NORTH CAROLINA AGRICULTURAL AND TECHNICAL STATE UNIVERSITY

FACULTY HANDBOOK

APPENDIX B-3

SEC. II – Faculty: Tenure 2.0

POST TENURE REVIEW

UNIVERSITY POLICY

I. INTRODUCTION

The Post Tenure Review (hereafter "PTR") process outlined herein is part of North Carolina Agricultural & Technical State University's (hereafter "A&T"), as well as the University of North Carolina System's (hereafter "UNC") effort, to ensure faculty development and to promote faculty vitality. This policy is implemented to comply with Section 400.3.3 of the UNC Policy Manual and the Guidelines on Performance Review of Tenured Faculty, Section 400.3.3.1 of the UNC Policy Manual. In accordance with these guidelines, the performance review process for tenured faculty at A&T is a comprehensive, formal, periodic evaluation of cumulative faculty performance. Faculty must undergo post tenure review no less often than every five years following the award of tenure. This policy is reviewed every five years.

A. Purpose

PTR is intended to assure continuous improvement in the performance of the faculty as they carry out the institutional mission of teaching, research, creative work and service. The objectives of the post tenure performance review are to: 1.) recognize and reward faculty performance that exceeds expectations; 2.) provide a clear plan and timetable to improve faculty performance that does not

meet expectations; and 3.) provide for the administration of appropriate sanctions for faculty whose performance continues not to meet expectations. PTR review should encompass and acknowledge the importance and significance of annual performance reviews while providing for a comprehensive, periodic, cumulative review of the performance of all faculty, whose primary professional responsibilities are teaching, research, and service. PTR must provide for the evaluation over an appropriate period of time of all aspects of professional performance of faculty relative to the mission of the institution, college, and program. For each tenured faculty member, a cumulative review shall take place no less frequently than every five years. A review undertaken to decide on promotion qualifies as such a cumulative review. The performance review of tenured faculty is a peer-coordinated process which assesses level of performance, productivity, and/or career development over a longer term than is usually provided by an annual review.

II. FACULTY EVALUATIONS AND FIVE-YEAR PLAN

At the beginning of the PTR cycle, each faculty member shall develop with his/her department chair a five-year plan. Those faculty members who have fewer than five years before their next PTR shall develop such a plan for their remaining years. The plans described above may be modified annually by the faculty member, in consultation with the department chair, as deemed appropriate by changes in institutional, college departmental, or personal circumstances. This plan should indicate milestones aligned with the annual performance evaluations.

The annual performance evaluation of each faculty member by the department chair shall explicitly evaluate the faculty member's progress on the five-year (or other) plan, and offer suggestions for improvement.

III. PTR EVALUATION PROCEDURES

PTR evaluations are based on performance standards developed and established by the faculty within the departments of each college and the Library. All references to 'department or department faculty' as used herein shall refer to all departments in the University, the School of Nursing, and the Library. And, all reference to college shall include the Joint School of Nanoscience and Nanoengineering.

A. Standards for Performance

Tenured faculty within each department shall develop a narrative statement of the department's standards for performance by tenured faculty. (Department chairpersons are considered administrators, and thus may not participate in writing departmental performance standards, which is a faculty function. Standards for the categories of "exceeds expectations," "meets expectations," and "does not meet expectations" shall be established for **each** of these areas: (1) teaching

performance, (2) research performance/professional growth/ related activities, and (3) service to the University, the profession, and the broader community.

Department standards shall be consistent with the standards used for annual performance evaluations and the Faculty Handbook. **All department standards shall be fully consistent with the mission of the University, college, and department.** Department standards for post tenure review shall in no way abrogate the due process protections in Chapter VI of *the Code* or abridge the rights of the faculty member as described in the *Regulations on Academic Freedom, Tenure and Due Process* (Appendix B-2 of the Faculty Handbook). The University shall provide reasonable resources needed by the faculty to achieve the required level and quality of performance. The statement of standards, approved by the departmental tenured faculty, shall be the basis for evaluating a tenured faculty member's performance. The dean shall forward the statement of standards for each department to the Provost and Vice Chancellor for Academic Affairs along with verification that the standards have been written and approved by the tenured departmental faculty. At the beginning of each fall semester the standards shall be distributed to all tenured and tenure-track faculty. Departments shall review their standards at least once every five years. A revised policy must follow the process for approval as set forth for the initial policy. Faculty shall undergo post tenure review under the standards that were in place in the first year of their five-year cycle of post tenure review, except for standards imposed by the Board of Governors.

B. Schedule of Evaluation

In accordance with UNC policy, faculty shall undergo PTR no less frequently than every five years following the awarding of permanent tenure. A successful review for promotion, after a faculty member receives tenure, satisfies the requirements for the faculty member's post tenure review. If the faculty member has an unsuccessful review for promotion, that faculty member shall undergo a PTR during the next academic year.

A faculty member whose performance is deemed to be below expectation shall establish a Performance Development Plan (hereafter "PDP"), aimed at significantly improving performance in the next academic year or two (to be determined with the department chair and approved by the dean). Following a PTR evaluation that results in a PDP, the faculty member shall undergo his/her next PTR evaluation in five years after the end of the PDP period successfully completing his/her PDP.[4]

If a faculty is on approved absence, the five-year counting process shall be put on hold **during the period of time of the absence**1) or **2**) while a faculty member serves in **an** administrative role**.** The post tenure review clock will resume when the leave of absence or administrative appointment ends. When necessary, a faculty member may make a written request to the dean, with a copy to the chairperson, for a delay of up to one year.

Review of a faculty member with a joint appointment shall be conducted in the primary department where the faculty member's tenure was granted, with input from other department(s) in which the faculty member holds joint appointment(s).

Faculty who have submitted to their department chairperson and dean a certified letter of irrevocable intent to retire and/or resign, effective within **one** year of their scheduled PTR, may elect not to undergo a PTR.[5]

IV. PTR EVALUATION TIMELINE and PROCEDURES

The calendar for PTR evaluation procedures shall be:

DATES (Do by)	EVALUATION PROCEDURES
First Department meeting in the Fall (by mid-August)	Department chairperson shall distribute department PTR standards to all tenured or tenure-track faculty.
Last Friday in August	The Provost shall notify the dean of faculty members who are scheduled for PTR in accordance with the five-year cycle.
By September 15th	The dean shall notify the department chairperson of faculty in the department who are scheduled for review.
Last Friday in September	☐ The department chairperson shall notify the faculty member in writing that a performance review will be conducted. The notification letter should include the website addresses of the University's PTR policy and a copy of the PTR Submission Form. **(**See Sample - FORM A: The Submission Form p. XXX.)
	☐ The department chairperson will call a meeting of the tenured faculty who will select three tenured faculty to serve on the Performance Review Committee (hereafter "PRC"). The

[4] Both a review for promotion and the successful completion of a PDP are cumulative reviews and satisfy the PTR requirement.

[5] Faculty members who have entered into a Phased Retirement Program with the University, as part of their agreement, have relinquished tenure and consequently are not subject to PTR.

	members selected for the PRC will select a PRC chairperson in that meeting. A faculty member being reviewed may not participate in the selection of the PRC members.
Last Friday in October (or 30 days after receiving the request for the portfolio)	The faculty member being reviewed shall submit his/her portfolio, in accordance with the department standards, to the department chairperson.
First Friday in November	The department chairperson or academic unit head will forward the portfolio to the PRC and charge the PRC to begin the review.
January 15th	The PRC submits its report to the department chairperson or academic unit head and the faculty member being reviewed.
Within 7 business days after receiving the PRC	The faculty member being reviewed may respond in writing to the PRC report with copies to the PRC and the department chairperson.
February 1st	The department chairperson shall write a letter to the faculty member, with copies to the PRC members, indicating his/her evaluation. The chairperson will forward a copy of the PRC's report to the dean along with the chair's evaluation, a copy of the departmental standards, and any response from the faculty member. The faculty member's portfolio will be forwarded to the dean if applicable.
March 1st	The dean shall send his/her evaluation to the faculty member, with copies to the PRC members and the department chairperson, indicating his/her response to the PRC's findings.
Within 7 business days after receiving the Dean's response	The faculty member being reviewed may respond to the PRC Report, the chairperson's evaluation, and the dean's evaluation in writing to the dean.
April 1st	The dean will notify the faculty member by letter of his/her final PTR evaluation and shall send a copy to the Provost and Vice Chancellor for Academic Affairs along with all of the following: a copy of the PRC report, the department standards, the chair's evaluation, and any correspondence from the reviewee, the department chairperson, and members of the PRC.
By May 1st	The Provost will respond to the dean and faculty member in writing regarding the PTR decision.

A. Selection of Performance Review Committee

Tenured faculty in **all** departments of all colleges shall constitute the pool eligible to serve as members of a Performance Review Committee (hereafter "PRC"). Administrative tenured faculty are ineligible to serve on a PRC. The Office of the Provost and Vice Chancellor for Academic Affairs shall verify annually the eligibility of all committee members and maintain records of the members of the University-wide PRCs. From this pool, three faculty members shall be selected to serve on the PRC in accordance with the selection process and term of service agreed upon by the tenured faculty in the department, School of Nursing, or the Library. The selection process shall provide for the replacement of a PRC member in the event of illness or separation from the University. Committee members will select a chairperson of the PRC. Mandatory review training is required; a PRC member shall timely complete the training prior to service on the PRC.

B. The Review Portfolio

The faculty member selected for review shall submit a review portfolio to his/her department chairperson by the last Friday in October or 30 days after receiving the letter of notification from his/her department chairperson, whichever is the later date. Failure to submit a portfolio on a timely basis may result in disciplinary actions.[6]

The post tenure review portfolio shall include both qualitative and quantitative documentation of performance over the review period. The PTR Submission Form (p. XXX) is provided as a sample.

The faculty member has the right and obligation to provide all the documents, materials, and statements relevant and necessary for review in accordance with department standards, and all materials submitted shall be included in the portfolio. The documentation shall include evidence of teaching, research, creative work, professional growth, and service to the University and the broader community. At a minimum, the portfolio must include the last four annual reviews and the reviewee's current curriculum vita. Other materials, at the discretion of the faculty member, may include a maximum of six letters of support from A&T colleagues and persons external to the University. The portfolio shall be submitted digitally, with a table of contents and divided into sections for ease in locating sections and materials. The faculty member has final determination regarding the contents of the review portfolio and no documents may be added to the portfolio without the faculty member's approval.

6 Included in such actions is the possibility of dismissal, suspension of employment, reduction in rank or reduction in rank with commensurate reduction in salary. If the faculty member fails to submit the portfolio, the Dean shall so advise the Provost/Vice Chancellor for Academic Affairs. Penalties may be imposed only in accordance with the procedures prescribed in Appendix B-2, Section 4 - **Faculty Handbook** and with Chapter VI of **The Code** of the Board of Governors of the University of North Carolina. (See the **APPEAL** section.)

V. THE REVIEW PROCESS

The performance review focuses on the faculty member's (1) teaching performance, (2) research performance/professional growth, related activities, and (3) service to the University and broader community, based on the departmental standards.

A. Evaluation of the Portfolio

Upon receiving a portfolio, the department chairperson shall forward it to the chairperson of the PRC, who will convene the PRC.

The PRC shall render a judgment of exceeds expectations, meets expectation, or does not meet expectations in each of the three faculty areas of responsibility and an overall judgment of exceeds expectations, meets expectation, or does not meet expectations. Considerable justification must be given if findings of the PTR differ substantially from the findings of the four most recent annual reviews. Additionally, the review is to provide informed and candid constructive feedback to the faculty member concerning the quality of his/her contributions, as well as any weaknesses or deficiencies in performance, along with constructive recommendations. If the faculty member has received an overall judgment of does not meet expectations, recommendations for the PDP must be included in the report. The PRC, after reaching its decisions, shall collectively draft its findings. The chairperson of the PRC shall write a finished version of the committee's report and circulate it to committee members for agreement and/or suggested changes. The finalized report shall be signed by each of the three committee members. By January 15th of each year, the chairperson of the PRC shall, on the same day, give the report to the faculty member and a copy to the department chairperson.

B. PTR Overall Assessments

The performance review shall result in one of three possible overall assessments: exceeds expectations, meets expectations, or does not meet expectations. An overall assessment of exceeds expectations, meets expectations concludes the faculty member's PTR for the current five-year cycle. An overall assessment of does not meet expectations shall result in the faculty member having to address the deficiencies. The overall assessments are outlined as follows:

1. Exceeds expectations- An overall judgment of exceeds expectations requires that the faculty member is judged as exceeding expectations in both teaching performance and in research performance/professional growth/related activities and exceeds or meets expectations in service to the University. An overall judgment of exceeds expectations may also be awarded when the faculty member is judged to exceed expectations in both teaching and in service to the University when extraordinary and long-term service has been rendered in a particular area of the University

mission. An overall assessment of "exceeds expectations" concludes the PTR process for the five-year cycle.

All faculty members whose performance is judged to exceed expectations must receive:

- a letter of commendation from the Provost;
- recognition in the local media, Aggie Report, University website or campus newspaper;
- public recognition and awarding of a University lapel pin.

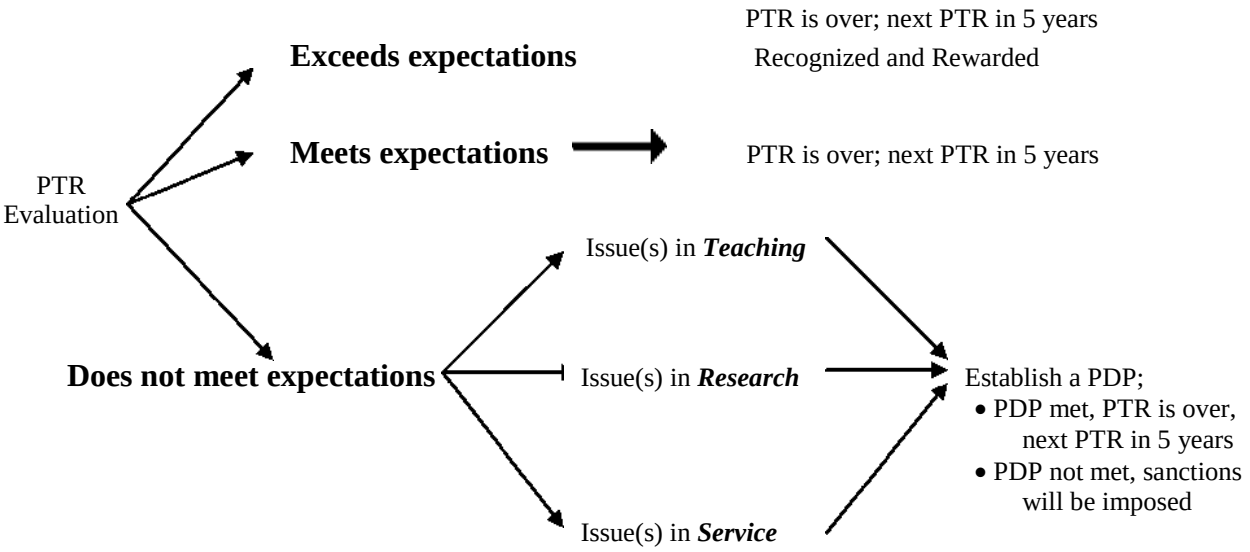
Additionally,

- the faculty member may be considered for campus amenities such as a one-year free membership at the fitness center, passes for the faculty or student dining hall and season football/basketball passes.
- the faculty member may be considered for a professional development grant, i.e., a monetary award, which may be used for such things as travel to professional meetings, professional association memberships, computer hardware/software, office supplies, etc.;
- the faculty member may be recommended for priority consideration for a one-semester three-hour teaching load reassignment with the agreement of the faculty member and approval by the department chairperson and dean;
- the faculty member may be recommended by the department chairperson for consideration by the /college Awards Committee/University Awards Committee, including the UNC Board of Governor's Excellence in Teaching Award Committee.

2. Meets expectations- An overall judgment of meets expectation requires that the faculty member is judged at least to meet expectations in teaching performance and in research performance/professional growth/related activities, and in service to the University. A faculty member who is judged to meet expectations will receive a letter from the Provost with copies to the dean and chairperson. An overall assessment of meets expectations concludes the PTR process for that faculty member for the five-year cycle.

3. Does not meet expectations- A faculty member who is judged not to meet expectations shall develop a PDP. A negative review must include a statement of the faculty member's primary responsibilities and specific descriptions of shortcomings as they relate to the faculty member's assigned duties and provide guidance for the directional goals that should be established. The recommendations for the PDP shall be included in the report. The PRC will provide a copy of the report to the faculty member and the department chairperson.

OVERVIEW OF PTR OUTCOMES



C. The Faculty Member's Response to the PRC Report

The faculty member must be given an opportunity to provide a written response to the report of the PRC, the chairperson's evaluation, and the dean's evaluation and each must be included in the PTR report that is submitted to the next highest administrative level. The faculty member will have seven days to respond to each.

D. Department Chairperson and Dean Evaluations

The department chairperson must consult with all of the members of the PRC in rendering his/her evaluation, which must be framed by the department standards. The chair shall send a letter of evaluation to the faculty member, with copies to the PRC members. The chairperson will forward to the dean both a copy of his/her evaluation and the PRC's report, along with a copy of the departmental standards, and any response(s) from the faculty member. When the faculty member is judged not to meet expectations, the chairperson will forward the faculty member's portfolio. The dean must provide an evaluation review in addition to that done by the PRC and the chair. The dean shall send a copy of this evaluation and that of the department chairperson, along with a copy of the PRC report and any correspondence from the reviewee, the department chairperson, and members of the PRC to the Provost/Vice Chancellor for Academic Affairs.

VI. PROFESSIONAL DEVELOPMENT PLAN

When a faculty member is judged overall to exceed expectations or to meet expectations, the PTR process for the current five-year cycle ends for that person. When a faculty member is judged not to meet expectations, the faculty member must address each deficiency and establish a

PDP in consultation with the department chairperson and in accordance with the recommendations of the PRC. If duties are modified as a result of not meeting expectations, then the development plan should so indicate and take into account the new allocation of responsibilities. The PDP should be formulated within 30 days of the faculty member receiving the PRC report and shall be designed for completion within a maximum two-year period.

Developing the Performance Development Plan

The department standard for meeting expectations in teaching, research, and service shall form the basis of the PDP criteria. Although each PDP is tailored to individual circumstances, the PDP will:

- identify specific strengths and weaknesses of the faculty member's performance
- provide specific steps designed to lead to improvement, such as defining specific measurable and objective goals or outcomes necessary to remedy the deficiencies and outlining the activities to be undertaken to achieve the necessary outcomes
- set appropriate timelines for accomplishing improvement, including achieving intermediate and ultimate outcomes
- indicate appropriate criteria by which the faculty member can monitor progress
- identify institutional resources to support the PDP
- include a clear statement of consequences should improvements not occur within the designated timeline.

When the department chairperson and the faculty member have developed a PDP, the department chairperson shall submit the PDP to the dean with a copy to the PRC. When the PDP is not accepted, the department chairperson and the faculty member must revise the PDP and resubmit it to the dean with a copy to the PRC. When the dean accepts the PDP, the faculty member, the department chairperson and the PRC are so informed in writing by the dean, who also forwards a copy to the Provost and Vice Chancellor for Academic Affairs.

Failure of the faculty member and the department chairperson to reach an agreement on a PDP shall necessitate mediation by the dean, with input from the PRC. This meeting shall include the dean, department chairperson, the faculty member, and the three members of the PRC. When the PDP is accepted, the faculty member must comply with the PDP or be subject to the consequences of non-compliance.

VII. ASSESSMENT

A PDP requires periodic assessment. This assessment must include accomplishments relative to: 1.) the measurable and objective goals and outcomes; 2.) activities to be undertaken; 3.) timelines for accomplishment of activities and achievement of outcomes; 4.) criteria by which the faculty member can monitor progress; and 5.) institutional resources that will support the PDP, including mentoring by peers.

Assessment of Progress and Completion of a PDP

The use of mentoring by peers is encouraged for the faculty member. The faculty member and the department chairperson shall meet semiannually to review the faculty member's progress toward remedying the identified deficiencies. The second meeting of the year shall determine whether the annual progress on the PDP is acceptable and shall include the department chairperson, the faculty member, and the three members of the PRC. The decision to accept or reject the annual progress on the PDP shall be based on a simple majority with the department chairperson and the PRC members each having one vote. A tie will be construed as acceptable progress. The faculty member shall not vote. The department chairperson will forward the PDP progress report, signed by the PRC members and the chairperson, to the dean at the end of the academic year.

If the dean does not agree with the annual assessment of the PDP and the department chairperson, the dean shall notify the PRC, the department chairperson and the faculty member in writing within 14 days and shall initiate a consultation with the department chairperson, faculty member and the three members of the PRC. The decision to accept or reject the annual progress on the PDP shall be based on a simple majority with the dean, department chairperson, and the PRC members each having one vote. A tie will be construed as acceptable progress. The faculty member shall not vote. The department chairperson, the PRC, and/or the faculty member may respond in writing to the dean within 14 days of the dean's letter or the consultation.

In the last year of the PDP, the faculty member, the department chairperson, and the PRC shall meet by the last Friday in February. The final meeting and report may come earlier if the faculty member is ahead of schedule in completing his/her PDP. When the department chairperson and the PRC conclude that the objectives of the PDP have been met, the department chairperson shall make a final report to the dean and send a copy to the faculty member and the PRC. When the dean accepts the report, the faculty member and the department chairperson are so informed, by the first Friday in March, and a copy is forwarded to the Provost and Vice Chancellor for Academic Affairs. This ends the PDP assessment process for that faculty member. The PDP is a cumulative review and the faculty member's next PTR evaluation shall come five years after this cumulative review is fully concluded.

When the dean disagrees that the objectives of the PDP have been fully met, the dean shall initiate a consultation with the department chairperson, the faculty member, and the three members of the PRC. The decision to accept or reject the completion of the PDP shall be based on a simple majority vote, with the dean, department chairperson, and the three PRC members each having one vote. A tie will be construed as acceptable completion. The faculty member shall not vote. When the conclusion of the meeting is that the objectives of the PDP have been met, the dean shall write a letter to the faculty member, with copies to the department chairperson, the PRC and the Provost and Vice Chancellor for Academic Affairs. This ends the PDP assessment process for that faculty member. The PDP is a cumulative review and the faculty member's next PTR evaluation shall come five years after this cumulative review.

When the outcome of the vote is that the faculty member has not satisfied the objectives of his/her PDP, the dean's letter to the Provost/Vice Chancellor and the faculty member shall recommend an appropriate sanction. **Any action shall be in compliance with the criteria and procedures for due process and for discharge or other disciplinary action established in Chapter VI of <u>The Code</u> of UNC.** The Provost and Vice Chancellor for Academic Affairs shall, by the third Friday in May, write a letter to the dean supporting his/her recommended

sanction or replacing it with an alternative sanction. The Provost and Vice Chancellor for Academic Affairs shall send a copy of his/her letter to the faculty member, the department chairperson, the chairperson of the PRC, and the dean. The faculty member may appeal the sanction. (See the **APPEAL** section.)

VIII. APPEAL

If the faculty member believes the post tenure review process and resulting sanctions have been unjustly or arbitrarily applied, within five days after receiving a written notice of the penalty, he/she may request, in writing, a private conference with the dean. This request shall be granted, and the conference held forthwith, within five days after receipt of the request, if possible.

Within five days after the conference, the dean shall give the faculty member an unelaborated, written statement of whether the original decision remains in effect. Within five days after receiving notice that the original decision remains in effect, the faculty member may in writing request a conference with the Provost and Vice Chancellor for Academic Affairs. This request shall be granted, and the conference held forthwith, within five days after receipt of the request, if possible.

Within ten days of this conference, the Provost and Vice Chancellor for Academic Affairs shall send a written evaluation of the matter to the faculty member, the dean and the department chairperson. The evaluation may be in the form of an unelaborated concurrence with the decision; an expression of disagreement with the decision, with or without supporting reasons; or a recommendation for reconsidering the decision, with or without suggestions for specific procedures in doing so.

Within five days of receiving an evaluation from the Provost and Vice Chancellor for Academic Affairs that disagrees with the decision or recommends its reconsideration, the dean shall give the faculty member and the Provost and Vice Chancellor for Academic Affairs a response in writing.

For a grievance pertaining to this process, prior to initiating a discharge or imposition of other sanction, the full faculty grievance process becomes operative as prescribed in the Policy Manual of UNC (*Grievances filed pursuant to Section 607* of The Code) and in the *Regulations on Academic Freedom, Tenure and Due Process* (Appendix B-2 of the Faculty Handbook). A discharge or imposition of other sanction may be appealed pursuant to Section 603 of The Code and in the *Regulations on Academic Freedom, Tenure and Due Process* (Appendix B-2 of the Faculty Handbook)

IX. ANNUAL REPORT TO GENERAL ADMINISTRATION

The Provost shall annually certify that all aspects of the PTR process are in compliance with UNC Policy 400.3.3 and 400.3.3.1[G], including training.

Date new policy is effective: Upon approval

First approved: July 1998
Revised: April 15, 2004
September 17, 2008
September 18, 2009
July 20, 2018

Approved by the Board of Trustees

[1] Approved by the Faculty Senate March 23, 2004 with revisions approved by the Board of Trustees on September 17, 2008. Original policy dated July 1998.

FORM A: SUBMISSION FORM

North Carolina A&T State University
Submission for Faculty Post Tenure Review[7]

1. Teaching Performance

a. Summarize evidence of effectiveness in teaching in the last five years. This may include:
- Brief discussion of teaching methods used in classroom
- Summary of student evaluation results with discussion of additional efforts to collect student evaluations
- Attendance at workshops, seminars and conferences in specialty area
- Relationships maintained with other professionals in specialty area

b. Summarize special contributions to course and curriculum development, experimentation with new methods, materials, etc. in the last five years. This may include:
- Description of courses developed and taught
- Use of appropriate technologies in the classroom
- Use of other materials (e.g., journal articles, study guides, etc.)
- Innovative approaches to teaching
- Other devices used to enhance the learning experience (e.g., field trip)

c. Summarize evidence of effectiveness in academic advising and counseling.

2. Research Performance, Professional Growth and Related Activities.

a. List in bibliographic form publications in the last five years OR describe creative works/performances in the last five years
b. Summarize evidence from last five years of funded research
c. Summarize evidence of professional growth with the past five years. This may include:
- Professional meetings/conferences/workshops/seminars attended
- Professional memberships/registrations maintained

3. Service to the University

a. List significant committee and administrative responsibilities and contributions. Provide evidence of level of participation/contribution.
- Department
- School/College
- University

b. Indicate significant contributions to the broader community outside the University.
- Consulting/professional activities outside of the University
- Other contacts with and/or participation in professional organizations
  Workshops/seminars conducted

[7] If faculty responsibilities are primarily only to one or two of these areas, post tenure review and resulting recommendations should take this allocation of responsibilities into account.