X and XI.
- October 15 In the event of an unfavorable review, the Post-TR candidate may request a second review as indicated in Section XII.
- October 22 The second Post-TR Committee shall be determined as described in Section VIII.
- November 15 The Post-TR candidate receives a decision from the second Post-TR Committee as indicated in Sections X and XI.
- December 1 The immediate supervisor of the Post-TR candidate notifies the Chief Academic Officer as indicated in Section XV and retains the Post-TR portfolio as indicated in Section IX.
- February 1 Due date for completing the faculty development plan described in Section XIII.

VII. Notification:

The Chief Academic Officer shall send a letter of notification to each tenured faculty member who is scheduled to undergo a Post-TR (see Section IV) during the upcoming academic year in compliance with the Post-TR calendar in Section VI. This letter of notification shall be copied to the Post-TR candidate's immediate supervisor.

VIII. Composition of the Post-TR Committee:

The Post-TR committee shall consist of three tenured faculty members from within the Post-TR candidate's department. The Post-TR candidate shall identify two members of the Post-TR committee, and the Post-TR candidate's immediate supervisor selects the third member. The Post-TR candidate is permitted one preemptive challenge to the Post-TR committee member selected by the immediate supervisor. Faculty members with administrative contracts are ineligible to serve on the Post-TR committee. In the event that there is an insufficient number of tenured faculty from the Post-TR candidate's department, tenured faculty from related departments at the institution shall be selected.

IX. Post-TR Portfolio: Materials Submitted by the Post-TR Candidate:

The Post-TR candidate shall submit a Post-TR portfolio to her/his immediate supervisor that includes the following: 1) a summary of major accomplishments achieved during the interval under review in the areas of teaching, research/creative/scholarly endeavors, and service to the University, academic unit [college or library], department, profession, and community; 2) copies of the documents supporting the annual review of faculty performance completed during the interval under review; 3) results obtained via student, Chair, or peer evaluations (normally included as part of 2); and 4) a current Curriculum Vitae. If appropriate, the Post-TR candidate may include letters from relevant individual(s) to provide the Post-TR committee with a description of special conditions within the department or academic unit that merit

consideration. The immediate supervisor shall convey this portfolio to the Post-TR committee chair. At the conclusion of the Post-TR process, the Post-TR portfolio is returned to the supervisor of the Post-TR candidate by the chair of the Post-TR committee. The supervisor of the Post-TR candidate shall retain the Post-TR portfolio in the department files in compliance with the University System of Georgia Records Retention Schedule.

X. Responsibilities of the Post-TR Committee:

All members of a Post-TR committee shall practice circumspection when evaluating a colleague's performance. The criteria used to review a Post-TR candidate must be consistent with the missions of the University, Academic Unit (College, Library), and Department, and the criteria must be consistent with the Post-TR candidate's official assignments. The basic standard for appraisal shall be whether the Post-TR candidate discharges conscientiously and with professional competence the duties appropriately associated with her/his position. Post-TR should be flexible enough to acknowledge different expectations in different disciplines and changing expectations at different stages of a Post-TR candidate's career. Observing confidentiality with respect to the results of Post-TR is an ethical responsibility of all members of the Post-TR committee. The Post-TR committee shall provide its report using the form(s) prescribed below. The Post-TR committee chair shall convey copies of the relevant form(s) to only the Post-TR candidate and her/his immediate supervisor.

Satisfactory Performance: In cases where satisfactory performance is identified, Form 1A shall be completed by the Post-TR committee. The immediate supervisor's copy of Form 1A shall be stored in the Post-TR candidate's personnel file within the department.

Noteworthy Performance: In cases where noteworthy performance is identified, both Form 1A and Form 2 shall be completed. Declarations of "noteworthy" performance must be restricted to those few individuals who greatly exceed normal expectations in the execution of their professional responsibilities. The Post-TR candidate may elect to utilize this review to support requests for professional development. Examples include, but are not limited to: (1) professional leave with pay to pursue scholarly, research, professional, or creative endeavors; (2) an award to support faculty development or faculty research projects. The receipt of Form 2 by a Post-TR candidate does not guarantee that the Post-TR candidate shall be granted a faculty development allocation or receive meritorious recognition. The immediate supervisor's copies of Form 1A and Form 2 shall be stored in the Post-TR candidate's personnel file within the department.

Unsatisfactory Performance: In cases where unsatisfactory performance is evident, the Post-TR committee must provide an informed and candid written report of their findings using Form 1B. Additional pages may be added if deemed necessary. It is important that appraisals of "unsatisfactory" be applied judiciously. In particular, an appraisal of "unsatisfactory" must be reserved for those cases in which problems related to the colleague's performance are sufficiently severe to constitute grounds for the revocation of tenure and cause for dismissal (regular, independent dismissal procedures shall apply). The Post-TR committee chair shall ensure that Form 1B is delivered to both the Post-TR candidate and the immediate supervisor via registered mail. The immediate supervisor's copy of Form 1B shall be stored in the Post-TR candidate's personnel file within the department.

XI. Discussion of the Results:

It is the responsibility of the Post-TR committee chair to candidly discuss the contents of the Post-TR committee report with the Post-TR candidate. The immediate supervisor of the Post-TR candidate shall be

present for this discussion. The Post-TR committee chair, the immediate supervisor, and the Post-TR candidate must acknowledge receipt of the report by signing the Post-TR committee report. Signing the report does not represent acceptance of the Post-TR committee's conclusions by the Post-TR candidate.

XII. Procedures for Requesting a Second Review:

In the event that the first review documents an unsatisfactory performance, the Post-TR candidate is entitled to a second review by a new Post-TR committee. This second review is granted at the request of the Post-TR candidate, cannot be denied, and requires no other approvals. However, the Post-TR candidate must submit the request in compliance with the Post-TR calendar in Section VI. The Post-TR candidate shall be permitted to submit additional documentation for the Post-TR portfolio, which may include the report from the first Post-TR committee. Should the results of this second review document satisfactory performance, the first review (Form 1B) may be replaced by the report of the second review committee at the option of the Post-TR candidate. No additional appeals shall be possible if the second review also documents an unsatisfactory performance.

XIII. Formal Development Plan:

Should the final Post-TR committee complete Form 1B identifying deficiencies, the Post-TR candidate's immediate supervisor and Post-TR candidate shall work together to create a formal development plan. This plan shall include clearly defined goals, an outline of activities to be undertaken, a timetable, and an agreed-upon monitoring strategy. Both parties (candidate and supervisor) shall sign and receive a copy of the development plan. The immediate supervisor's copy of the formal development plan shall be stored in the Post-TR candidate's personnel file within the department.

The Post-TR candidate must once again undergo Post-TR after three calendar years have passed since being notified of the final unsatisfactory review. The new Post-TR committee shall be selected as described in Section VIII. If the Post-TR candidate has not successfully remedied the deficiencies, according to the new Post-TR committee, s/he may be subject to dismissal for cause under USG Board of Regents Policy 8.3.9 (regular, independent dismissal procedures shall apply). Should the results of the subsequent Post-TR prove satisfactory, the unsatisfactory Post-TR (Form 1B) may be replaced by the most recent Post-TR at the option of the Post-TR candidate. Recommendations concerning additional faculty development activities that might continue to improve or maintain performance shall be discussed at this time.

XIV. Repository of Post-TR Forms Completed by a Post-TR Committee:

Satisfactory Performance: The final repository of Form 1A shall be the Post-TR candidate's personnel file within the department.

Noteworthy Performance: The final repository of Form 2 and Form 1A shall be the Post-TR candidate's personnel file within the department.

Unsatisfactory Performance: The final repository of Form 1B shall be the Post-TR candidate's personnel file within the department.

XV. Notification of Completion:

At the conclusion of the Post-TR process, the immediate supervisor of the Post-TR candidate shall complete Form 3 in compliance with the Post-TR calendar in Section VI. Form 3 shall be sent to the Chief Academic Officer and copied to the Post-TR candidate. The immediate supervisor shall place a copy of the completed Form 3 in the Post-TR candidate's personnel file within the department.

XVI. Revision Process:

Any Corps of Instruction faculty member may propose a change to this document. Such a proposal must be submitted to the Executive Committee of the University Senate in writing for steering to the appropriate University Senate committee for review.

DRAFT

(Post-TR Completion Notification)

Notification of Chief Academic Officer that Post-TR is Complete (Form 3)

To: _____
Chief Academic Officer

cc: _____
Post-TR Candidate

From: _____
Immediate Supervisor of Post-TR Candidate

The Post-TR for _____ has been completed.
Post-TR Candidate

The next Post-TR for this candidate should be scheduled in 3 (if unfavorable) 5 (if favorable) years.
(Circle one)

Immediate Supervisor of Post-TR Candidate (Signature)

Date

Post-TR Candidate (Signature)

Date

Note:

The immediate supervisor shall place a copy of this form, once completed, in the Post-TR candidate's personnel file within the department.

The following modifications are proposed to Post-TR Policy by Ken Farr, Mike Rose, and Craig Turner

- **Issue 0: Update Links in Header**: Since approval of this language by University Senate, a revision to the Policies, Procedures and Practices Manual has been made and the Pre-Tenure and Post-Tenure language have been decoupled. So the link to this language has changed. In addition, the Academic Affairs Forms now require Unify credentials to access them so there may be no way to link directly to these forms.
 - **Proposed Remedy for Issue 0**: To remedy this, we update the link in the header and offer a note for the forms.
- **Issue 1: Closing the Communication Loop**: At present, there is no "closing the loop" explicit in the draft Post-TR document. Specifically, while the process is initiated by the Chief Academic Officer (CAO) - i.e. the Provost - notification to the faculty member, there is no explicit notification back to the Chief Academic Officer at the conclusion of the process. Given that the CAO is charged to notify Post-TR candidates - it would seem to require notification of completion and indication of whether the next Post-TR should be scheduled for five years (via Form 1 or Form 2) or three years (via Form 1B) in the future.
 - **Proposed Remedy for Issue 1**: To remedy this, we propose the addition of the December 1 entry to Section VI, the addition of a new Form 3, and the addition of a new Section XV.
- **Issue 2: Immediate Supervisor Present at Discussion of Results**: Presently the discussion of the results involves only the Post-TR candidate and the Chair of the Post-TR Committee. The immediate supervisor of the Post-TR candidate receives copies of the notification to trigger the Post-TR and is copied on the results.
 - **Remedy for Issue 2**: Have the immediate supervisor of the Post-TR candidate attend the discussion of the results. We propose a modification to the language of Section XI.
- **Issue 3: Post-TR portfolio**: At the conclusion of the process, should the Post-TR portfolio be retained or returned to the Post-TR candidate?
 - **Proposed Remedy for Issue 3**: In consultation with our Associate General Counsel (Qiana Wilson), we propose a modification to the language at the conclusion of Section IX to advocate for retaining the Post-TR portfolio in the department to comply with the following.
 - http://www.usg.edu/records_management/documents/USG_Records_Retention_Manual_033010.pdf
 - *(G35) Promotion, Tenure, and Salary Increase Records*
 - *Explanation:*
 - *This series documents the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. Records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty member as per instructions from Academic Affairs as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. The dossiers may include but are not limited to: candidate dossier cover form or checklist; prior service agreement; Confidential Waiver for letters of evaluation; current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; candidate acknowledgment of dossier review; student evaluations of faculty summary reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence.*
 - *Record Copy: Colleges*
 - *Retention: 7 years after end of employment*
 - *Citation or Reference: O.C.G.A. 9-3-24*