

*Revised Draft following Faculty Senate Consideration, 4-19-07  
and Personnel Committee Meeting, 3-22-07*

UNIVERSITY OF NORTH CAROLINA, CHAPEL HILL  
SCHOOL OF SOCIAL WORK

**PERSONNEL PROMOTION AND TENURE PROCEDURES**

*Preamble:*

All procedures and policies relating to decisions affecting faculty in the School of Social Work conform to statements regarding these matters set forth in the following University publications. In case of conflict, the most recent edition of each University document takes precedence.

- A. The Code, Board of Governors, UNC, January, 1999.
- B. Trustee Policies and Regulations Governing Academic Tenure, UNC-CH, June 18, 1976 (As amended through November 2000).
- C. Affirmative Action Plan, UNC-CH, (As amended through August 2000).
- D. UNC Administrative Memorandum, Office of the President: Tenure and Teaching in the University of North Carolina. #338, September 28, 1993 which deals with assuring that the quality of teaching continues to be a prime consideration in tenure decisions and states in part: "The Board of Governors states in its long-range plan that teaching or instruction is the primary responsibility of each of the UNC institutions. Thus while neither teaching nor service nor research is the sole measure of a faculty member's competence and contribution at any UNC institution, teaching should be the first consideration at all of the UNC institutions."

This memo lists instructions from the Board of Governors to assure explicit recognition of the primary importance of teaching in the University, and development of clear and specific criteria for evaluation of faculty performance at every level. This memo also states in part that each unit shall: "Review procedures for the evaluation of faculty performance to ensure (1) that student evaluations and formal methods of peer review are included in teaching evaluation procedures, (2) that student evaluations are conducted at regular intervals (at least one semester each year) and on an ongoing basis, (3) that peer review of faculty includes direct observation of the classroom teaching of new and non-tenured faculty and of graduate teaching assistants, and ( 4) that appropriate and timely feedback from evaluations of performance is provided to those persons being reviewed."

## **I. Personnel Promotion and Tenure Committee**

In accordance with the School's Bylaws, the purpose of the Personnel Promotion and Tenure (PPT) Committee is to consider and make recommendations to the faculty and the Dean on matters of recruitment, appointment, and reappointment.

The functions of the Personnel Promotion and Tenure Committee include the following:

- consulting with the Dean about the need for faculty members and formulating recommendations about the background and areas of expertise most needed by the School;
- appointing one member from the PPT to serve on Search Committees for faculty positions, fixed term faculty appointments, and Chaired Professorships,
- reviewing and formulating recommendations to the Dean regarding reappointments of term and untenured faculty members;
- reviewing the performance of tenure-track faculty members who are being considered for promotion and or tenure and summarizing relevant information for the Dean regarding such promotions;
- reviewing the performance of faculty who are eligible for post-tenure review and providing the Dean with a written summary of the faculty member's activities in areas relevant to the review.
- reviewing and formulating recommendations regarding standards for part-time and adjunct faculty members.

The Personnel Promotion and Tenure Committee shall consist of seven members. The Dean shall participate as an ex officio member.

The faculty members of the Personnel Promotion and Tenure Committee shall be elected at-large from among the faculty members eligible to vote. At least five of the members shall be tenured faculty, three of the members shall be tenured full professors. Elected members shall serve overlapping two-year terms and shall be eligible for reelection once. A member who is reelected shall not be eligible for election again until at least one year has elapsed. Vacancies shall be filled by election.

Members of the Personnel Promotion and Tenure Committee shall annually elect their own chairperson.

The Personnel Promotion and Tenure Committee shall meet at least twice each academic year on call of the Chairperson, who shall give appropriate notice of all meetings to each member of the Committee, specifying the time, place, and agenda of the meeting.

The Personnel Promotion and Tenure Committee shall maintain the written statement of personnel policies and operating procedures approved by the faculty. These procedures shall indicate how student comments will be solicited in personnel actions.

#### Operations of Personnel Promotion and Tenure Committee

- A. The Dean of the School of Social Work has the responsibility to make recommendations for appointments, reappointments, promotions, and tenure through appropriate channels to the Chancellor of the University. The Personnel Promotion and Tenure Committee advises the Dean regarding full-time faculty and full-time staff with fixed term faculty appointments. In the case of promotion and tenure actions, the Personnel Promotion and Tenure Committee shall prepare a report for review by the assembled Full Professors and the Dean.
- B. Committee general procedures
  1. The committee's deliberations with regard to persons being reviewed shall be held confidential. (Unanimous agreement with the confidentiality requirement governs all discussions of personnel actions.)
  2. A written record of Committee reports shall be kept on file in the Dean's office.
  3. The Dean will keep the Committee informed regarding personnel matters that may be continued or explored over a period of time.
  4. The Committee will assist the Dean in revising personnel policies and procedures. At least once every three years, all voting faculty members will meet to review the personnel policies and procedures. Proposed changes will be submitted to the Faculty Senate for decision.
  5. If it is necessary for the Dean to be engaged in personnel decisions over the summer, arrangements will be made to reach committee members by telephone or mail when the advice of the committee is required. Reasonable efforts shall be made to avoid making such decisions during the summer.

## **II. Recruitment and Appointments**

The Dean and the Personnel Promotion and Tenure Committee shall be guided by the following procedures for all new full-time faculty appointments:

- A. When it is known that a state-funded faculty position will become open, the Dean will advise the Personnel Promotion and Tenure Committee about the expected position. The Personnel Promotion and Tenure Committee will seek guidance and recommendations from the Curriculum Committee and the Administrative Board about needed expertise and teaching needs. (These committees should consider information from MSW and Doctoral program committees.) The Dean and the Personnel Promotion and Tenure Committee will consider information provided by other School bodies and decide what expertise shall be sought for the position.
  
- B. In faculty searches, the search committee members are appointed by the Dean. At least one member of the search committee will also serve on the Personnel Promotion and Tenure Committee. Search committees should follow the general guidelines listed below:
  - 1. Prepare and disseminate the position description and place advertisements as determined in consultation with the Dean.
  - 2. Receive and process all inquires regarding the position.
  - 3. Secretarial services will be made available to facilitate the work of the Committee.
  - 4. The search committee will publicize the opening and extend invitations to qualified, interested candidates to apply. Recruitment will be carried out so as to attract the best possible candidates for the position. In accordance with University policies, special efforts will be made to recruit faculty who are women and members of minority groups.
  - 5. The search committee will review and rate applications and shall report periodically to the Dean regarding the progress of the search effort.
  - 6. When candidates are brought to the School for interviews, the search committee will assure that students are involved in the interview process.
  - 7. The search committee shall make its final report to the Dean, recommending up to three of the best-qualified candidates for the position. If none of the applicants are found by the Committee to be qualified for the position, they will inform the Dean of their decision. A new search process will commence at the Dean's discretion and in consultation with the Personnel Promotion and Tenure Committee.
  - 8. The Search Committee shall conduct its affairs with strict adherence to confidentiality with regard to all persons considered for the position.
  
- C. On receipt of the report of the search committee, and after consultation with the Full Professors regarding rank and tenure, the Dean shall decide on a recommendation to the University of a candidate to fill the position. The vote of the Full Professors shall be conveyed in the Dean's recommendation.
  
- D. The procedures, which the Personnel Promotion and Tenure Committee shall apply in advising the Dean regarding appointment, shall be consistent with the procedures and

standards for recommending promotion and tenure, as described in Parts III, IV and V of these procedures.

### **III. Procedures for Promotion Review**

#### **A. Initiating the Review Process**

1. In accordance with University policy, a review of the professional performance of all tenure-track associate and assistant professors shall be held once every three years. The Dean shall notify faculty members whose review occurs within the particular year at least 90 days in advance. Associate Professors shall be given the opportunity to decide whether or not they wish to be considered for promotion, but they must be reviewed for promotion at least every six years. Their teaching materials and evaluations should be reviewed in accordance with normal yearly evaluation procedures whether or not they seek promotion.
2. A review for promotion will ordinarily occur at the time of the faculty member's regular review date, but may be initiated in other years if circumstances warrant. A review may be initiated at the request of either the faculty member or the Dean. An Associate Professor during the initial five-year term of appointment may waive the first promotion review for a period of up to three years at which point a promotion review or an internal review must take place. An internal review follows promotion review processes but involves no outside reviewers and offers no opportunity for promotion. In accordance with general evaluation procedures, the Dean will review the teaching evaluations and teaching performance of each faculty member each year.
3. The list of names of those persons to be reviewed in the particular year will be made known to the faculty.
4. At no time will an individual be considered for review without being informed.

#### **B. Materials to be reviewed**

1. Persons to be reviewed shall submit to the Personnel Promotion and Tenure Committee materials in their own behalf as follows: (See Appendix A for more for more detailed description.)
  - a. An updated curriculum vitae.
  - b. Copies of publications considered most representative of the faculty member's work.
  - c. Other written materials that support the request for promotion. Refer to Criteria (Part V) for evidence needed.
  - d. A written statement of self-evaluation using the Criteria (Part V of this document) as reference, and indicating which of the above materials (b and c) should be used as evidence.

- e. A description of teaching and other assignments.
  - f. A compilation of teaching evaluations.
  - g. A compilation of information about courses taught and number of students in courses during the review period.
  - h. A list of established scholars whom the candidate believes are most familiar with the areas in which he or she has the greatest competence and from whom the Dean may request references.
2. The Dean, with recommendations from the Personnel Promotion and Tenure Committee, will also list appropriate persons to serve as external references for the candidate. The full list of possible external references, including those submitted by the faculty member, will be shared with the candidate who will be invited to make comments and register any concerns about particular individuals on the list. The Dean shall then select a subset of individuals who will be asked to serve as external reviewers. The Committee may seek information from additional sources with the knowledge of the candidate.
  3. In order to assure a wide range of information for consideration, Concentration and Foundation Chairpersons, the Associate Dean for Academic Affairs, the Doctoral Program Chairperson, the Director of Field Education, and Project Directors shall be invited to provide written evaluations to the Personnel Promotion and Tenure Committee based on their knowledge of the candidate's performance.
  4. The Dean shall make available to the Personnel Promotion and Tenure Committee the following information:
    - a. The material submitted by the candidate.
    - b. Written evaluations submitted by relevant administrators.
    - c. All external and internal references.
  5. Sharing of information with the candidate will be governed by University policies and by State and Federal law. The candidate may consult with the office of the University's Attorney about these policies and laws.
  6. If the candidate chooses not to submit material, the Personnel Promotion and Tenure Committee shall have access to statements submitted by the candidate for the School's Annual Report and information about teaching evaluations and courses.
  7. No anonymous comments will be used and only written, not oral, evaluations or comments will be considered.
- C. A request for review for promotion may be initiated at any time at the request of either the faculty member or the Dean.

1. Normally, requests for promotion will not be honored during the period of time a faculty member is serving an established term, except when unusual circumstances are present.
2. Review for promotion shall be voted on separately from review for tenure. If a request for a review for promotion involves tenure, the tenure review will take priority (See Section IV. B. of this document).

D. Criteria used for evaluation for promotion are those specified in Part V of this document.

E. Action by the Personnel Promotion and Tenure Committee

1. Based upon review of the material submitted and in light of the criteria for evaluation, the Personnel Promotion and Tenure Committee shall prepare a summary report of the candidate's performance.
  - a. The Personnel Promotion and Tenure Committee shall not make a recommendation for or against the proposed action.
  - b. The summary report shall be made available to the Full Professors and the Dean.

F. Action by the Full Professors

1. The Full Professors shall be provided at least 14 days to review the material related to the candidate's promotion or tenure case before being assembled to discuss, review, and vote on their recommendation to the Dean regarding the proposed action.
  - a. All discussion and deliberations of the Full Professors shall be held confidential.
  - b. The Dean shall chair the meeting of the Full Professors.
  - c. Voting shall be by secret ballot.

G. Action by the Dean

1. The recommendation of the Dean, including a report of the vote of the Full Professors, shall be presented to the faculty member in writing and shall be conveyed to the Provost of the University.
2. A supporting statement shall accompany the Dean's recommendation.
3. The faculty member has the right of appeal as specified in the University Code.

#### **IV. Initiating the Review Procedure for Tenure**

- A. A review for tenure shall be initiated by the Dean at least one year before the expiration of the nontenured appointment, consistent with the University policies on tenure review.

- B. A review for tenure shall take priority over a review for promotion. In no case shall a faculty member request promotion, which would result in tenure without first meeting requirements for review for tenure. {NOTE: a tenure decision is a different type of decision than a decision to promote, since the tenure decision requires a long term commitment to the faculty member by the University and assures rights and privileges beyond those of a non-tenured position. Therefore, the intent of this procedure is to insure a separate voting process for the two requests. }
- C. Materials to be Submitted and Criteria Used
1. Materials to be submitted are those stated in Part III.
  2. Criteria to be used for evaluation are those specified in Part V. of this document.
- D. Action of the Personnel Promotion and Tenure Committee
1. Based upon the review of material submitted and in light of the criteria for evaluation, the Personnel Promotion and Tenure Committee shall prepare a summary report of the faculty member's performance.
    - a. The Personnel Promotion and Tenure Committee shall not make a recommendation for or against the proposed action.
    - b. The summary report shall be made available to the Full Professors and the Dean.
- E. Action by the Full Professors
1. The Full Professors shall be provided at least 14 days to review the material related to the candidate's promotion or tenure case before being assembled to discuss, review, and vote on their recommendation to the Dean regarding the proposed action.
    - a. All discussion and deliberations of the Full Professors shall be held confidential.
    - b. The Dean shall chair the meeting of the Full Professors.
    - c. Voting of the Full Professors shall be by secret ballot.
- F. Action by the Dean
1. The recommendation of the Dean including a report of the vote of the Full Professors shall be presented to the faculty member in writing and shall be conveyed to the Provost of the University.
  2. A supporting statement shall accompany the Dean's recommendation.
  3. The faculty member has the right of appeal as specified in the University Code.

## **V. Criteria for Appointment, Promotion and Tenure**

### University Criteria for Evaluation of Candidates for Reappointment and Tenure

The Trustee Policies Governing Academic Tenure in The University of North Carolina at Chapel Hill indicate that tenure is held with reference to the institution and with reference to institution-wide standards. Section 2.a. of the Trustee Policies, for example, provides as follows: “While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible under Section 4 hereof, its conferral requires an assessment of institutional needs and resources and evidence of service to the academic community, potential for future contribution, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to effective teaching, research, or public service.” Section 4 of the Trustee Policies provides that the decision regarding tenure “is committed, without further recourse, to the judgment of the officers of administration authorized to make it, acting in accordance with prescribed procedures. In exercise of their judgment, whether in the first instance or in review of a recommendation to reappoint, such officers may take into account and use as a basis of decision, in whole or in part, any factors deemed relevant to total institutional interests...”

The tenure system is based upon the understanding that tenure is a privilege bestowed by the institution in keeping with its needs for outstanding achievement. It represents a fundamental institutional judgment of an individual's actual and potential contributions to the professional life of teaching, scholarship, and service. Thus, not everyone will obtain tenure; no set of detailed criteria can exist, the mere fulfillment of which will ensure tenure; and there will occasionally be differences of opinion about evaluations of an individual's contributions. Also relevant in the tenure decision are institutional interests that necessarily extend beyond the domain of any individual department or school. To insure that its intellectual quality is maintained and enhanced, the University insists on a standard of overall excellence.

As a reflection of the relevance of institutional interests, candidates for reappointment and tenure are evaluated independently according to the criteria referenced above at several levels of university administration, including the level of the Department Chair, Dean, Vice Chancellor for Academic Affairs as appropriate, Chancellor, Board of Trustees, and Board of Governors. Each level of administration may apply different or even higher standards of excellence from those applied at previous levels of review, consistent with school, division, and University-wide interests that are represented by these different levels.

### School of Social Work Criteria

The areas in which a person's performance will be evaluated when considered for appointment, promotion and tenure will be: Basic Requirements of All Faculty Members, Teaching, Scholarship, and Service. For tenure and promotion to the rank of Associate Professor, the candidate should have demonstrated excellence in all these areas.

For promotion to the rank of Full Professor, the candidate should have demonstrated excellence in these areas at a level substantially higher than that which is expected for granting of tenure and/or promotion to the rank of Associate Professor.

## A. Basic Requirements of All Faculty

It is expected that all faculty members maintain ethical standards of professional conduct in their work with colleagues and students; work collaboratively with colleagues on School business; and assume their fair share of responsibilities in advancing the mission of the school.

## B. Teaching

### 1. Criteria for classroom instruction :

#### a. Effectiveness of teaching materials

- (1) states clear and relevant course objectives,
- (2) uses up-to-date reading materials,
- (3) includes major variables important to the subject,
- (4) creates a good fit within curriculum guidelines,
- (5) presents clear course requirements and grading system,
- (6) demonstrates a consistency among objectives, units of study, and assignments.

#### b. Effectiveness of classroom performance

- (1) has an effective presentation (e.g., is coherent, organized, and responsive to students; has well- designed class activities; generates class discussion),
- (2) meets sessions responsibly,
- (3) is available to students outside class as appropriate,
- (4) demonstrates expertise in the area,
- (5) provides climate for intellectual stimulation.

#### c. Other activities as appropriate

- (1) develops new courses,
- (2) collaborates in teaching courses,
- (3) directs individual study for students.

### 2. Criteria for field advising if applicable (F):

- a. is available to students and agencies,

- b. has a good relationship with field instructor and other agency personnel,
  - c. monitors student progress regularly,
  - d. spends an adequate amount of time assessing or evaluating student performance and agency role in professional education.
  - e. participates in field meetings; is knowledgeable about practices/procedures
3. Sources to be reviewed, as appropriate:  
Course syllabi, student evaluations, peer observation report, field instructor's evaluation, and personal statement of evaluation.

\* NOTE ON PEER OBSERVATION: One or two faculty members who are selected by the Personnel Promotion and Tenure Committee and who are knowledgeable in the curriculum area of the person being reviewed will visit the classroom of that person. There will be at least one visit in the semester of the review at a mutually agreed upon time. Prior to the initial classroom visit the reviewers and faculty member being reviewed shall meet to discuss the syllabus and the faculty member's approach to the course. The reviewer(s) will write a report based on criteria recorded above in B,1(b) of Section V. of this document, and will meet with the person being reviewed to provide feedback. The reviewer(s) shall submit a report of the classroom observation using the Peer Observation Form.

### C. Scholarship

1. Areas to be evaluated:
- a. conceptual and theoretical contributions to knowledge development and
  - b. empirical contributions to knowledge base.
2. Criteria for both areas:
- a. mastery of subject matter,
  - b. creativity and originality of work,
  - c. organization and clarity of writing,
  - d. appropriateness of methodology,
  - e. quality of collaborative scholarly work with the practice community and related systems,
  - f. contribution to development of social interventions,
  - g. contribution to theoretical development of social work or related knowledge,
  - h. contribution to empirical foundations of social work or related knowledge,

- i. methodological contributions to social work or related research,
  - j. development of implications for practice, theory, and future research,
  - k. number of publications,
  - l. number and amount of contracts and grants,
  - m. impact on the field, both nationally and internationally
3. Sources to be reviewed, as appropriate:
- Publications (published articles in refereed journals, published articles in other journals, chapters in books, books, edited books, edited journals, and book reviews), other research reports, grant/contract reports, conference presentations, evaluation by others in the field through solicited external reviews, and personal statement of evaluation.

**D. Service to School, University, Profession, and Governmental/ Human Service Organizations**

1. Criteria to be evaluated:
    - a. range, frequency, and quality of contribution to the mission and functioning of the School;
    - b. range, frequency, and quality of contribution to the mission and functioning of the University;
    - c. range, frequency, and quality of participation in professional organizations and conferences;
    - d. range, frequency, and quality of contributions to governmental and/or human service organizations.
  2. Sources to be reviewed, as appropriate
- Annual reports, solicited or unsolicited statements or materials from professional organizations and/or conferences showing involvement and any measure of evaluation, statements from governmental or human service organizations describing and evaluating contributions, and personal statement of evaluation.

## **VI. Criteria for Post Tenure Review**

**A. The policies governing Post Tenure Review, approved 5-17-01 are as follows:**

Purpose: The purpose of post-tenure review is to serve as an additional means of fostering the School's mission of educational excellence, including its goal of providing high-quality instruction to its students and contributing to the development of knowledge through scholarship

and service. The process of review also serves to enhance a sense of accountability within the School and the University.

## B. Schedule for Review

**Cycle of Review.** The number of faculty members to be reviewed in any given year will be approximately 20% of the number of tenured faculty members. All tenured members of the faculty will be reviewed during a five-year period beginning with the 1998-99 academic year, and in five-year cycles thereafter. Members of the faculty who are appointed or promoted to tenured positions in subsequent years will be brought into the five-year cycle so that they participate in the process of post-tenure review no later than five years after the effective date of tenure. If necessary, adjustments in the schedule of review may be made to meet the needs of individual faculty members and the institution.

**Notice.** Faculty members who will undergo post-tenure review in any given year will be advised by the Dean of the upcoming review as early as possible. Faculty members scheduled for review must be notified no later than 90 days prior to commencing the review.

**Relation to Other Forms of Review.** The system of post-tenure review will supplement, rather than substitute for, other systems of review, including those relating to tenure and promotion, annual feedback in years prior to tenure, appointment to distinguished chairs, salary determinations, yearly evaluation meetings with the Dean, or personnel actions taken pursuant to University policies on tenure and promotion and other matters relating to faculty conduct and performance.

## C. Process

1. **General Principles.** The faculty believes that the post-tenure review process should be as simple, straightforward, fair, functional, and flexible as possible.
2. **Obligation of Confidentiality.** All matters relating to individual post-tenure reviews will be regarded as confidential in nature. All faculty members who participate as members of the Post Tenure Review Committee (hereafter, PTR Committee) or otherwise advise on individual cases will take seriously their obligation to abide by this requirement.
3. **Participation by Faculty Member Being Reviewed.** Each faculty member who is to undergo review in a given year will take an active role in the post-tenure review process by assisting with planning, preparing relevant background information, engaging in constructive dialogue with colleagues and the Dean, and undertaking a Development Plan if needed to address deficiencies in performance.

4. **Composition and Duties of the PTR Committee.** The School Personnel Promotion and Tenure Committee will appoint an individual PTR Committee for each faculty member under review. At least one member of the Personnel Promotion and Tenure Committee must serve on each PTR Committee. In addition, after inviting nominations from the Personnel Promotion and Tenure Committee and the faculty member under review, the Chairperson of the Personnel Promotion and Tenure Committee will arrange for additional members of the faculty to serve on the PTR Committee. All members of the PTR Committee must be members of the School of Social Work tenure track faculty and must be at equal or higher rank as the person under review. Upon completing its review of the contributions of the faculty member, the PTR Committee will provide a written report and recommendation. In summarizing the contributions of faculty members, the PTR Committee will determine whether the performance of the faculty member under review is satisfactory, or deficient. If the latter, it will recommend that the faculty member prepare a Development Plan that specifies actions to remedy deficiencies.
  
5. **Information to be Considered During Review Process.**
  - a. **Self-Assessment by Faculty Member.** The faculty member being reviewed will prepare a written self-assessment indicating accomplishments during the past five years and goals for the next five years. Self Assessments should be approximately 2 pages in length, single spaced.
  
  - b. **Faculty Activity Reports:** The faculty member being reviewed should submit copies of Faculty Activity Reports for the past five years.
  
  - c. **Background Information.** The faculty member will also prepare a file that includes
    - a current curriculum vitae;
    - teaching evaluations, course syllabi, and, if desired, a "teaching portfolio";
    - scholarly work completed since the last review; and
    - information concerning significant professional and public service.

The Dean may also provide additional written information that may be pertinent, including information developed during periodic merit reviews and information relating to the faculty member's ongoing work within the institution.

- d. **Peer Visitation of Classes.** Peer visitation of classes will be conducted in order to enhance the insights of the faculty as a whole about teaching and to provide relevant information on the faculty member being reviewed. The purpose of the visit is to observe the faculty in a typical classroom activity. As a general matter, the PTR Committee will arrange for visitation in at least one class session of at least one course during the year prior to or the year in which the post-tenure review of an individual faculty member is conducted. Before visitation, faculty members under review will meet with members of the PTR Committee in order to plan for a class

visit and to describe the objectives and activities for the class session to be observed. It is the intent of these visitations that they be as unobtrusive as possible. The date and time of the in-class observation should be announced to students prior to the class.

6. **Determination Regarding Overall Performance.** The PTR Committee will advise the faculty member being reviewed whether it believes that he or she is performing at a satisfactory level or has deficiencies in performance that need to be addressed through creation of a Development Plan. The PTR Committee will submit its recommendations to the faculty member being reviewed, the Personnel Committee, and the Dean. The Committee will use criteria outlined in the Personnel Procedures Policy to differentiate between expectations of an Associate Professor and a Full Professor in the areas of teaching, scholarship, and service.
7. **Establishment and Monitoring of Development Plan.** The Dean is responsible for creating and monitoring a development plan with the individual faculty if the PTR Committee concludes that a faculty member has a record of overall performance that reflects deficiencies. The Development Plan will include clear goals, indicators of goal attainment, a reasonable time frame for the completion of goals, and a statement of consequences if the goals are not reached. The performance of a faculty member who has been found to have deficiencies in overall performance and who is working on completion of a Development Plan will be reviewed by the Dean on an annual basis for a period of up to three years until such time as deficiencies have been remedied. In the event that deficiencies in performance continue to exist at the end of the three-year period, the Dean will consider whether action should be initiated pursuant to the Trustee Policies and Regulations Governing Academic Tenure or other steps taken to address the deficiencies in performance.
8. **Maintenance of Confidential Written Record.** The PTR Committee will develop a written summary of its conclusions and will share that summary with the faculty member being reviewed for comment. The faculty member being reviewed may submit written comments to the PTR Committee, the Personnel Committee, or the Dean in response to the written summary. The Dean will consider the PTR Committee's report and the comments of the faculty member under review in preparing a memo to the faculty member that conveys the results of the review. The Dean will maintain the PTR Committee's written summary and the response, if any, by the faculty member being reviewed as part of that faculty member's confidential personnel file, along with all background information and other materials used in connection with the review.

D. Appeals and Reports to the Provost.

1. **Appeals of Findings of Deficiencies and Development Plans.** Faculty members found by the PTR Committee, the Personnel Promotion and Tenure Committee, and the Dean to have deficiencies in performance and for whom a Development Plan is established may appeal the finding of deficiency or the terms of the Development Plan within 30 days of receiving a final letter from the Dean including such findings and Development Plan. Appeal rights are as provided for in the University's policy on

post-tenure review.

2. Annual Reports Filed with Provost. As provided in the University policy on post tenure review, the Dean will file annual reports to the Office of the Provost specifying the names of faculty members reviewed during the previous year, the names of faculty members for whom a Development Plan was recommended and established, and the names of faculty members who were subject to review in that year but for whom a delay was requested (along with the reasons for delay).

## **VII. Criteria for Appointment, Reappointment and Appointment at a Higher Rank for Fixed-term Faculty**

A. The policies governing Fixed-term Faculty are as follows:

Fixed-term appointments are those appointments to the faculty not leading to permanent tenure. Fixed-term ranks include instructor, assistant professor, associate professor, and professor with the prefix qualifier “clinical”, “research” or “adjunct” and denote an appointment for a person who is employed in the School for 50% or more time and whose primary responsibility within the School is in administration, teaching, research, or community service. The person may be reappointed. The Personnel, Promotion and Tenure Committee will review initial appointments and reappointments at a higher rank.

### ***Clinical and Research Faculty: Appointment & Promotion Guidelines***

The primary responsibility of persons holding fixed-term clinical and research faculty appointments may be teaching, training, research, academic administration, or public service. The following general guidelines are used to make distinctions between clinical and research faculty appointments:

*Clinical faculty* are engaged in any one or a combination of the following primary activities: teaching, training, technical assistance, curriculum development, supervising students in a field setting, or academic administration. Such appointment does not preclude a secondary involvement in research and dissemination activities.

*Research faculty* are engaged primarily in research, although such an appointment does not preclude a secondary involvement in teaching, training, technical assistance, curriculum development, student supervision, or academic administration.

Every effort should be made to use the EPA Non-faculty appointment classification when it is appropriate. For fixed-term faculty appointments the following classification hierarchy and promotion guidelines will be followed. Exceptions may be made by the Dean.

**Clinical or Research Instructor:** Appointment to this rank requires a masters degree, 3 years of relevant experience (pre or post masters), and the primary area of responsibility must be identified (see above).

To be promoted to the level of *Clinical or Research Assistant Professor*, the employee will demonstrate excellence in his/her identified primary area of responsibility, demonstrating progressively greater amounts of leadership, initiative, responsibility, and independence\*. The faculty instructor will complete 6 years of employment in the School of Social Work at this rank to be eligible for promotion to the rank of Clinical or Research Assistant Professor.

**Clinical or Research Assistant Professor:** Appointment to this rank requires a masters degree, 7 years of relevant experience (6 years must be post masters), and the primary area of responsibility must be identified (see above).

To be promoted to the level of *Clinical or Research Associate Professor*, the employee will demonstrate excellence in his/her identified primary area of responsibility and demonstrate proficiency in a second area of responsibility. Also, work should demonstrate progressively greater amounts of leadership, initiative, responsibility, and independence\*, and service in his/her primary area. Further, faculty members will demonstrate understanding and proficiency in the areas of research and evaluation concerning identified area of responsibility. This may include dissemination through scholarly publications and conference presentations, workshops, professional training or other scholarly activity (e.g., co-author or co-presenter, or curriculum development that is evaluated as well-received by consumers and evaluated as helpful and/or relevant for the profession). The Clinical or Research Assistant Professor will have completed 6 years of employment in the School of Social Work at this rank to be eligible for promotion to the rank of Clinical or Research Associate Professor.

**Clinical or Research Associate Professor:** Appointment to this rank requires a masters degree, 14 years of relevant experience, and excellence in the primary area of responsibility and proficiency in an identified secondary area of responsibility.

To be promoted to the level of *Clinical or Research Full Professor*, the employee will demonstrate excellence in his/her identified primary area of functioning and demonstrate his/her ability to a) conceptualize a research and dissemination agenda, b) develop external funding sources to support his/her work, c) provide leadership and team/collaborative relationship development and d) function independently and responsibly. This will include dissemination through scholarly publications and conference presentations, workshops, professional training and other scholarly activity (e.g., co-author or co-presenter, or curriculum development that is evaluated as well received by consumers and evaluated as helpful and/or impactful for the profession. The Clinical or Research Associate Professor will have completed 6 years of employment in the School of Social Work in the Clinical or Research Associate Professor rank to be eligible for promotion to the rank of Clinical or Research Full Professor. To attain the rank of Full Professor the individual must have an earned Ph.D. degree.

**Clinical or Research Full Professor:** Appointment to this rank requires a doctoral level degree in Social Work or in a related field, 18 years of relevant experience, and the multiple areas of demonstrated expertise and functioning. The individual must

demonstrate excellence in teaching (e.g., classes, training, seminars, workshops), research (e.g., products in refereed journals or other professional methods that are judged as excellent), external funding (e.g., Federal, State, or private funding sources), and service (e.g., to the School, the University, the community, and the profession).

\*Individuals will demonstrate “progressively greater amounts of leadership, initiative, responsibility, and independence” by working with their project principal investigator or other supervisor to identify goals for professional development in these areas, and then demonstrate mastery of these goals in their work.

- B. A Fixed-term faculty member with a rank of assistant professor or higher may be appointed to full membership on the graduate faculty of the university.
- C. A review of the professional performance of fixed-term faculty will be held no later than 90 days prior to the expiration of the term of appointment.
- D. Procedures for review and/or promotion will be the same as those listed for tenure track faculty in Sections III. B.1. a to g, III. B. 3-5, III. C, and III. E-F.

### **VIII. Procedures and Criteria for Merit Salary Increases**

- A. This section applies to tenure track faculty and clinical faculty with full-time assignment to the Academic program of the School.
- B. Criteria for merit salary increases will be the same as those specified for appointment, promotion, or tenure for tenure track faculty in Section V., and for fixed term faculty in Section VII. The Dean shall apply these criteria in awarding merit salary increases.