314 Non-Tenure Track Faculty Fifth-Year Review

Introduction
All tenured faculty are expected to undergo a post-tenure review—a systematic, periodic, and cumulative review—in their fifth-year following a major review. The purpose of the Non-Tenure Track Faculty Fifth-Year Review policy is to replicate the post-tenure review practice for faculty serving in non-tenure track lines (i.e., non-tenure track: clinical instructors, assistant professors, associate professors, and full professors).

Criteria
The criteria for the fifth-year review of non-tenure track faculty are as follows:

- to provide faculty-development and recognition opportunities for non-tenure track faculty for the primary purpose of enhancing teaching, or contributions to the learning environment, but also service, or professional growth and development, in a way that is mutually beneficial to the individual and the University; and
- to provide a systematic faculty development plan to remedy instances where a non-tenure track faculty member’s contributions in teaching, contributions to the learning environment, service, or professional growth and development, are found to be deficient with respect to the missions of the department, college, or University.

The fifth-year review not only focuses on the period under review, but also considers the cumulative contributions of the faculty member. For this reason, and because it focuses on continuing a mutually beneficial relationship between the institution and the individual, judgments regarding the fifth-year review should be based on contributions over one’s career as well as those since the last review. A satisfactory fifth-year review indicates that the individual continues to make contributions which benefit the University, its students, and the faculty member’s field of study, its other constituents.

In an institution devoted to “teaching first,” teaching and contributions to the learning environment are of paramount importance in the fifth-year review process. Evidence of contributions in the area of service or professional growth and development is also required. Each unit should define the evaluation exact criteria and how they will be assessed (see Roles and Responsibilities), taking into consideration the uniqueness of the individual, the variations within disciplines, and the differing expectations and assignments that influence faculty contributions. Individual differences are reflected in varying combinations of emphasis in teaching and service; however, teaching and contributions to the learning environment are the primary focus of the fifth-year review.

Schedule
Each non-tenure track faculty member is to be reviewed in their fifth year following the most recent major review unless the faculty member submits a written declaration to retire within five years (submitted through the appropriate dean’s office to the Provost’s Office). Non-tenure track faculty members undergoing fifth-year review will submit their materials for evaluation to the department chair or unit head according to the evaluation timeline defined by the unit, department, or college by mid-January.

Roles and Responsibilities
Each department, school, college, and the library will develop written procedures and specific criteria for fifth-year review as outlined below and will provide a copy of the procedures to each non-tenure track faculty member serving in a clinical instructor, assistant professor, associate professor, or full professor position. Reviews may be carried out at the department, school, or college level as agreed upon and
described in the units’ written procedures. The phrases “department chair” and “unit head” as used in this document refer to the line officer who is the immediate supervisor of the non-tenure track faculty member undergoing fifth-year review.

Faculty are responsible for providing documentation of their performance as follows:
- an up-to-date curriculum vitae and copies of the annual performance review for each of the five years under consideration;
- measures of effectiveness in teaching, contributions to the learning environment, service, or professional growth and development teaching or contributions to the learning environment and service (including but not limited to a combination of written (or online) student ratings of instruction and peer evaluations);
- a self-evaluation narrative of accomplishments for the period under review and projected goals for the next five-year period; and
- other documentation as specified by the college or department/unit.

Faculty may submit other materials which may enhance the review committee’s understanding of their performance. The faculty member and the department chair or unit head will develop the documentation and provide it to the review committee.

The fifth-year review process will be conducted by a committee of at least three faculty peers, with the committee composition and selection process to be determined at the department, school, or college level in consultation with the appropriate dean. Units should strive to ensure diversity of membership in fifth-year review committees. After reviewing documentation of performance as outlined in the unit’s fifth-year review document, the committee will be expected to provide informed and candid feedback in a written report on the quality of the faculty member’s performance, accomplishments, and contributions in teaching and/or service. Meritorious accomplishments should be noted by the committee in any review. Likewise, major, chronic, or ongoing deficiencies should be identified and supporting documentation provided.

The committee will provide a written summary of its findings and any recommendations for faculty reward (e.g., promotion and salary increase) or development to the department chair or unit head who will transmit the written summary to the faculty member and discuss it with him or her. The unit head should append his/her comments, and both the faculty member and the unit head should sign the document to indicate that they have discussed the committee’s report and the unit head’s comments. The faculty member must be given the opportunity to append a written response before the report is passed from the department chair or unit head to the next administrative officer. A copy of the committee’s report, the unit head’s comments, and any written response by the faculty member will then be sent to the administrative officer at least one level above the faculty member’s administrative unit where they will be reviewed and commented on by the dean/administrative director. All written comments will also be forwarded to the faculty member. These comments, along with all other documents that played a substantive part in the review not readily available elsewhere, will then be placed in the faculty member’s personnel file at the department/unit level. The dean composes a memorandum to the provost, summarizing the findings at each level of review for each candidate and including a final assessment on whether the candidate meets, exceeds, or falls below expectations. This memorandum is submitted electronically to the Provost’s Office by the deadline established in the timeline for evaluation by mid-March.

In response to fifth-year review, the unit head will be responsible, in consultation with the faculty member, for deciding whether the faculty member should be rewarded for meritorious accomplishments (see
In most cases, the results of the fifth-year review are likely to reveal that the faculty member is performing well, and any development plan would focus on further enhancing the faculty member's performance (e.g., enhancing knowledge and skills in the use of current technologies in teaching). Faculty development is an important opportunity for all faculty members as they seek to reach their full potential and perform at their full capacity.

In cases where a faculty member is identified in the fifth-year review as having deficiencies, the administrative unit head, in consultation with the faculty member, must establish a formal plan of development. A formal plan includes identifying appropriate resources for faculty development on campus, on other campuses of the University System, at the System level, or in other locations. The plan for faculty development should (a) define specific goals or outcomes that the plan is designed to achieve; (b) outline the activities that will be undertaken to achieve the goals or outcomes; (c) set appropriate times within which the goals or outcomes should be accomplished; and (d) indicate appropriate criteria by which the faculty member will monitor progress. The faculty member’s unit head will be responsible for forwarding the formal faculty development plan resulting from a fifth-year review to the appropriate administrative office at least one level above the faculty member’s unit. The unit head and the administrative officer at least one level above are jointly responsible for arranging for appropriate funding for the development plan, if required.

At the time of the annual evaluation, the administrative unit head will meet with each faculty member who is working on a development plan because of deficiencies to review progress toward achieving the goals of the formal faculty development plan. In the event a faculty member is put on a development plan, a progress report, which will be included in the annual review, will be forwarded each year to the appropriate administrative officer at least one unit above the faculty member’s unit. The administrative unit head will meet with the faculty annual to review progress. It will be the responsibility of the unit head and the current fifth-year review committee to determine if, after a specified period of three years, the faculty member has been successful in completing the formal faculty development plan; they will report that finding to the appropriate administrative officer at least one level above the faculty member’s unit. An individual who successfully completes a development plan will be reviewed five years from the date of the original fifth-year review. If the faculty member has not been successful in completing the formal faculty development plan, the University may move for dismissal for cause under existing Board of Regents policy, Section 8.3.5.4, provided that the deficiencies meet the strict requirements of that policy.

A faculty member who disagrees with the results of a fifth-year review, including the need for a development plan, shall have the right to appeal as defined by the unit in implementing this policy. Each unit will develop an appeal procedure. The unit will provide the provost as well as all non-tenure track faculty with a copy of this procedure.

Relationships to Other Campus Processes

Academic Freedom - This policy is written in the spirit of upholding the University’s commitment to academic freedom, and committees and individuals who act under this policy must ensure the academic freedom of faculty under review. The policy is not designed to abridge academic freedom, hinder the tenure or annual review process, or facilitate the dismissal of faculty (see the Academic Freedom Policy, approved by the Faculty Senate in June 1998, in § 301 of the Faculty Handbook).
Termination for Cause  Nothing in the fifth-year review policy alters current Regents policy on dismissal for cause or its due process requirements. While dismissal for cause as the result of the fifth-year review process will be rare, it may be justified in certain instances as defined in Regents policy, Section 8.3.9.

Approved by Faculty Senate, XXXX, and President, XXXX.