

THE UNIVERSITY OF NORTH CAROLINA ASHEVILLE
FACULTY SENATE

Senate Document Number SD6021S
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Statement of Faculty Senate Action:

**FWDC 14: Revise Summary of the Evaluation Procedure III
Faculty Handbook Section [3.5.4.1](#)**

Effective Date: Immediately

Summary: In order to improve the experience of reappointment, tenure and promotion decisions for all candidates at UNC Asheville, we move to add items to the faculty handbook that promote consistency, transparency, accountability, fairness and respect for all persons, given the weight of the decision on candidates.

Rationale: We strive for a more humane, predictable, transparent and consistent process that minimizes conflicts of interest. Below are recommended changes to consider and adopt.

Revise section [3.5.4.1](#) as follows:

er1. This evaluation procedure is applied to all faculty members who are on at least a yearly nine-month contract and who are eligible for reappointment, tenure or promotion. The term "candidate" in subsequent items refers to the faculty member undergoing evaluation. The term "Chair" refers to the Department Chair or Program Director responsible for evaluating the candidate.

2. For faculty whose contracts begin in the fall, the evaluation process begins in Fall of the year of review. For faculty whose contracts begin in the spring the tenure clock begins the following academic year.

A. In the case of a contractually required review (i.e., a reappointment or tenure review), the Provost and VCAA begins the process by sending a notice of review to each candidate with a copy to the faculty's member's chair. The notice of review specifies the documents to be prepared and the timetable for the review process.

B. In the case of a requested review (i.e., an early tenure review or promotion to either Professor or Senior Lecturer), the candidate initiates the process, notifying Academic Affairs and his/her Department Chair in writing of the request for review by December 1. Faculty members are encouraged to meet with their Chairs to discuss the request and to consider the likelihood of Chair and Department support before pursuing the request. If the faculty member decides to pursue the request, he/she notifies the Provost and VCAA who then sends the candidate a notice of review as described above. Faculty members considering early tenure reviews or promotion reviews prior to the awarding of tenure should note that while a faculty member may request a review for tenure before the contractually specified time, a negative tenure decision in this case is equivalent to a decision to not reappoint the faculty member after completion of the current probationary term. Because a promotion implies tenure, a negative decision on a request for promotion from a non-tenured faculty member on the tenure-track has the same consequences; this provision does not apply to negative promotion decisions for candidates for the rank of Senior Lecturer.

3. Each faculty member under review prepares an evaluation file including a Candidate's Statement, a Fall semester Faculty Record and an up-to-date curriculum vitae of his/her professional career. (Information about the format and contents of the Candidate's Statement is available in [Section](#)

[3.5.4.3.](#)) If the candidate desires, letters of recommendation from students and/or colleagues and samples of professional work may be collected for submission at this time. All materials must be submitted to the Chair by the deadline specified in the notice of review.

4. The Chair adds copies of the candidate's annual Faculty Records and Merit Evaluations (including Dean's or Provost's written explanation of final evaluation and Provost's response to any appeal), student evaluation rating summaries and comments (available from Academic Affairs upon request), and peer reviews of the faculty member's teaching to this file. For candidates for reappointment and for tenure and promotion to the rank of Associate Professor, these additional materials should cover the full period of time that the faculty member has been a full-time member of the UNC Asheville faculty. For candidates for promotion to the rank of Professor or Senior Lecturer, these additional materials should cover the preceding five full years. The Chair makes these materials available to the tenured members of the Department for their review.

In addition, personnel review letters (available from Academic Affairs upon request) are added to the file. For candidates for tenure, the Provost's letter granting reappointment (if applicable) is added to the file; for candidates for promotion to Full Professor, all personnel review letters since the granting of tenure are added: Provost's letters granting tenure, denying promotion, or responding to post-tenure review; Dean's post-tenure review letters; PTRC recommendation letters to the Dean/Provost; and if applicable, any PTR development plans.

5. In certain circumstances, this process is modified as described below to ensure a fair and comprehensive evaluation.

A. When the faculty member under review is a Chair or Program Director

When the faculty member under review serves as a department chair or program director, the Provost and VCAA, or designated program area Dean, in consultation with the faculty member being evaluated, will assign a

tenured faculty member to serve in the role of Chair. The designated Chair will have a tenured faculty appointment outside the department (or program) and within the division (or divisions).

B. When the Department has fewer than three tenured faculty members

If the department has fewer than three tenured faculty members, the Chair will consult with faculty members outside the department chosen in consultation with the candidate and approved by the Provost and VCAA. No fewer than three tenured faculty members shall participate fully in the departmental review process. Faculty mentors from the New Faculty Mentoring Program (see section 4.1.7) may not be selected to act in this capacity. The following are faculty appropriate to consider for inclusion:

- 1) Tenured faculty members in Departments where the faculty member has taught courses.
- 2) Chairs or Program Directors in Departments where the faculty member has taught courses.
- 3) Tenured faculty members in other Departments who are familiar with the faculty member's work.

C. When the faculty member has taught courses outside the Department

When the faculty member has taught courses outside the Department, the Chair should request written evaluations of the faculty member's performance from the Chairs/Directors of those Departments/Programs.

The Chair in his/her statement regarding the candidate's performance should address these evaluations.

D. When the faculty member has reassigned time for administrative duties

When the faculty member has reassigned time for administrative duties, the Chair will request a written evaluation of the faculty member's performance from the person who supervises these administrative activities. The Chair in his/her statement regarding the candidate's performance will address this evaluation.

E. When the Chair is untenured ([SD6205S](#))

If the Chair of the faculty member is untenured, the Provost and VCAA (or designated Dean) in consultation with the faculty member and his or her Chair will assign a tenured faculty member to serve in the role of Chair. The designated Chair should be a tenured faculty member appointed in the same division of the University or from a related department/program. The untenured Chair will be provided the opportunity to submit a letter of evaluation for the candidate's review dossier, and the candidate will have opportunity to respond to this letter.

F. When the faculty member has a joint appointment ([Faculty Handbook 2.6.2](#))

The Chair of the faculty member's primary department will be responsible for coordinating the departmental review and for composing the Chair/Director's Evaluation and Recommendation. The Chair of the second department will prepare an evaluation statement and recommendation which is made available to the candidate and added to the materials listed in (4) above. The Chair of the primary department must refer to this

statement and recommendation in the Chair/Director's Evaluation and Recommendation.

G. When the faculty member is a member of the Committee of Tenured Faculty

Because Associate Professors are eligible to serve on the Committee of Tenured Faculty (CTF), it is possible members of the CTF to themselves apply for promotion to Professor during their term of service. A member of CTF who applies for promotion will resign from the committee before deliberation of any files begins and be replaced in accordance with [10.2.1.3](#) by the faculty member who was runner-up in the appropriate program area in the last faculty election.

6. After all tenured Department members have reviewed these materials, the Chair assembles these faculty for a vote on the candidate's reappointment, tenure or promotion request.
 7. After consulting with the tenured Department members, and reviewing all materials in the evaluation file, the Chair writes an evaluation of the faculty member under review, including the vote of the assembled tenured Department members, and the date of that meeting, as well as the Chair's own recommendation regarding the faculty member. (Information about the format and contents of the Chair's Statement is available in [Section 3.5.4.4.](#))
 8. The Chair must submit his/her statement to the faculty member at least 5 days prior to its submission to the Office of Academic Affairs and, if the faculty member so desires, meet with him/her to discuss the recommendation.
- A. In all cases, the faculty member may write a supplementary statement including explanatory or clarifying information after reviewing the Chair's Statement. This supplementary statement should be sent to the Chair and included in the candidate's evaluation file.

B. In cases where the Chair makes a negative recommendation, the UNC Asheville Tenure Policies and Regulations ([Section 14.2](#), III-D-1-b) delineate a specific procedure to be followed:

1) In addition to submitting the Chair's Statement to the candidate, the Chair simultaneously communicates the intention to issue a negative recommendation to the Provost and VCAA and the faculty member in a separate simple, unelaborated written statement.

2) Within 5 days of receipt of that notice, the faculty member may request a conference with the Chair and the opportunity to provide additional written evidence or views bearing on the faculty member's demonstrated professional competence and potential for future contributions. This statement of rebuttal is included in the faculty member's evaluation file.

3) If the faculty member does not request a conference or provide additional written materials bearing on the case during this 5 day interval, the Chair's evaluation and recommendation are added to the candidate's evaluation file.

9. The candidate and Chair submit copies of only the following materials to the Office of Academic Affairs by the deadline specified in the notice of review: the Candidate's Statement, the Curriculum Vitae, the Fall semester Faculty Record, the Chair's Evaluation and, if written, the candidate's statement of clarification or rebuttal.

10. The materials listed in # 9, along with the faculty member's annual Faculty Records and Merit Evaluations (including Dean's or Provost's written explanation of final evaluation and Provost's response to any appeal), the results of student evaluation of instruction (both ratings and comments, and personal review letters as stipulated in (4) above (all

provided by the Office of Academic Affairs) are made available to the Committee of Tenured Faculty. During the entire process from Tenure Committee to the review of the Chancellor, confidentiality is of paramount importance. Only individuals authorized to be involved in the review may have knowledge of the content of the review or share the vote tally. Members of the Committee are asked not to discuss any review material apart from the whole committee and to focus their comments and arrive at their conclusions based on the contents of the candidate's dossier. The Committee of Tenured Faculty, upon completion of the reviews, meets with the Provost and VCAA to transmit, with comment, its vote on their recommendation regarding the faculty member's reappointment, tenure or promotion. The Provost and VCAA may involve the Deans in a consultative role so as to help assure equity of standards. The vote, including its tally, along with the comment material will be held in confidence thereafter by all members of the Committee and the Provost and VCAA (and any involved Deans). After the Provost and VCAA shares the vote tally and comment material from the Committee with the Chancellor, the Chancellor will also hold this information in confidence, and will refer to the Provost and VCAA without comment or context all queries regarding a review. The Chancellor's communication roles are restricted to forwarding a favorable decision to the Board of Trustees and notifying the faculty member of an unfavorable decision. Under no conditions will the vote tally of the Committee be shared beyond the circle of reviewers. The Provost and VCAA will meet with the Committee after he or she knows whether the Chancellor will recommend the conferral of tenure and/or promotion so as to apprise the Committee members on the outcome of the process. The Committee members will hold this information in strict confidence.

11. After reviewing all materials, including the Chair's statement and the recorded vote of the assembled tenured Department members, and the vote of the Committee of Tenured Faculty, the Provost and VCAA makes a decision regarding the faculty member's reappointment, tenure or promotion.

12. The UNC Asheville Tenure Policies and Regulations specify the subsequent actions required by the Provost and VCAA, the Chancellor, and

the Board of Trustees. In the case of a favorable Provost and VCAA recommendation, the decision is communicated to the faculty member and the Chancellor, and the process continues. In the case of an unfavorable Provost and VCAA recommendation, the faculty member has the right to conferences with the Provost and VCAA and the Committee of Tenured Faculty, and the right to seek review of the Provost and VCAA decision before the Faculty Hearings Committee. Candidates should consult the UNC Asheville Tenure Policies and Regulations ([Section 14.2](#)) for a more detailed description of all aspects of the process.

13. A candidate for tenure and/or promotion who is awarded promotion should then, in consultation with the immediate supervisor (Department Chair, unless the candidate is a Department Chair, in which case the program area Dean), develop a five-year plan for future accomplishments. This plan should indicate milestones connected to annual goals, and may be modified annually in consultation with the immediate supervisor.

16. Candidates given a negative tenure decision shall be informed in their decision letter of their procedural rights to an appeal, including that they have full access to all letters in their personnel file.