

UNIVERSITY OF HOUSTON PROVOST'S POST-TENURE REVIEW POLICY
Spring 2024

I. PREAMBLE

Annual faculty workload and faculty performance expectations at the University of Houston are set by the academic department and/or college under guidelines contained in the University of Houston Faculty Workload Policy (MAPP 12.05.01) and the UH Provost's Faculty Annual Performance Review (F-APR) Policy. Under these policies, all faculty members are required to undergo a comprehensive, annual performance review appropriate to the type of faculty appointment held, academic rank, and career stage of the individual faculty member. Tenured faculty members traditionally hold roles and responsibilities in at least three overlapping professional domains (i.e., research/scholarship, teaching/instruction, service, and, where applicable, patient care and/or academic program administration).

II. ACRONYMS USED

PTR – Post-Tenure Review

F-APR – Faculty Annual Performance Review

T-PDP – Tenured Professional Development Plan

IAS – Immediate Academic Supervisor (i.e., department chair, dean, or dean's designee)

III. PURPOSE & SCOPE

The following academic policy is intended to ensure that tenured faculty members at the University of Houston continue to meet performance and productivity expectations set by their academic units and the University. In the case of a tenured faculty member who fails to meet annual performance expectations, it is reasonable for an academic unit and the University to assume that this is a valid indicator that a tenured faculty member is failing to meet these performance and productivity expectations. Under such circumstances, this policy requires that the tenured faculty member undergo a post-tenure review to address such performance and productivity issues. Intended to be formative and collaborative in nature, the goal of the PTR process is to provide specific guidance and appropriate assistance in helping the tenured faculty member return to the performance and productivity levels expected of them by their academic unit and the University. This policy and the PTR process it describes are grounded in the principles of **peer review**, **academic freedom**, and **due process**.

IV. POLICY

This academic policy applies only to faculty members who have been awarded tenure at UH. It provides a uniform framework and set of procedures to be followed for conducting a PTR process. This policy details the circumstances and criteria that will trigger such a PTR process, including which faculty review bodies and academic administrators are responsible for developing, implementing, monitoring, and evaluating a

tenured professional development plan (T-PDP). In addition, this policy details the roles and responsibilities of both the tenured faculty member participating in a PTR process and the faculty review bodies and academic administrators responsible for conducting a PTR process. Finally, this policy describes the possible outcomes of a PTR process and the potential administrative actions that may be taken once a PTR process is fully complete.

If a tenured faculty member meets the performance criteria for triggering the initiation of a mandatory PTR process, the faculty member will be formally notified of this action by their department chair (or dean, if applicable) in writing no later than the last business day of February of the academic year that they met the criteria for conducting a PTR process, with that notification being forwarded to the dean and the Provost (or designee).

A. Criteria for Initiating a PTR Process

(i). The criteria used to initiate a mandatory PTR process will be based on the outcome of the standard faculty annual performance review (F-APR) process conducted for all faculty members at UH. F-APR policies that adhere to the University of Houston F-APR Policy are developed by individual academic units and approved by the Office of the Provost.

(ii). A tenured faculty member shall be subject to the initiation of a mandatory PTR process if they receive a negative F-APR evaluation or score relating to their performance in any domain in which they have a workload assignment during **a single annual performance review period**.

(iii). For the purpose of triggering a mandatory PTR process, a negative F-APR outcome is defined as an evaluation or score of “Not Meeting Expectations” for annual faculty workload or productivity in any of the professional domains in which the faculty member has workload assignments.

(iv). The triggering of a mandatory PTR process based on receiving one negative F-APR outcome in any single annual performance period will begin with the first annual faculty performance review period following 9/1/2023.

(v). If the dean has triggered the PTR process for a faculty member (as described in the F-APR policy), the PTR committee will review the evidence presented by the dean in support of that decision. The PTR committee will make a recommendation to the Provost (or designee) as to whether to continue or terminate the PTR process for that faculty member. The Provost (or designee) will make the final determination.

B. PTR Committee Formation and Membership

(i). The PTR committee must be comprised of at least three tenured professors. The PTR committee may be elected during the department or college standing committee elections or may be the role of an elected standing committee, as defined in bylaws. If no such committee exists, the dean and the IAS will

select the members of the PTR committee. In the case of a dean-initiated PTR, the dean and the IAS will select the members of the PTR committee. In the cases of a dean and IAS appointed committee, the members should be drawn from elected department and/or college pools, such as promotion and tenure, personnel, and/or executive committees. If agreement on PTR committee membership cannot be reached, the Provost (or designee) will make a final determination. The process of forming the committee must be completed by the nearest business day to March 15.

(ii). The PTR committee will elect one member to serve as chair of the committee. As is the case in other faculty evaluation processes such as tenure and/or promotion, when a department, academic unit, or college has an insufficient number of tenured professors eligible to serve, with the approval of the dean and the Provost (or designee), the unit head may recommend additional full tenured professors from an appropriately related academic discipline within the University to serve on the PTR committee. If a conflict exists that justifies the replacement of one or more committee members, the faculty member, IAS, and dean will collaborate in the appointment of suitable replacements. Should the dean recommend a faculty member for PTR, they will form an *ad hoc* committee consisting of faculty from an elected pool, such as department and/or college promotion and tenure, personnel, and/or executive committees.

C. Creation of a Tenured Professional Development Plan (T-PDP)

(i). The goal of the T-PDP process should be directed at faculty member performance and productivity growth toward “meeting expectations.” The T-PDP will be based on relevant department, college, and university policies concerning performance and productivity expectations appropriate to the academic discipline, rank, and career stage of the tenured faculty member. The T-PDP must be developed collaboratively by the PTR committee, IAS, and tenured faculty member. The T-PDP development and full approval process must be completed by the nearest business day to May 15. The final T-PDP, with agreement indicated through a recorded vote of the committee, and approval by the IAS and dean, must be forwarded to the Provost (or designee) to receive final approval. The T-PDP shall, at a minimum, include the following elements:

- (a) a detailed description of the specific steps or actions to be undertaken by the tenured faculty member relative to remediating their performance during the T-PDP timeframe;
- (b) a list of explicit outcomes and/or success metrics that the faculty member must meet to successfully complete the terms of the T-PDP;
- (c) specific deadlines for completion of individual remediation steps or actions required during the T-PDP and a final date by which the T-PDP must be fully completed, which should be no later than November 30 (as the overall timeline for executing the T-PDP should not exceed the current calendar year);
- (d) identification of resources that the tenured faculty member might reasonably need to successfully remediate the identified performance deficits; and
- (e) a requirement that the tenured faculty member receive formal written feedback from their IAS regarding their progress toward successful completion of their T-PDP at each of the specific

deadlines in the T-PDP.

(ii). Once reviewed and approved by the Provost (or designee), a copy of the final approved T-PDP will be transmitted to the tenured faculty member by the nearest business day to May 15. The tenured faculty member is required to acknowledge that they fully understand the terms and conditions of their approved T-PDP by returning a signed copy to the Provost (or designee), their IAS, and the dean within 7 calendar days. Failure by the faculty member to acknowledge may result in the tenured faculty member being subject to disciplinary action based on neglect of their professional responsibilities as described in the [current UH Faculty Handbook](#) and/or [UH Board of Regents Policies](#).

(iii). Tenured faculty members are expected to fully participate and comply with the terms of their approved T-PDP. Willful non-compliance (defined as intentional failure or refusal to comply or participate) by the tenured faculty member with the terms of an approved T-PDP, as well as failure to cooperate in jointly developing the T-PDP, may result in the tenured faculty member being subject to disciplinary action based on neglect of their professional responsibilities as described in the [current UH Faculty Handbook](#) and/or [UH Board of Regents Policies](#).

D. Requests to Change the Terms and Conditions of an Ongoing T-PDP

(i). A change to an ongoing approved T-PDP may be allowable for circumstances beyond the control of the tenured faculty member or the PTR committee. If a T-PDP change is needed due to the faculty member's circumstances, the tenured faculty member is required to submit the request to the PTR committee and provide relevant documentary evidence supporting their request. Where such documentary evidence involves protected personal information, the determination of whether FML or an ADA modification is necessary is handled consistent with university policy and not by the committee. That determination would be provided to the PTR committee for further determination on proposed modification if warranted. The PTR committee shall review tenured faculty member-initiated change requests. Before making any T-PDP changes, the PTR committee shall seek review and approval from the IAS, dean, and Provost (or designee) for tenured faculty member-initiated change requests, as well as change requests due to other non-faculty-initiated circumstances.

E. Review of a Fully Completed T-PDP

(i). Report: The tenured faculty member shall prepare a written final T-PDP outcomes report detailing how they believe they have met the specific terms, conditions, and required outcomes of their approved T-PDP, which shall be submitted to the IAS by the final date set to fully complete the T-PDP, but no later than the nearest business day to November 15.

(ii). IAS review: The IAS will review the tenured faculty member's T-PDP outcomes report and prepare an independent written evaluation concerning whether the tenured faculty member has met the terms of their approved T-PDP. This evaluation, along with copies of the approved T-PDP, the tenured faculty member's final T-PDP outcomes report, and all written feedback provided by the IAS to the tenured

faculty member during the course of their T-PDP, will be transmitted to the chair of the PTR committee and the tenured faculty member no later than 7 calendar days after the IAS received the T-PDP outcomes report from the tenured faculty member.

(iii). PTR committee review: The PTR committee shall conduct an independent review of the T-PDP materials and prepare a final written recommendation and vote tally indicating whether the tenured faculty member has successfully completed their approved T-PDP. This recommendation will be submitted to the dean and copied to the tenured faculty member and IAS within 7 calendar days of the PTR committee receiving the T-PDP materials from the IAS. If, for whatever reason, the PTR committee has lost any of its original members by the time a T-PDP is completed and submitted for review, before the committee begins its review, the IAS shall select eligible replacement faculty members from existing elected committees (see Section B) to serve on the committee.

(iv). Dean and Provost/designee review: After review by the dean, all T-PDP materials and review recommendations from the IAS, PTR committee, and dean will be sent to the Provost (or designee) for final review and decision. In all cases, the faculty member will be copied on the recommendations at each level.

F. Disposition of a Fully Completed PTR Process

(i). The Provost (or designee) will conduct an independent review of all written materials related to the PTR process, including the completed T-PDP materials, the PTR committee's final recommendation, and the IAS' and dean's approval or dissenting opinions regarding those final recommendations. After review, the Provost (or designee) will decide whether the PTR process was conducted appropriately and whether the tenured faculty member successfully completed the terms and conditions of their T-PDP. The Provost (or designee) will transmit their decision via email to the tenured faculty member, the IAS, the chair of the PTR committee, and the dean within 7 calendar days of the Provost (or designee) receiving the PTR materials for review.

(ii). If the decision of the Provost (or designee) is that the PTR process was conducted appropriately and that the tenured faculty member successfully met the terms and conditions of their approved T-PDP, the tenured faculty member will immediately revert to the typical level of annual performance review required under departmental and university F-APR policies. In the first year following the successful completion of the PTR process, the APR review will utilize the PTR materials, including all recommendation and decision letters for the domain(s) addressed in the T-PDP.

(iii). If the decision of the Provost (or designee) is that the PTR process was conducted appropriately, but the tenured faculty member failed to meet the terms and conditions of their approved T-PDP, the tenured faculty member may elect to file a grievance with the University Faculty Grievance Committee to request a review of whether the PTR process was conducted appropriately. Such a request must be submitted to the University Faculty Grievance Committee within 7 calendar days of receiving notification from the Provost (or designee). If the tenured faculty member files such a grievance, the

committee will review all materials submitted to the Provost (or designee) concerning the PTR process, along with any additional materials submitted to the committee as part of the formal grievance by the tenured faculty member.

(iv). After review of these materials, the University Faculty Grievance Committee will provide their recommendations to the Provost regarding whether the committee believes that the PTR process was conducted appropriately. This recommendation will be transmitted to the Provost (or designee) within 30 calendar days of the committee accepting the grievance.

(v). Within 7 calendar days of receiving and considering the recommendations of the University Faculty Grievance Committee, the Provost (or designee) will make a final decision concerning whether the PTR process was conducted appropriately and notify the tenured faculty member, the dean, the IAS, and the chair of the PTR committee of that decision.

(vi). If the final decision of the Provost (or designee) is that the tenured faculty member failed to meet the terms and conditions of their approved T-PDP, the Provost will pursue dismissal for cause charges against the tenured faculty member based on “*substantial or manifest neglect of their professional or academic responsibilities*” as per the policies and procedures defined in [UHS BOR Policy 21.07 Faculty Dismissal](#) and the [current UH Faculty Handbook](#).

G. Process for Discontinuing the PTR Process

(i). During any stage of an ongoing PTR process, the tenured faculty member may choose to resign from their position at the University and the University may not be required to continue the PTR process. The tenured faculty member who is otherwise in good standing may be eligible for a limited term voluntary modification of employment (VMOE), as outlined below.

- (a) The tenured faculty member must immediately and irrevocably resign from their tenured faculty position. The faculty member may request a one-year VMOE contract at less than 0.5 full time effort (FTE). The terms of such a VMOE contract will be negotiated between the tenured faculty member, chair, and dean, and reviewed/approved by the Provost (or designee). In limited circumstances, the VMOE may be renewed.

H. Disputes

Unresolvable disputes must be rapidly directed to the Provost (or designee) who will provide resolutions for such disputes.