

DEAN'S GUIDELINES

PERIODIC CAREER REVIEW

(Accompanies Section 2.4 of the College Personnel Policy)

(Revised Fall 2008)

I. Notification

Each year the Dean's Office will distribute to the chair of each division, department or program (hereafter "unit") a list of faculty members in his or her unit who are due for Periodic Career Review. This review normally occurs for tenured professors in every fifth year of service. The College Personnel Policy states that "when the review period ends in a sabbatical (or other leave), the periodic career review shall be deferred until the next academic year." For purposes of implementation, this statement means that if a periodic career review is scheduled for a year in which the faculty member to be reviewed is on a sabbatical or other leave, the career review shall be deferred until the following academic year if the reviewee so requests. For purposes of Periodic Career Review, a new five-year review period will begin after any review for promotion.

Every reviewee must be informed fully about the review process. Before the beginning of the academic year in which the review is to take place, the Dean's Office will inform all unit chairs of faculty members in their units due for review. The chair will submit to each reviewee in his or her unit a written notification of the nature of the review and the chair will make certain that each reviewee is aware of the criteria used in Periodic Career Reviews by insuring that each reviewee has access to copies of the College Personnel Policy and the personnel policy of the unit.

II. Review Bodies

The reviewer for Periodic Career Reviews is, in most cases, the unit chair. However, Periodic Career Reviews may also require review by the unit personnel committee, the Arts and Sciences Personnel Committee, and the Dean of Arts and Sciences. The composition of unit personnel committees for periodic career reviews is governed by the same policy that governs the composition of such committees in tenure reviews.

III. Rebuttals and Comments on Evidence

A reviewee in both stages of the periodic career appraisal has the same rights to comment on evidence as do reviewees in merit, promotion, and tenure reviews. The procedures for this process are described in the Guidelines for promotion and tenure. All decisions made in Periodic Career Reviews are subject to appeal following established grievance procedures.

IV. Stage One Reviews

A. Collecting Material

Stage one reviews are based on an examination of the five Annual Performance Reviews of the review period in light of definitions of proficient performance as articulated in College and unit personnel documents. For each faculty member to be reviewed, the Dean's office will notify the appropriate unit chair and identify the five review years to be evaluated. The faculty member and department Chair will create a file containing the five final annual reviews, the five corresponding Annual Work Plans, and a copy of the *curriculum vitae* used in the most recent annual review.

Reviewees may add to the file any or all of the documentation used in the original annual evaluations, if they desire. Any reviewer of the file may also request to see such material.

B. Evaluation of the Record

The main purpose of a Stage 1 review is to identify those few faculty members whose performance is not satisfactory and to set in motion a more extensive review and remedial plan, as needed.

College Policy stipulates, "The department Chair will review the five prior annual reviews. If a faculty member has four or five satisfactory reviews, the department Chair will forward a positive recommendation to the Dean of the College."

On the other hand, "if a faculty member has more than one unsatisfactory review during the five-year period, the Chair will inform the department personnel committee so that the Chair and the department personnel committee can identify problems. If the department personnel committee and Chair do not think that mitigating circumstances account for the deficiencies they will recommend a Stage 2 review." Any mitigating circumstances that may apply in a given case must be explained in full before a case is presented to the Arts and Sciences Personnel Committee and the Dean. The College Personnel Committee may recommend a Stage 2 review for any faculty member with two or more unsatisfactory reviews during a five-year period, even in the face of mitigating circumstances, and the Dean may require such a review as well. When Periodic Reviews are conducted within divisions or programs, these A&S units will follow procedures parallel to those of departments.

V. Stage Two Reviews

A. Notification

The Dean's Office will notify the appropriate unit chair of any faculty member who is selected for a Stage 2 review, the purpose of which is "to provide useful feedback and appropriate intervention and assistance to faculty members who have not met expected performance criteria." The chair will submit to the reviewee a written notification of the nature of the Stage 2 review. A Stage 2

review will normally be conducted in the late spring of the academic year in which the Stage 1 review took place.

B. Collecting Material

The review file for a Stage 2 review will be essentially the same as the one used for the Stage 1 review, with the addition of the letters prepared during Stage 1. However, before the Stage 2 review begins, the reviewee will be provided an opportunity to add to the file any evidence the reviewee deems relevant. Moreover, if a reviewee or the unit chair so request, any material relevant to the Stage 2 review may be sent out for extramural evaluation, following all procedure used in tenure cases. Throughout the review process, any reviewer may ask to see additional evidence relevant to the case.

C. Evaluation of the Record

The unit committee will review Stage 2 files and make its recommendation for correcting weaknesses that have been identified. The report of the unit committee will be forwarded to the unit chair, who will work with the faculty member to develop a specific plan to overcome deficiencies. This plan must identify specific weaknesses, define specific goals, outline the activities that will be undertaken to achieve those goals, set a time line for accomplishing this work, and specify how the activities will be monitored and assessed.

All documentation will be forwarded to the Arts and Sciences Personnel Committee for review, and its recommendation that the plan be accepted, modified, or rejected will be sent to the Dean. The Dean will make the final decision regarding the plan. Every effort will be made to complete the Stage 2 review process within thirty days of the time a Stage 1 review identifies a deficiency. However, circumstances such as a need to solicit extramural reviews may prolong the Stage 2 process.

D. Implementation of the Stage 2 Performance Improvement Plan

The faculty member will have one year to satisfy the requirements of the performance improvement plan developed during the Stage 2 review, unless the Dean approves a longer period. If the faculty member completes the plan, he or she shall then have one additional year to demonstrate satisfactory performance. The Dean may require a special review to assess the performance of a faculty member who underwent a Stage 2 review, or the Dean may rely on annual reviews. A faculty member whose performance is still judged to be unsatisfactory two years following a Stage 2 review shall be subject to appropriate disciplinary action, which may include proceedings for termination.