

**Faculty Handbook
For
The College of William and Mary**

Chapter III, Section B

2. Evaluation for Retention, Promotion and the Award of Tenure.

Although differences in mission and organization among the several faculties of the College necessitate variations in procedures, the College recognizes the fundamental principle of evaluation both by colleagues and by administrative officers in determining the retention and promotion of faculty and the award of tenure. The procedures for evaluation followed by each school or department are adopted by majority vote of each school or department and are approved by the Procedural Review Committee (see Section III.B.4.a.) for consistency with general personnel policy of the College. The procedures become effective when recorded by the Committee on Personnel Policy of the College.

The Committee on Personnel Policy of the College (Section III.B.4.b.) advises the Provost, and through the Provost the President of the College, on personnel policy and is charged with assessing the administrative feasibility of procedures adopted by the several faculties for the retention and promotion of faculty and the award of tenure.

Recommendations for retention and promotion of faculty and the award of tenure in the Faculty of Arts and Sciences originate with a broadly-based group within the department (such as an elected departmental personnel committee), or with the chair, and in the schools, including the Virginia Institute of Marine Science, with a broadly-based group within the school (such as an elected faculty personnel committee) or the dean. In each instance, regardless of origin, the recommendations are commented upon by both the chair or dean and the appropriate faculty group.

Department chairs and deans submit annual merit evaluations for the purpose of setting salary increments. Departments or schools must also conduct periodic constructive evaluations of all members of the department or school, regardless of rank. Procedures for post-tenure review have been developed by each faculty in accordance with the university policy (Section III.B.2a below.) Annual merit, post-tenure, and other periodic evaluations are placed in each individual personnel file.

In the Faculty of Arts and Sciences, the Schools of Business Administration, Education, and Law, and the Virginia Institute of Marine Science, which includes the School of Marine Science, the recommendations of the faculty and the dean are submitted to the Provost.

The Provost submits to the President the Provost's recommendations for retention, promotion and the award of tenure. The President's decisions are final subject to approving action by the Board of Visitors.

Throughout the College the criteria for retention, promotion, award of tenure, and evaluation of faculty members include: possession of the professional education, experience, and degrees appropriate or necessary for their duties; conscientious and effective teaching with proper command of the material of their fields, and helpfulness to their students; significant contributions to their fields through research and scholarly or creative activity, and through professional service; and responsible participation in College governance. In applying these criteria, each recommending authority will consider all relevant sources of information obtained for the evaluation, including the opinion of students. The opinion of experts outside the College may be sought. The criteria shall be applied in a manner that fosters each Faculty's particular mission and improvement in the overall quality of the faculty. Each case shall be judged on its own merits and not on comparisons with past decisions.

By delivery of a copy of this Faculty Handbook with their initial appointment contract, or as soon as practicable, tenure-eligible faculty will be advised of governing criteria, as well as the procedures generally employed in decisions affecting renewal and tenure. Any special criteria adopted by the faculty member's department or school also will be timely transmitted. Faculty members shall be advised in writing at the time of initial appointment and as deadlines approach by the appropriate administrative officer when decisions affecting their retention or promotion or the award of tenure are to be made, and when evaluations of their performance are to be conducted, and shall be afforded reasonable opportunity to present in person or in writing all relevant information. Faculty members shall have timely access to their personnel records upon request. Such requests shall be answered within applicable statutory procedures and schedules. Members shall be afforded an opportunity to respond to any material considered.

Normally, decisions regarding the award of tenure are made before the end of five and a half years of applicable service (see Section III.F.7.b. for discussion of effect of leaves of absence on tenure schedule). A recommendation for the granting or denial of tenure must be submitted to the Provost by 15 March of the year before the last allowable year of probationary service. Subject to the approval of the Board of Visitors, tenure will be granted to a full-time faculty member who has attained the rank of assistant professor or higher upon the member's continuation beyond seven years (including authorized leaves of absence except as discussed in Section III.F.7.) as a full-time faculty member of any accredited institution of higher learning or in a professional position relevant to the faculty member's academic appointment at the College; provided that

- * if part of the seven years is represented by service other than at the College, the faculty member may be required to serve a probationary period of as much as four years at the College immediately before tenure is granted, even if the total full-time service thereby exceeds seven years. The terms of such a probationary period will be stated at the time of initial appointment, both in the letter of intent and the final written contract; or
- * if there is an error in determining applicable years of service, tenure will not be awarded until a tenure review has been conducted and a positive recommendation made by the President to the Board, which review should begin as soon as possible after the error is discovered and in no case later than the next succeeding academic year.

When a positive tenure recommendation is made for a full-time faculty member who has attained the rank of assistant professor or higher, it must be acted upon by the Provost and the President.

The seven-year term specified above represents the normal tenure standard of the College. In highly unusual special circumstances, a reduction in time may be made with the written concurrence of the Provost. In such cases, before a tenure review commences, the candidate must agree in writing to advancing the date of consideration and that such consideration shall represent the only evaluation for tenure. Notwithstanding earlier contracts or letters of intent, such written agreement shall also make clear that a decision not to grant tenure shall result in termination of the probationary faculty member's service in accordance with notice requirements below. Regardless of the timing of the tenure decision, a new evaluation of a candidate who has been given a time-reduction and denied tenure may be undertaken only with the written approval of the Provost.

A candidate who has been denied tenure may request reconsideration by the decision-making authorities. Regardless of the timing of the decision to deny tenure, a new evaluation of a candidate who has been denied tenure in a manner that has not been found to be procedurally irregular and prejudicial may be undertaken only with the written approval of the Provost. In cases where prejudicial procedural irregularities are found by the Procedural Review Committee and/or the Grievance and Hearing Committee, as described in this Handbook, a candidate has the right to have the decision reconsidered. In the case of a negative decision on tenure, the faculty member will normally receive in the Spring of the year in which the decision is made a terminal appointment for the next academic year. Should a determination be made, either by the Provost or by the Procedural Review Committee and/or the Grievance and Hearing Committee, as described above, that a new tenure evaluation should be conducted, the faculty member will still receive a terminal appointment. However, should reconsideration result in a positive decision on tenure, the terminal appointment will be superseded.

III. B.2.a. Policy on Post-Tenure Review (Insert Pages 24a and 24b)

Policy on Post-Tenure Review (Insert)

i. Scheduled Review

After attaining tenure, each faculty member shall be subject to post-tenure review by the appropriate faculty personnel committee at regular intervals not to exceed six years. The purpose of post-tenure review shall be to enhance faculty development and to ensure the quality of faculty teaching, scholarship and service in accordance with the missions of the several Faculties and Schools. In accordance with the principles of peer judgment, each Faculty or School has established the procedures by which the review shall be conducted.

The review may result in commendation, recommendations for improved performance, or suggestions for faculty development. Appropriate use of the review recommendations in the context of faculty improvement and development is the joint responsibility of the individual faculty member, the department chair (where appropriate), and the dean.

When a post-tenure periodic review results in a finding that the faculty member's overall performance record is unsatisfactory, the individual in consultation with the personnel committee, department chair and/or dean will develop a performance plan to address the area/s of deficiency. The plan must be acceptable to both the department chair and dean. For subsequent action, see section III.B.2.a.iii. below.

ii. Unscheduled Reviews

Department chairs and/or deans conduct an annual merit evaluation of all faculty members. When a tenured faculty member receives an overall unsatisfactory annual merit evaluation in two consecutive years or twice within a three year period, a full post-tenure review by the appropriate faculty personnel committee shall be undertaken. Thereafter, in consultation with the personnel committee, department chair and/or dean, the faculty member will develop a performance plan to address any area/s of deficiency. The plan must be acceptable to both the department chair and dean. For subsequent action, see section III.B.2.a.iii. below.

iii. Follow-up Reviews

When either a scheduled or unscheduled post-tenure review results in a finding of unsatisfactory overall performance, an assessment of the progress made in implementing the performance plan will be conducted by the

appropriate faculty personnel committee. In the case of scheduled reviews this assessment will take place two years after the acceptance of the performance plan; in the case of unscheduled reviews, the assessment will take place twelve months after the acceptance of the performance plan.

If the overall performance continues to be unsatisfactory, disciplinary action will be taken. Such action may include suspension or a finding of adequate cause for termination as delineated in Section III.B.7.b. of the Faculty Handbook.

The procedural standards for termination of the appointment of a tenured faculty member for reasons of incompetence, neglect of duty or misconduct are set out in Section III.B.7.b. of the Faculty Handbook.

iv Reporting

In all cases of unsatisfactory performance, whether identified through annual review or scheduled or unscheduled post-tenure review, the department chair shall keep the dean informed (and the dean shall keep the provost informed), of the nature of the deficiency, any proposed remedial action, and the results of subsequent monitoring.