



4.6.17P

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Chapter 6, Faculty Appointments and Evaluation
Section 7, Annual Review of Tenured Faculty
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Responsible Office(s): Office of Academic Affairs, Colleges,
Departments
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Annual Review of Tenured Faculty

Policy Statement

Tenured faculty members at Eastern Kentucky University share the responsibility to maintain an appropriate level of teaching, scholarly/creative activities, and service. The goal of annually reviewing tenured faculty members is to recognize exemplary performance, identify areas for potential growth, establish goals, and create professional development plans. For each of their tenured faculty members, Department Chairs/Unit Heads will collaborate annually with the faculty member to create and support individual goals and professional development plans and to assess every three years the faculty member's performance, using department/unit-approved standards for teaching, scholarly/creative, and service activities. The review process respects the uniqueness of disciplines within the University and provides for appropriate professional flexibility at department/unit levels; however, the process is designed to provide consistency with department, school, college, and University policies.

Entities Affected by the Policy

- Tenured Faculty
- Departments
- Colleges

Procedures

ESTABLISHING PERFORMANCE STANDARDS

1. Each Department/Unit shall establish performance standards and procedures for the review of tenured faculty members' performance in the areas of teaching, scholarly/creative activities, and service. In reviewing all three areas, collegiality shall be considered. Since individual faculty members' activities may vary yearly, their specific workload assignments, long-term projects, and professional development plans must be taken into consideration. The performance standards must be consistent with Policy 4.1.1, Academic Freedom. Performance standards and processes for Annual Review of Tenured Faculty are distinct from the criteria and processes for promotion that are described in Policy 4.6.4, Tenure and Promotion.
2. The Department/Unit performance standards and procedures shall be approved by the majority of full-time tenured faculty members and shall be approved by the Dean. Changes in the Department/Unit performance standards and procedures shall be made by a majority vote of the full-time tenured faculty members of the Department/Unit and shall be approved by the Dean by May 1 prior to the academic year in which the changes are to take effect.
3. A statement of performance and procedures shall be filed in the offices of the Dean and of the Department Chair/Unit Head.
4. It is the obligation of the Department Chairs/Unit Heads to disseminate the approved performance standards and procedures to the full-time tenured faculty in their department/unit.

THE ANNUAL REVIEW PROCESS

The tenured faculty review process will consist of annual reviews over a three year recurring cycle of assessment. Years one and two are brief and formative in nature and year three is more in depth. All reviews shall focus on the faculty's goals and professional development plan.

Year One and Two Review

1. During the spring semester, but no later than April 1, Department Chairs/Unit Heads shall hold a conference with tenured faculty members in the department/unit. At this or subsequent spring conferences, the Department Chair/Unit Head and the faculty member will discuss the faculty member's achievements with specific reference to the goals set in the previous conference. This conference will include a discussion of any areas of concern a brief written summary or department form prepared by the Chair of the faculty member's professional development goals for the next year, progress toward or achievement of the previous year's goals, as well as any area of concern including but not limited to performance standards.
2. At the conclusion of all faculty conferences, the Department Chair/Unit Head will send the annual review summaries/department forms for each faculty member to the Dean with a copy to the faculty member.

Year Three Review

1. For the Year Three Review, tenured faculty members will prepare a brief (1-3 page) reflection of their work since the last Year Three Review. Tenured faculty members will also ensure that their information is current in the University system for annual activity reporting.
2. During the spring semester, but no later than March 15, Department Chairs/Unit Heads will hold a conference with their tenured faculty members scheduled for their Year Three Review. The purposes of this conference are to evaluate work from the previous three years and to establish the professional development goals of the faculty member for the next year (Year One). The evaluation of the faculty member's work will take into account the standards set by the department/unit in regard to teaching, scholarly/creative activities, and service.
3. Within 10 calendar days following this conference, the Department Chair/Unit Head will provide to the faculty member a written statement of evaluation. Department Chairs/Unit Heads will use the department/unit's minimum performance standards and the faculty member's workload to assess the tenured faculty member as "exceeds standards," "meets standards," or "below standards" in each of the three areas (teaching, scholarly/creative activities, and service) as well as an overall rating. If a faculty member and a Department Chair/Unit Head have agreed upon a workload in writing in which any of the three areas are adjusted for a period of time, the assessment will reflect the adjusted workload with regard to the performance standards.
4. Assessments of "exceeds standards" or "below standards" must be explained in writing.
5. The tenured faculty member will have an opportunity to respond in writing within 10 calendar days.
6. Third Year Reviews receiving an "below standards" overall or in any of the three areas will be reviewed by the Department/Unit Third Year Review Committee for Tenured Faculty (TYR) prior to review by the Dean. The Department Chair/Unit Head shall provide the Committee with a copy of the relevant department/unit's performance standards in addition to the review materials. The TYR shall indicate in writing, with an explanation, whether they concur with the assessment of each "below standards" rating.
7. The Department Chair/Unit Head will submit all Year Three Reviews, including any written response by the faculty member and any report from the TYR, to the Dean no later than April 1.
8. The Dean will indicate in writing whether he/she concurs with the assessments, with an explanation if he/she does not concur. Faculty receiving one or more "exceeds standards" assessments are eligible for University recognition.
9. The Dean will notify the faculty member and the Department Chair/Unit Head no later than May 1.
10. The faculty member will be expected to set professional development goals in consultation with the Department Chair/Unit Head for the following year to address any below standards ratings.
11. The Department Chair/Unit Head will assess these goals during the Year One of the next review cycle to determine if significant progress has been made in the area of deficiency. Within 10 calendar days following the annual review conference, the Department Chair/Unit Head will provide to the faculty member a written statement of evaluation. If significant progress has been made, the faculty member resumes the normal second year of the three year cycle. If significant progress has not been made, the tenured faculty member will have an opportunity to respond in writing within 10 calendar days. The evaluation, including any written response from the faculty member, will be sent to the TYR.

12. If the TYR determines that there is insufficient progress made in a deficiency in scholarly creative activities or in service, the TYR will indicate in writing whether they concur with the assessment of "insufficient progress." If a "below standards" and "insufficient progress" occurs in the same area of deficiency in the subsequent review cycle and is affirmed by the TYR, the Department Chair/Unit Head will activate the Post-Tenure Review process (See Policy 4.6.7, Post-Tenure Review, for the post-tenure review process.
13. If the deficiency is in the area of teaching and the TYR determines there is sufficient basis for the second "below standards" rating, then the Department Chair/Unit Head will complete the Post-Tenure Review Activation form and submit the form and all supporting materials to the Provost, with a copy to the Dean and the faculty member under review. (See Policy 4.6.7, Post-Tenure Review, for the post-tenure review process.

ESTABLISHING THE DEPARTMENT THIRD YEAR REVIEW COMMITTEE FOR TENURED FACULTY (TYR)

Each Department shall establish a TYR Committee for Tenured Faculty within the following guidelines:

- a) The Department shall elect no fewer than three members and one alternate, which shall be elected from the full-time tenured faculty of the college, excluding Department Chairs/Unit Heads.
- b) All members of the TYR are eligible to vote.
- c) No member of the TYR can also serve on the University Post-Tenure Review Committee.
- d) If a Department is too small to provide such a committee, the Department may select a full-time tenured faculty outside the Department with the advice of the College Dean.
- e) A member of the TYR shall not participate in the review of a case where there is a conflict of interest.
- f) The members of the TYR serve two-year staggered terms. A member cannot serve more than two consecutive terms.
- g) The TYR shall be elected no later than May 1 of the year prior to the year in which it is to function.

Responsibilities

College Dean	At a minimum, the Dean is responsible for <ul style="list-style-type: none"> • approving minimum performance standards for Departments/Units • approving Year Three tenured faculty reviews
Department Chair/Unit Head	At a minimum, the Department Chair/Unit Head is responsible for <ul style="list-style-type: none"> • ensuring the department establishes minimum performance standards • conducting annual reviews of tenured faculty • working with faculty to create goals and development plans • working with faculty and university administrators to support professional development
Tenured Faculty Member	The tenured faculty member is responsible for <ul style="list-style-type: none"> • knowing and adhering to Policy 4.6.17 • ensuring that information is current in the University system used for annual activity reports • working with the Department Chair/Unit Head to create goals and development plans • implementing each plan • writing a reflection for the Year Three Review
Third Year Review Committee	The Third Year Review Committee is responsible for <ul style="list-style-type: none"> • reviewing and making recommendations regarding "below standards" and "insufficient progress" ratings made by a Department Chair/Unit Head

Interpreting Authority

Senior Vice President for Academics and Provost

Policy Adoption Review and Approval

Revision as Policy 4.6.17

<u>Date</u>	<u>Entity</u>	<u>Action</u>
October 19, 2015	Board of Regents	Adopted
October 2, 2015	President	Approved
May 6, 2015	Provost Council	Approved
May 4, 2015	Faculty Senate	Approved
May 1, 2015	Chairs Association	Reviewed without comment

Established in part through Policy 4.6.7, Tenured Faculty Member Review

Policy Issued

<u>Date</u>	<u>Entity</u>	<u>Action</u>
October 21, 2000	Board of Regents	Adopted
September 21, 2000	Council on Academic Affairs	Approved
September 11, 2000	Faculty Senate	Approved