

# FAYETTEVILLE STATE UNIVERSITY

## PERFORMANCE REVIEW OF TENURED FACULTY

- Authority:** Issued by the Chancellor. Changes or exceptions to administrative policies issued by the Chancellor may only be made by the Chancellor.
- Category:** Employment – EPA Faculty
- Applies to:** ● Administrators ● Faculty
- History:** Effective date – August 2015  
Last Revised – May 2015  
Effective Date – July 1, 2010  
Revised – November 13, 2009  
First Issued – August, 1998
- Related Policies:** ● *The Code* of the University of North Carolina  
● *Tenure and Promotion Policies, Regulations and Procedures of Fayetteville State University*
- Contact for Info:** Provost and Vice Chancellor for Academic Affairs (910) 672-1460
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### I. INTRODUCTION

Fayetteville State University (FSU) considers excellence in faculty performance a necessary condition for achieving the university's mission and goals and ensuring institutional effectiveness. Since faculty members who enjoy the benefits of permanent tenure have an especially important role in helping the university fulfill its mission, FSU has established post-tenure review to ensure ongoing faculty development and promote continued vitality among tenured faculty. Post-Tenure Review (PTR) is a comprehensive, formal, periodic, and cumulative review that supports and encourages excellence among tenured faculty by the following:

- A. Recognizing and rewarding exemplary faculty performance (performance that exceeds expectation);
- B. Supporting increasing effectiveness in teaching, services, and research/creative activities and ongoing contributions to the department, school/college, university, and professional organizations;
- C. Providing for a clear plan and timetable for improvement of performance of faculty found to not meet expectations; and
- D. For those whose performance continues to not meet expectations, providing for the imposition of appropriate sanctions, which may, in the most severe cases, include a recommendation for discharge, consistent with the criteria and procedures established in Chapter VI of *The Code* of the University of North Carolina and

Section IV of the Tenure and Promotion Policies, Regulations and Procedures of Fayetteville State University.

**II. EFFECTIVE DATE OF REVISIONS**

This revised policy shall be applicable to faculty members who complete a cumulative review in the 2014-15 academic year and each year thereafter. Tenured faculty members who began a post-tenure review cycle prior to the 2014-2015 academic year shall complete the review under the previously approved policy.

**III. FACULTY TO BE REVIEWED**

The following factors are used to determine the faculty members who must complete PTR.

- A. All tenured faculty members who teach at least 50% of the standard teaching load will be required to complete PTR.
- B. Tenured faculty members who receive release time for research or service activities, regardless of their teaching load, will be required to complete PTR. The allocation of responsibilities will be considered in the PTR process and the resulting recommendations.
- C. Tenured faculty members who are on an approved leave from the university for at least one (1) year may request that PTR be postponed for an amount of time equivalent to the leave.
- D. Faculty members in the phased retirement program will not complete PTR.
- E. Tenured faculty members who serve as department chairs, deans, and in other administrative positions as approved by the provost will not be required to complete PTR until they relinquish their administrative roles.
- F. Distinguished and endowed professors will participate in post-tenure review. Such faculty already employed in fall 2015 will complete post-tenure review in 2019-2020 and each five years thereafter. Distinguished and endowed professor employed after 2015 will complete post-tenure review in the year of their fifth anniversary of their initial appointment and each five years thereafter.

**IV. TIMETABLE**

Tenured faculty members will complete post-tenure review in the year of the fifth (5<sup>th</sup>) anniversary of their last cumulative review. "Cumulative review" includes reviews for tenure, promotion, or post-tenure review.

*(Note: the post-tenure review cycle begins with the year of the cumulative review, not the effective date of that action. A faculty who applies for and is awarded tenure and/or promotion in 2014-15 will complete post-tenure review in 2019-20; a faculty member who applies for and is awarded tenure and/or promotion in 2015-16 will complete post-tenure review in 2020-21. A faculty member who successfully completes post-tenure review in 2015-16 will complete post-tenure review again in 2020-21.)*

A. Request for Promotion

1. A faculty member may not request promotion in the year that post-tenure review is scheduled.
2. The post-tenure review cycle is NOT revised for unsuccessful requests for promotion in rank. For example, a faculty member scheduled for post-tenure review in 2019-20 who unsuccessfully applies for promotion in 2017-18 will still be required to complete post-tenure review in 2019-20.

B. Interim Appointments to Administrative Positions

For faculty members who have begun the post-tenure review cycle and who are asked to serve in administrative positions on an interim basis, the post-tenure review cycle shall be suspended for the duration of the interim appointment and resumed at the beginning of the next academic year after the interim appointment is concluded.

Tenured faculty members who serve in interim administrative roles for more than one year will begin a new five-year cycle upon completion of the interim administrative appointment.

C. Permanent Appointments to Administrative Positions

For faculty members who have begun the post-tenure review cycle and are appointed to administrative positions on a permanent basis, the post-tenure review cycle shall be suspended and the faculty members shall begin a new five-year cycle at the beginning of the next academic year after relinquishing the administrative position.

**V. FIVE-YEAR PLAN**

At the beginning of each post-tenure review cycle, the faculty member shall discuss with his/her department chair a five-year goal or plan consistent with the expectations of post-tenure review. This plan will indicate milestones that align with the annual performance evaluations.

The five-year plan shall:

1. Be based on the university-wide minimum criteria for meets expectations, exceeds expectation, and needs improvement in each of the following areas: teaching, scholarly/creative activities, and service;
2. Include milestones that will be aligned with the annual evaluation;
3. Address all three areas (teaching, scholarly/creative activities: and service), though the relative importance of each area may vary among faculty;

4. Be consistent with the needs and requirements of the department, school/college, and university.

(See Appendix A, “Minimum Criteria for Post-Tenure Review,” and Appendix B. “Template for Five-Year Plan for Performance Review of Tenured Faculty Members.”)

The annual evaluation by the department chair will include an assessment of the faculty member’s progress in achieving the milestones in the five-year plan and recommendations for improvement if the faculty member is not on track to achieve the goals of the five-year plan.

In consultation with the department chair, the faculty member may revise the five-year plan based on changes in institutional, departmental, or personal circumstances.

## **VI. EVALUATION PROCEDURES**

At the beginning of each academic year, the Office of Academic Affairs shall provide a list of faculty members required to complete PTR during that year to each dean. Faculty members are expected to remain aware of their timeline for post-tenure review. Absence of notification does not excuse a faculty member from completing post tenure review in a timely manner.

PTR will substitute for the annual performance evaluation for the year in which it is conducted.

### **A. Submission of a Reflective Statement and Other Documentation**

By February 1 of the year of post-tenure review, the faculty member shall submit a reflective statement that provides a cumulative evaluation of the following

- his or her own progress in achieving the goals of the five year plan in each of the following areas: teaching, scholarly/creative activities, and service, and
- the impact of his/her accomplishments on students, the department, the school/college, the university, and professional organizations.

Normally, a reflective statement consists of 500 – 1500 words. A collection of documents without a reflective statement does not satisfy the requirements of post-tenure review.

The faculty member must include a copy of the matrix from his/her annual evaluations and a summary of student evaluations from the previous four and one-half years.

Additional documents should be attached to the reflective statement only to the extent that they support the faculty member’s reflective statement. Such additional documents may include the following:

1. Evidence of publications, creative activities, presentations, grant proposals, and other professional activities completed during the time period under review and the impact of these accomplishments (Items should not be included if the decision regarding publication or funding is pending at the time of PTR. Such works should be included at the next PTR.)
2. Evidence of instructional innovations that have had a positive and measurable impact on student learning. Such evidence may consist of student work, pre- and post-test results, instructional modules, and/or videotapes of classroom activities.
3. Evidence of service activities that have had a positive impact on the department, school/college, university, community, and/or the faculty member's academic discipline.
4. Any other evidence to support the faculty member's self-evaluation as presented in the reflective statement

Failure by a tenured faculty member scheduled for post-tenure review to submit his or her reflective statement and portfolio by the deadline --without written permissions from the department chair for an extension of the deadline -- shall be considered equivalent to an unsuccessful post-tenure review and the faculty member will be required to complete an improvement plan as outlined in Section VII below.

**B. Assessment by Faculty Committees and Administrators**

The assessment of faculty members at each level of review shall be based on the criteria included in Appendix A for "exceeds expectations," "meets expectations," and "needs improvement." Schools/colleges may establish criteria that exceed the university minimum criteria with approval of the school/college faculty; all school/college criteria shall be published on the unit website and other locations to ensure faculty awareness of these guidelines

Assessment of the faculty member shall occur as follows:

1. The faculty member's reflective statement and documentation will be assessed independently by each of the following unit-levels in succession:
  - the tenured faculty of the department;
  - the department chair;
  - the College Tenured Faculty Committee; and
  - the dean of the college/school.

See Appendix C, "Personnel Action Form for Performance Evaluation of Tenured Faculty.

2. Each faculty committee and administrator will give a rating of exceeds expectations, meets expectations, or needs improvement based on an assessment of the faculty member's documented accomplishments in each of the following areas: teaching, scholarly/creative activities, and service. The assessment at each level shall be based upon criteria agreed upon by the university and college/school.

Unit-level ratings (the rating of each committee and administrator) shall be based on the assessment of each area (teaching, scholarly/creative activities, service) as summarized below.

Exceeds Expectations – Faculty member must exceed expectations in teaching and in at least one other area.

Meets Expectations – Faculty member must at least meet expectations in all three areas.

Needs Improvement – Faculty member is found to need improvement in one area, regardless of evaluations in other areas.

3. Each committee's rating shall be determined by a simple majority vote of the faculty members participating in the review.
4. Within ten (10) business days of the conclusion of each review, the committee chair or administrator shall provide the faculty member with a written summary of findings. If a committee or administrator determines that the faculty member needs improvement, the Committee's and/or Administrator's summary of findings shall specify the a) shortcomings as related to the five-year plan and b) specific recommendations for improvement.
5. If the faculty member believes the conclusion at any level is unfair, he or she may submit a written appeal within five (5) days to the committee chair or administrator whose findings the faculty member disputes. The committee or administrator may uphold or revise the initial finding. Regardless of the committee's or administrator's response to the appeal, the written appeal and responses to it shall be included in the post-tenure review package and reviewed at subsequent levels.

### **C. Overall Evaluation**

The Provost shall determine the overall evaluation of the faculty member on the basis of the following guidelines:

1. Exceeds Expectations (overall) – The faculty member receives three (3) or more unit-level ratings of exceeds expectations with no unit-level rating of needs improvement.
2. Meets expectations (overall) – The faculty member received a combination of unit-level ratings of Exceeds Expectations and Meets Expectations and has no more than one unit-level rating of needs improvement.
3. Needs improvement (overall) – The faculty member receives three (3) or more unit-level ratings of needs improvement, regardless of the other unit-level ratings. The faculty member who receives overall evaluation of needs improvement will be required to complete an improvement plan as outlined in Section VIII below.

In determining the overall evaluation of a faculty member, the Provost shall consider any written appeals by the faculty member to unit-level reviews and the responses to the appeal. Based on this review, the Provost may adjust the overall evaluation if a written response provides compelling evidence that one or more unit-level ratings is unfair.

## **VII. SALARY INCREASES BASED ON PTR EVALUATION**

Faculty members who earn an overall evaluation of “Exceeds Expectations” will be eligible for merit salary increases.

## **VIII. IMPROVEMENT PLAN**

Faculty members who receive an overall rating from the Provost of “Needs Improvement” shall be required to develop and implement a plan of improvement according to the procedures outlined below. The plan will be implemented in the four semesters immediately following the academic year in which post-tenure review is completed. (See Appendix D, “Template for Improvement Plan.”)

Before the end of the academic year in which PTR is completed, the department chair will meet with any faculty member found to need improvement to review the results of the PTR. Based on the recommendations of each reviewing committee and administrator, the faculty member shall develop a written plan that addresses the specific area(s) in which the faculty member was determined to need improvement. The plan must include each of the following:

- A. Specific actions to be taken, with timeline for completion, to improve performance in the area(s) identified as needing improvement by the post tenure-review process.
- B. Specific measurable outcomes that will be achieved to demonstrate improvement.

The plan must be approved by the department chair and dean of the school/college. At the end of each semester, the faculty member will report on his/her progress in implementing the improvement plan. Based on the faculty member’s semester report, the department chair will determine if the progress is sufficient and, if not, will provide a justification for the determination with recommendations for improvement. (See Appendix E.)

By April 1 of the *second year* of implementation of the improvement plan, the faculty member will submit the final progress report on implementing the improvement plan. The department chair will attach previous progress reports. These documents will be viewed in succession by each of the following: departmental tenured faculty, department chair, college/school tenured faculty committee, and dean. At each level of review, committee and individual shall determine if the faculty member has or has not met the requirements of the improvement plan. For the faculty committees, the determination shall be based on a simple majority vote. By May 15, the dean will forward the recommendation to the provost who will make the final determination based on the findings at each level of review. Appendix F, "Improvement Plan Appraisal Form" will be used to report the findings at each level.

The Provost shall notify the faculty member by May 30 of the outcomes of the review of the improvement plan implementation.

If the faculty member is determined to have met the requirements of the improvement plan at three (3) or more levels of review, the faculty member shall be determined to have successfully completed post-tenure review and will thereafter complete subsequent PTR according to this policy. The provost shall communicate the decision to the faculty member and notify the chancellor of the outcome.

The timeline for submitting and evaluating the improvement plan is delineated below.

<b>August 31</b> (in the fall semester immediately following completion of post-tenure review.) This deadline may be extended until September 30 with prior written approval by the department chair. <b>Failure to submit this plan by the deadline will be considered equivalent to failure to make sufficient improvement and consequences will be implemented immediately.</b>	Improvement Plan due from faculty member to department chair.
December 15 (in first semester of plan)	1 <sup>st</sup> progress report due to department chair*
May 15 (in second semester of plan)	2 <sup>nd</sup> progress report due to department chair*
December 15 (in third semester of plan)	3 <sup>rd</sup> progress report due to department chair*
April 1 (in fourth semester of plan)	Summary report on improvement plan due
*failure to submit report by deadline will be considered equivalent to not making satisfactory progress.	
May 15 (in fourth semester of plan)	Dean submits Improvement Plan appraisal to Provost
May 30 (in fourth semester of plan)	Provost notifies faculty member of outcome of review of improvement plan.



If the faculty member is determined to have not met the requirements of the improvement plan at two (2) or more levels of review, the provost, in consultation with the dean, shall determine the appropriate consequences. Possible consequences include:

- i. Removal of eligibility for extra duty assignments or course reassignments
- ii. Loss of summer school teaching opportunities to provide time for continued improvements.
- iii. Revision of teaching responsibilities, i.e., not eligible to teach upper division or graduate courses.
- iv. Suspension without pay for one semester\*\*
- v. Loss of tenure and reassignment to full-time adjunct status\*\*
- vi. Reduction of salary\*\*
- vii. Demotion in rank\*\*
- viii. Discharge\*\*

Items i., ii. and iii. could be removed with approval of the dean and provost.

Items iv, v,vi, vii, and viii are considered serious sanctions. If any of these five actions is taken, the faculty member may exercise his or her right of appeal according to Section 603 of *the Code* and Section IV of the *FSU Tenure Policies*.

If the faculty member's appeal is successful, the faculty member's tenured status shall be restored and the faculty member will complete PTR according to the schedule and guidelines of the policy.

The faculty member is not eligible for a merit salary increase during the period of implementing the improvement plan.

## **IX. SUPPORT FOR FACULTY AND ADMINISTRATORS**

At least once a year, FSU will conduct faculty development programs to give direction to all faculty involved in the post-tenure review process. Training will also be provided to committees and administrators who serve as evaluators in the post-tenure review process.

## **X. ANNUAL CERTIFICATION OF COMPLIANCE WITH UNC POLICY**

Each year, FSU will report the results of the post-tenure review process to UNC General Administration. As part of this annual report, the provost shall certify that all aspects of the process are in compliance with UNC Policy 4003.3.

## **XI. REVIEW OF POST-TENURE REVIEW POLICY AND PROCEDURE**

To ensure that this policy and its procedures are followed, the Faculty Senate may implement a procedure to monitor the administration of the policy. The Faculty Senate may also recommend revisions to this policy and its procedures to the Provost. The Provost shall consider such recommended revisions provided such are not inconsistent with FSU and UNC Board of Governors' policies and procedures.