

APPENDIX C-1

EMPLOYMENT PROCEDURES

The following procedures must be followed before persons exempt from the State Personnel Act (EPA) are officially employed by the University.

1. Use of State Funds Only

The department chairperson and/or the School/College Dean shall initiate Form PD-105, for employment of faculty members. The Chancellor, Vice Chancellor, or School/College Dean shall initiate Form PD-105 for the employment of staff members.

The Form PD-105 for the employment of faculty members must be forwarded through the following channels for approval:

- a. Office of the School/College Dean
- b. Office of the Provost/Vice Chancellor for Academic Affairs
- c. Office of the Salary Administrator

2. Use of Federal or Special Funds Only

The principal investigator shall initiate Form PD-105 for employment of persons exempt from the State Personnel Act (EPA).

The Form PD-105 must be forwarded through the following channels for approval:

- a. Department chairperson
- b. Office of the School/College Dean
- c. Office of the Director of Research Administration or the Executive Director of the A&T University Foundation, whichever is applicable
- d. Office of the Director of Contracts and Grants
- e. Office of the Provost/Vice Chancellor for Academic Affairs
- f. Office of the Salary Administrator

Form PD-105 replaces the following forms: (1) State Personnel Action Form PD-105, (2) Recommendation for Payroll Authorization, (3) Request for Payroll Authorization, (4) Request for Faculty Payroll Authorization, and (5) Payroll Authorization.

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

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 organizationsWorkshops/seminars conducted

- a decision that failure to meet the PDP objectives constitutes good cause for the University to take action and the Dean initiates an administrative review
- if the faculty member believes the performance review process and/or decision has been unjustly or arbitrarily applied.

Within five days after receiving a written notice of a decision the faculty member wishes to appeal, he/she may in writing request 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/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/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/Vice Chancellor for Academic Affairs that disagrees with the decision or recommends its reconsideration, the Dean shall give the faculty member and the Provost/Vice Chancellor for Academic Affairs a response in writing.

If there is further grievance pertaining to this process, then the faculty member may follow the mediation process of the University as prescribed by the Faculty Handbook and Policy Manual of the University of North Carolina in Chapter 10 (Grievances filed pursuant to Section 607 of the Code).

Upon receiving the team reports, the Department Chairperson shall forward them along with his/her final PDP report and the student evaluations to the chairperson of the CRP&T. Members of the CRP&T may visit the reviewee's classes. The CRP&T shall write an elaborated report regarding the reviewee's Teaching Performance and submit it to the Dean by the last Friday in April. The report shall be signed by all Committee members.

When the Dean concurs with the CRP&T report, the Dean shall, by the first Friday in May, so notify the Provost/Vice Chancellor for Academic Affairs in writing, with copies to the faculty member, the Department Chairperson and the chairperson of the CRP&T. The Dean shall forward copies of all the relevant reports to the Provost/Vice Chancellor for Academic Affairs. When the CRP&T and the Dean agree that the faculty member has not satisfied his/her PDP, the Dean's letter shall recommend an appropriate sanction. The Provost/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. When the Provost/Vice Chancellor for Academic Affairs recommends an alternative sanction, the Dean may ask to consult with the Provost/Vice Chancellor for Academic Affairs to resolve their differences. The Provost/Vice Chancellor for Academic Affairs shall send a copy of his/her letter to the faculty member, the Department Chairperson, and the chairperson of the CRP&T. The faculty member may appeal the sanction. (See the **APPEAL** section.)

When the Dean does not concur with the CRP&T report, the Dean shall, by the first Friday in May, recommend an appropriate action, that is, recommend no sanction or recommend a specific sanction, to the Provost/Vice Chancellor for Academic Affairs. The Dean shall forward all the relevant reports and send copies of his/her letter to the faculty member, the Department Chairperson, and the chairperson of the CRP&T. The CRP&T may submit a letter to the Provost/Vice Chancellor of Academic Affairs supporting its report. The Provost/Vice Chancellor for Academic Affairs shall reach a decision regarding whether the PDP has been satisfied and what sanction, if any, is appropriate. This deliberation may include consultation with the Dean, the Department Chairperson, the chairperson or all members of the CRP&T, and/or anyone else the Provost/Vice Chancellor for Academic Affairs deems appropriate. By the third Friday in May, the Provost/Vice Chancellor for Academic Affairs shall write a letter to the faculty member, the Dean and the chairperson of the CRP&T with his/her decision. When the Provost/Vice Chancellor for Academic Affairs judges that the PDP has not been satisfied, his/her letter shall also include a sanction. The Dean may ask to consult with the Provost/Vice Chancellor for Academic Affairs in the event they disagree regarding the PDP and/or the sanction. The faculty member may appeal the sanction. (See the **APPEAL** section.)

VII. APPEAL

A faculty member may appeal the following:

- a decision that the additional responsibilities are not being successfully carried out, when the faculty member has been required to develop a PDP and to follow the procedures associated with a PDP
- a decision that failure to meet the PDP objectives constitutes good cause for the University to take action

Department Chairperson and the Provost/Vice Chancellor for Academic Affairs.

When the decision is that failure to meet the PDP objectives constitutes good cause for the University to take action, the Dean shall initiate an administrative review. Copies of the letter shall be sent to the faculty member, the Department Chairperson and the chairperson of the CRP&T. The faculty member may appeal this decision. (See the **APPEAL** Section.)

E. An Administrative Review

The administration shall use peer review to obtain additional information regarding the quality of the reviewee's teaching performance. The calendar for the collection of additional information shall be:

- First Friday in April: Peer Review Team Reports due
- Third Friday in April: Third Peer Review Team Report due, if needed
- Last Friday in April: CRP&T report due
- First Friday in May: Dean notifies relevant parties of the final decision regarding whether the PDP objectives have or have not been met.
- Third Friday in May: Provost/Vice Chancellor for Academic Affairs decides about PDP and writes the appropriate parties

The Department Chairperson and the chairperson of the CRP&T shall randomly draw four tenured and/or tenure-track faculty from the reviewee's department. In the event there are fewer than four tenured and tenure-track faculty in a department, tenured faculty from other departments may be randomly selected. The Department Chairperson shall establish two peer review teams of two persons each from the randomly selected four faculty members. The Department Chairperson shall assign one team of peer reviewers to one of the reviewee's courses or sections and the other team to a different course or section. Each team shall conduct two peer reviews, that is, attend two class sessions. Both team members should visit the same class sessions so as to have shared experiences. The peer reviewers shall give the faculty member at least 24 hours notice of a class visit. After its second visit each team shall write a report on the reviewee's teaching performance and submit it to the Department Chairperson by the first Friday in April. These reports should make reference to the department standards for Teaching Performance and provide elaborated reasons for concluding that the standards have or have not been met. When the reviewee's department has given PRCs flexibility in assessing the overall strength of a portfolio, now that only Teaching Performance is being assessed, the faculty member must surpass the standard for Satisfactory. The report should be signed by both team members. Should one team report conclude that the faculty member is Satisfactory in Teaching Performance and the other that the faculty member is Deficient, the Department Chairperson and the chairperson of the CRP&T shall randomly select a third team. That team shall make two visits to yet a third course or section and submit an elaborated and signed report to the Department Chairperson by the third Friday in April.

The Department Chairperson shall coordinate the administering of the student evaluations in all of the reviewee's courses and sections. The reviewee may invite his/her Department Chairperson and/or Dean to sit in on a class.

meshing of the University's interests and the career development of the faculty member. The spirit, particularly if the faculty member has made a good faith effort during the three years of the PDP, should not be one of punishment of a faculty member who has become less successful in the area of Research Performance, Professional Growth and Related Activities. (See the above section Additional Responsibilities or a Performance Development Plan for a discussion of the assignment of additional responsibilities.)

When the decision is that sanctions should be imposed, the Dean shall, by the first Friday in May, recommend an appropriate sanction to the Provost/Vice Chancellor for Academic Affairs and forward all the relevant reports. The Dean shall send copies of his/her letter to the faculty member, the Department Chairperson, and the chairperson of the CRP&T. The Provost/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. When the Provost/Vice Chancellor for Academic Affairs recommends an alternative sanction, the Dean may ask to consult with the Provost/Vice Chancellor for Academic Affairs to resolve their differences. The Provost/Vice Chancellor for Academic Affairs shall send copies of his/her letter to the faculty member, the Department Chairperson, and the chairperson of the CRP&T. The faculty member may appeal the sanction. (See the **APPEAL** section.)

D. Assessment of Completion of a PDP for a Deficiency in Teaching Performance

For the first two years of the PDP the faculty member and Department Chairperson shall meet semiannually and the Department Chairperson shall send a progress report to the Dean, with a copy to the faculty member, at the end of the academic year. In the third year the faculty member and the Department Chairperson shall meet by the last Friday in February. When the Department Chairperson concludes that the objectives of the PDP have been met, the Department Chairperson shall make a final report to Dean and send a copy to the faculty member. 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/Vice Chancellor for Academic Affairs. This ends the PDP assessment process.

When the Department Chairperson and the Dean disagree that the objectives of the PDP are being met or agree that the objectives are not being met, the two elected tenured Department faculty and the CRP&T are brought into the process. (See the above Third Party Input section.) The faculty member, the Department Chairperson, the Dean and the CRP&T shall meet by the second Friday in March.¹⁵ 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/Vice Chancellor for Academic Affairs. This ends the PDP assessment process.

When the conclusion of the meeting is that the objectives of the PDP have not been met, the meeting shall next decide whether or not failure to meet the objectives constitute good cause for the University to take action. When the decision is that, while the PDP objectives were not met, that they do not constitute good cause for the University to take action, this ends the PDP assessment process. The Dean shall write a letter to the faculty member with copies to the

¹⁵ Or the third Friday when the second Friday occurs during Spring Break.

additional responsibilities are being successfully carried out, the additional responsibilities and their assessment shall stand.

When the outcome of the meeting is that the additional responsibilities are not being successfully carried out, the faculty member shall be required to develop a PDP and to follow the procedures associated with a PDP. (See above section Deficient in Teaching Performance for details about developing a PDP.) The faculty member may appeal this decision. (See the **APPEAL** section.)

C. Assessment of Completion of a PDP for a Deficiency Other than in Teaching Performance

The faculty member and the Department Chairperson shall meet semiannually to review the faculty member's progress toward remedying the identified deficiencies. A progress report shall be forwarded to the Dean at the end of the academic year. In the third year of the PDP the Department Chairperson shall make a final report by the first Friday in April. The final meeting and report may come earlier if the faculty member is ahead of schedule in completing his/her PDP. The PDP is a cumulative review and the faculty member's next PTR evaluation shall come five years after this cumulative review.

When the Department Chairperson concludes that the objectives of the PDP have been met, the Department Chairperson shall make a final report to Dean and send a copy to the faculty member. When the Dean accepts the report, the faculty member and the Department Chairperson are so informed, by the second Friday in April, and a copy is forwarded to the Provost/Vice Chancellor for Academic Affairs. This ends the PDP process.

When the Department Chairperson and the Dean disagree that the objectives of the PDP have been met, or agree that the objectives of the PDP have not been met, the two elected tenured Department faculty and the CRP&T are brought into the process. (See the above Third Party Input section.) The faculty member, the Department Chairperson, the Dean and the CRP&T shall meet by the third Friday in April. 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/Vice Chancellor for Academic Affairs.

When the conclusion of the meeting is that the objectives of the PDP have not been met, the meeting shall next decide whether or not failure to meet the objectives constitute good cause for the University to take action. When the decision is that, while the PDP objectives were not met, that they do not constitute good cause for the University to take action, the Dean shall write a letter to the faculty member with copies to the Department Chairperson and the Provost/Vice Chancellor for Academic Affairs. When the decision is that failure to meet the PDP objectives constitutes good cause for the University to take action, the meeting shall choose between two options: (1) assign the faculty member additional responsibilities **or** (2) recommend that the University impose sanctions. The faculty member may appeal this decision. (See the **APPEAL** Section.)

When the decision is to assign additional responsibilities, the faculty member, the Department Chairperson and the Dean shall consult. The tenor of the consultation is to arrive at a productive

- The outcome of a decision regarding the successful carrying out of additional responsibilities **or** the successful meeting of the objectives of a PDP may result in the faculty member's facing possible sanctions or being assigned additional responsibilities.

The tenured and tenure-track faculty in the reviewee's department shall elect two tenured departmental faculty members to participate in the deliberations. When, besides the reviewee, there are two or fewer tenured faculty members in the department, the senior faculty in the department shall participate in selecting and serving as the two departmental faculty. The CRP&T shall elect three of its members to participate in the deliberations. The Department Chairperson shall provide the elected faculty members with the appropriate documents. The Dean shall call a meeting of the faculty member, the Department Chairperson and the two tenured department faculty members and the three members of the CRP&T. If after due deliberation the Dean, the Department Chairperson, the two elected tenured department faculty and the three CRP&T faculty cannot reach a unanimous decision, then the decision at hand shall be determined by a vote. The Dean shall have one vote. The Department Chairperson and the two tenured department faculty shall have one vote. When the Department Chairperson and the two tenured department faculty are not in agreement, the one vote shall reflect the majority view of the three. The CRP&T as a whole shall have one vote. In the event the three CRP&T representatives are not in agreement, the CRP&T's vote shall reflect the majority view of the CRP&T representatives.¹⁴ While the faculty member may actively participate in the meeting, he/she has no vote. The Dean shall give the faculty member a written statement of the meeting's outcome with copies to the other parties at the meeting and a copy to the Provost/Vice Chancellor for Academic Affairs.

B. Assessment of Additional Responsibilities

The faculty member and Department Chairperson shall meet semiannually to review the faculty member's satisfactory completion of his/her additional responsibilities. A progress report shall be forwarded to the Dean by the second Friday in April.

When the Department Chairperson and the Dean agree that the additional responsibilities are being successfully carried out, the additional responsibilities and their assessment shall continue. The faculty member may request a consultation with the Department Chairperson and Dean to redefine his/her additional responsibilities. Similarly, the Department Chairperson or Dean may call for a three-way consultation to redefine the additional responsibilities.

When the Department Chairperson and the Dean disagree that the additional responsibilities are being successfully carried out or they agree that the additional responsibilities are not being successfully carried out, the CRP&T shall be brought into the process. (See the above *Third Party Input* section.) The faculty member, the Department Chairperson, the Dean and the CRP&T shall meet by the last Friday in April. When the outcome of the meeting is that the

¹⁴ This three-way voting procedure parallels the three-way voting procedure prescribed in the promotion and tenure process adopted in 2002.

not to a Summer Session.

The assignment of additional responsibilities shall result in a three-part written understanding that takes the place of a PDP. One part shall be a clear delineation of the faculty member's new responsibilities. Another part shall specify the criteria by which the faculty member shall be judged in regard to meeting his/her additional responsibilities. When the faculty member is judged Satisfactory in Teaching Performance, the written agreement may specify Teaching Performance standards that are more demanding than the department standards for Satisfactory, but that are less demanding than the department standards for Exemplary. When the faculty member is judged Exemplary in Teaching Performance, the written agreement may include the expectation that the faculty member maintain an Exemplary rating in Teaching Performance. The third part shall be a statement that in future PTR evaluations, future PRCs shall **not** judge Research Performance, Professional Growth and Related Activities as Satisfactory so long as the faculty member has successfully performed his/her additional assignments which are part of his/her new career plan. When the assignment of additional responsibilities takes the place of a PDP, the expectation is that such additional responsibilities shall continue for the duration of the faculty member's career **or** until such time as the faculty member negotiates establishing a PDP rather than continuing the additional responsibilities. The written understanding shall be signed by the faculty member, the Department Chairperson and the Dean. A copy of the understanding shall be sent to the Provost/Vice Chancellor for Academic Affairs.

The outcome of the consultation among the faculty member, the Department Chairperson and the Dean may be the decision to formulate a PDP. In such instances the faculty member's future PTR evaluations shall continue to include being judged on Research Performance, Professional Growth and Related Activities. (See above section *Deficient in Teaching Performance* for details about developing a PDP.)

3. *Deficient in Service to the University*

In such instances the faculty member is required to develop a PDP in consultation with the Department Chairperson. (See above section *Deficient in Teaching Performance* for details about developing a PDP.)

VI. ASSESSMENT

Assigned additional responsibilities and/or a PDP require periodic assessment.

A. Third Party Input

The School/College Committee on Reappointment, Promotion and Tenure (CRP&T) and two tenured department faculty members shall be brought into the assessment process under the following conditions:

- The Department Chairperson and the Dean disagree in their assessment regarding whether additional responsibilities have been successfully carried out **or** whether the objectives of a PDP have been successfully met.

2. Deficient in Research Performance, Professional Growth and Related Activities

When a faculty member is also Deficient in Teaching Performance, he/she shall develop a PDP to address the deficiencies. (See above section Deficient in Teaching Performance for details about developing a PDP.)

When a faculty member who is Deficient in Research Performance, Professional Growth and Related Activities, but who is Satisfactory or Exemplary in Teaching Performance, in such instances the faculty member, Department Chairperson and Dean shall consult. The consultation may result in an agreement to assign additional responsibilities **or** in a decision to develop a PDP. When the faculty member requests an opportunity to demonstrate his/her professional ability to overcome a deficiency in research and related activities by formulating a PDP, the Department Chairperson and the Dean shall accept such a request. When the faculty member, the Department Chairperson and the Dean cannot come to consensus regarding the assignment of additional responsibilities **or** the requirement of a PDP, the three CRP&T faculty shall be brought into the process. (See the Third Party Input section above.)

When the decision is to assign additional responsibilities, the tenor of determination of what additional responsibilities are most appropriate should be one of working to the faculty member's strengths and determining how the University's interests and the career development of the faculty member can best be meshed. The spirit should not be one of punishment of a faculty member who has become less active in the area of Research Performance, Professional Growth and Related Activities. The additional responsibilities shall be the faculty member's new career plan designed to lead to improvement in overall professional services rendered to the University.

The additional responsibilities may include, among other things, the assignment of significant administrative and/or other responsibilities and/or the assignment of an increased teaching load. When the faculty member is judged Exemplary or well above Satisfactory in Teaching Performance, he/she might be assigned responsibilities in the Academy for Teaching and Learning and/or prescribed mentoring tasks. The challenge is to be creative in using the strengths of the faculty member. A faculty member might, for example, while mentoring a junior faculty member also be assigned responsibility for some of the grading tasks in order to allow the junior faculty member to devote more time to his/her class preparation and/or research.

The amount of time associated with the additional responsibilities should be commensurate with the amount of time faculty in the department typically devote to research. In particular, when the additional responsibilities involve an increased teaching load, several factors should be kept in mind:

- Any increase in teaching load besides being commensurate with the amount of time faculty in the School/College and/or department typically devote to research, should also take into account the faculty member's normal teaching load and typical class sizes. The assignment of additional teaching may range from an additional course each semester in a setting where the normal teaching load is three courses coupled with significant research expectations, to one additional course every two or three years in a setting where normal teaching load is four courses and class sizes are large.
- The assignment of an increased teaching load refers only to the Fall and/or Spring semesters,

and the three CRP&T faculty, cannot reach a unanimous decision, then the decision at hand shall be determined by a vote. The Dean shall have one vote. The Department Chairperson and the two tenured department faculty shall have one vote. When the Department Chairperson and the two tenured department faculty are not in agreement, the one vote shall reflect the majority view of the three. The CRP&T as a whole shall have one vote. In the event the three CRP&T representatives are not in agreement, the CRP&T's vote shall reflect the majority view of the CRP&T representatives. While the faculty member may actively participate in the meeting, he/she has no vote. The Dean shall give the faculty member a written statement of the meeting's outcome with copies to the other parties at the meeting and a copy to the Provost/Vice Chancellor for Academic Affairs.

B. Additional Responsibilities or a Performance Development Plan

A faculty member who is Deficient in Teaching Performance shall develop a Performance Development Plan (PDP). A faculty member who is Deficient in Research Performance, Professional Growth and Related Activities, but is Satisfactory or Exemplary in Teaching Performance, shall be assigned additional responsibilities **or** shall formulate a PDP. A faculty member who is Deficient in Service to the University shall develop a PDP.

1. Deficient in Teaching Performance

In such instances the faculty member is required to devise a PDP in consultation with his/her Department Chairperson. The PDP should be formulated within 30 days of the faculty member's receiving the PRC report. The PDP shall be designed for completion within a three-year period. Although each PDP is tailored to individual circumstances, the PDP will:

- identify specific strengths and weaknesses of the faculty member's performance
- define specific goals or outcomes necessary to remedy the deficiencies
- outline the activities to be undertaken to achieve the necessary outcomes
- set appropriate time lines for accomplishing the activities and achieving intermediate and ultimate outcomes
- indicate appropriate criteria by which the faculty member could monitor progress
- identify institutional resources to support the PDP.

Failure of the faculty member and the Department Chairperson to reach an agreement on a PDP shall necessitate mediation by the Dean.

The Department Chairperson shall submit the PDP to the Dean. When the Dean accepts the PDP, the faculty member and the Department Chairperson are so informed in writing by the Dean, who also forwards a copy to the Provost/Vice Chancellor for Academic Affairs. When the Dean does not accept the PDP, the two elected tenured Department faculty and the three CRP&T faculty are brought into the process. (See the Third Party Input section above.) The Dean in particular and the University in general shall endeavor to make resources available to allow the faculty member to improve his/her Teaching Performance. This may include working with mentors, on and off campus, working with the Academy for Teaching and Learning and facilitating the faculty member's attending teaching workshops.

findings, the faculty member and the members of the PRC – individually or collectively – may respond in writing to the Dean's disagreement, with copies to the Provost/Vice Chancellor for Academic Affairs.

When the Dean disagrees with the PRC report he/she may consult with the faculty member, the PRC, and the Department Chairperson. The Dean's consultation with PRC shall be done with all three PRC members present and should be construed as the Dean's seeking clarification on the PRC's assessment. The Dean may seek to influence the PRC to reconsider its findings under two circumstances:

- The Dean provides evidence that the faculty member's portfolio, upon which the PRC based its report, contains untruthful claims.
- The Dean believes the PRC has flagrantly misapplied a standard. For example, the PRC has judged the faculty member Satisfactory on Research Performance, Professional Growth and Related Activities when the standard calls for at least one publication in a refereed journal and the faculty member has none.

V. NEXT STEP IN THE PTR EVALUATION PROCESS

When the faculty member is judged Exemplary or Satisfactory there is no next step for such an overall assessment ends the PTR process for the current five-year cycle. When the faculty member is Deficient in One or More Areas, the PTR process is not yet over for the faculty member needs to address each deficiency. Whether a deficiency requires the establishment of a Performance Development Plan (PDP) or calls for the assignment of additional responsibilities depends on the area of the deficiency and a consultation involving the faculty member, the Department Chairperson and the Dean.

A. Third Party Input

The School/College Committee on Reappointment, Promotion and Tenure (CRP&T) and two tenured department faculty members shall be brought into the assessment process under the following conditions:

- The faculty member, the Department Chairperson and the Dean cannot come to consensus regarding whether to assign additional responsibilities or to develop a PDP
- The Department Chairperson and the Dean disagree regarding the acceptance of a PDP

The tenured and tenure-track faculty in the reviewee's department shall elect two tenured departmental faculty members to participate in the deliberations. When, besides the reviewee, there are two or fewer tenured faculty members in the Department, the senior faculty in the Department shall participate in selecting and serving as the two departmental faculty. The CRP&T shall elect three of its members to participate in the deliberations. The Department Chairperson shall provide the elected faculty members with the appropriate documents. The Dean shall call a meeting of the faculty member, the Department Chairperson and the two tenured department faculty members and the three members of the CRP&T. If after due deliberation the Dean, the Department Chairperson, the two elected tenured Department faculty

shall result in the reviewee's having to address the deficiencies. The overall assessments are outlined as follows:

1. Exemplary - An overall judgment of Exemplary requires that the faculty member is judged Exemplary in Teaching Performance and in Research Performance, Professional Growth and Related Activities and is Exemplary or Satisfactory in Service to the University. Letters of commendation, written by the Department Chairperson and by the Dean, shall be placed in the faculty member's personnel file housed in the Office of the Provost/Vice Chancellor for Academic Affairs. The Board of Governors wrote, as its first point regarding PTR, that the "purpose of the review shall be to support and encourage excellence among tenured faculty by recognizing and rewarding exemplary faculty performance." In recognition of this mandate to reward excellence, the University shall honor an exemplary faculty member with special recognition to include, but not limited to, a monetary award subject to availability of funds as part of the Honors Convocation. The faculty member's performance shall also be recognized or rewarded in one or more of the following ways:

- the faculty member will 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 as approved by the Department Chairperson and Dean;
- the faculty member will be recommended by the Department Chairperson for consideration by the School/College Awards Committee/University Awards Committee, including the UNC Board of Governor's Excellence in Teaching Award Committee.

2. Satisfactory - An overall judgment of Satisfactory requires that the faculty member is judged at least Satisfactory in Teaching Performance and in Research Performance, Professional Growth and Related Activities and in Service to the University.

3. One or More Deficiencies - An overall judgement of One or More Deficiencies requires that the faculty member is judged Deficient in one or more of Teaching Performance or Research Performance, Professional Growth and Related Activities or Service to the University.

C. Department Chairperson and Dean Responses to a PRC Report

The Department Chairperson shall write a letter to the faculty member, with copies to the PRC members, indicating his/her agreement or disagreement with the PRC's findings. A copy of the letter and the PRC report shall be forwarded to the Dean. When the Department Chairperson disagrees with the PRC's findings, the faculty member and the members of the PRC – individually or collectively – may respond in writing to the Department Chairperson's disagreement, with copies to the Dean.

The Dean shall write a letter to the faculty member, with copies to the PRC members and the Department Chairperson, indicating his/her agreement or disagreement with the PRC's findings. The Dean shall send a copy of this letter, 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. When the Dean disagrees with the PRC's

November or 60 days after receiving written notification from the Department Chairperson or the approved extension), the Department Chairperson shall consult with the faculty member to determine the reason for noncompliance and shall notify the Dean of the situation. The Dean shall schedule a meeting with the faculty member and the Department Chairperson. At that meeting the Dean shall advise the faculty member, in writing, that failure to submit a portfolio on a timely basis may result in disciplinary actions.¹³ If the meeting results in the submission of the portfolio by an agreed upon time the matter of the delay is dropped.

IV. THE REVIEW PROCESS

The performance review focuses on the faculty member's (1) Teaching Performance, (2) Research Performance, Professional Growth and Related Activities and (3) Service to the University, based on the department standards.

A. Evaluation of Portfolio

Upon receiving a portfolio the Department Chairperson shall forward it to the member of the PRC who was selected by the department faculty. The Department Chairperson shall ask that PRC member to convene the initial meeting of the PRC. The first order of business of this meeting shall be the committee's selection of its chairperson. The PRC shall conduct its performance review and shall submit its report by the last Friday in January or within 50 days receiving the portfolio.

The PRC shall render a judgement of Exemplary, Satisfactory or Deficient in **each** of the three areas. Additionally, the review is to provide informed and candid feedback to the faculty member concerning the quality of his/her contributions, as well as any weaknesses or deficiencies in the portfolio, along with constructive recommendations for improvement. The PRC, after reaching its decisions, shall collectively draft its findings. The PRC is expected to write a minimum of 75 words in support of its findings for **each** of the three areas. 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. Finalized copies of the report shall be signed by each of the three committee members. By the last Friday in January or within 50 days after the PRC receives the portfolio, the chairperson of the PRC shall, on the same day, give the report to the reviewee and a copy to the Department Chairperson.

B. PTR Overall Assessments

The performance review shall result in one of three possible overall assessments: Exemplary, Satisfactory, One or More Deficiencies. An overall assessment of Exemplary or Satisfactory concludes the reviewee's PTR for that year. An overall assessment of One or More Deficiencies

¹³ 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, 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.)

this pool, three faculty members shall be selected to serve on the PRC for a tenured faculty member who has been identified for a performance review. Two of the three committee members shall be selected by the reviewee, and one member shall be selected by the tenured faculty from the reviewee's department. Reviewees shall notify their Department Chairperson of their two PRC selections by the last Friday in October. Once the reviewees have notified the Department Chairperson of their selections, the Department Chairperson shall forward these selections to the department's most senior tenured faculty member. The Department Chairperson shall ask this senior faculty member to convene a meeting of the department's tenured faculty for the purpose of selecting the third member of the PRCs and shall remind the faculty that they are not restricted to choosing a third PRC member from among department faculty. The Department Chairperson will not attend this meeting. Tenured faculty who are undergoing PTR should participate in such a meeting, but should leave the room when the discussion involves the selection of their third PRC member. When there are two or fewer tenured faculty in the department, the senior faculty in the department shall participate in the selection of the third committee member.

The Office of the Provost/Vice Chancellor for Academic Affairs shall endeavor to provide a training session for PRC members relative to peer review.

C. The Review Portfolio

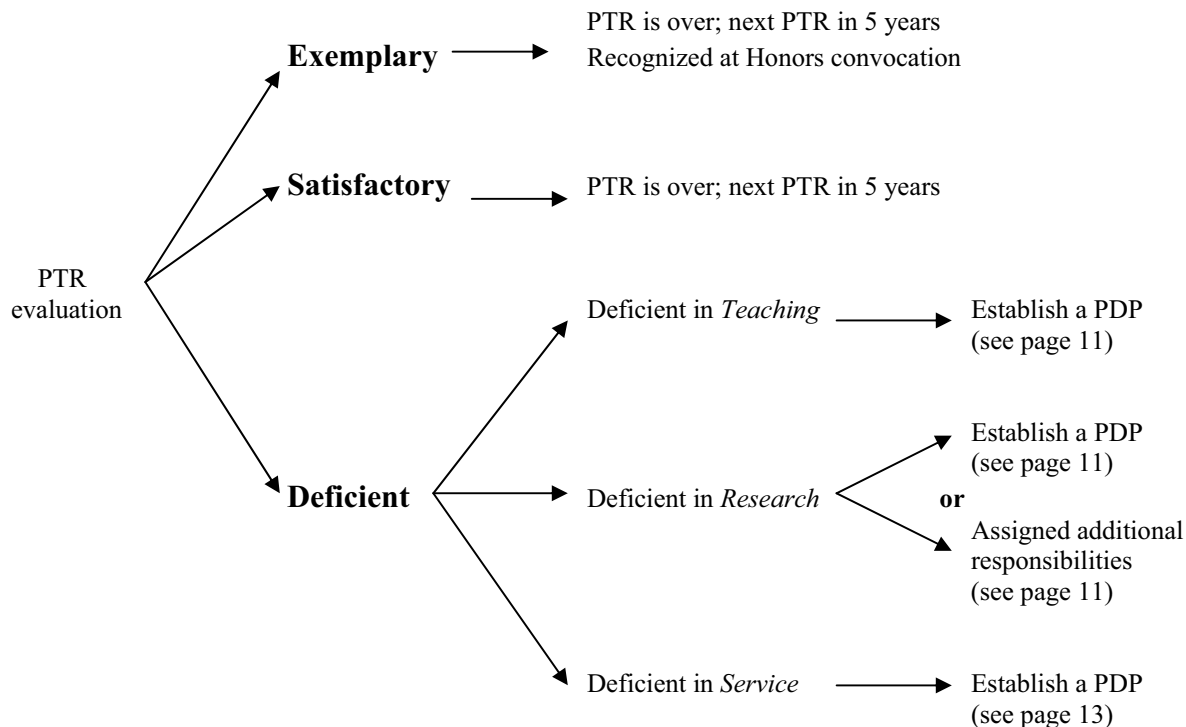
While all reviewees are expected to use the PTR submission form, this does not preclude departments from establishing their own guidelines for the review portfolio. Departments wanting to set their own portfolio guidelines should (a) elect a committee of tenured and/or tenure-track faculty to draft the guidelines and (b) have the guidelines approved by the department's tenured and tenure-track faculty.

The faculty member selected for review shall submit a review portfolio to his/her Department Chairperson by the last Friday in November or 60 days after receiving the letter of notification from his/her Department Chairperson, whichever is the later date. If the faculty member needs additional time, he/she may request an extension from his/her Department Chairperson. The new deadline, and the reasons for the extension, shall be put in writing and signed by the faculty member and the Department Chairperson. The Department Chairperson shall send a copy of such an extension agreement to the Dean. If the Dean has reservations about the extension, he/she shall meet with the faculty member and the Department Chairperson to arrive at a resolution.

The faculty member has the right and obligation to provide all the documents, materials, and statements relevant and necessary for review, 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. Other materials, at the discretion of the faculty member, may include a maximum of three letters of support from NCA&TSU colleagues attesting to the faculty member's performance, and a maximum of three additional letters from persons external to the university. The portfolio shall be submitted in one three-ring notebook binder with a table of contents, and tabbed sections for ease in locating sections and materials. The faculty member has final determination regarding the contents of the review portfolio.

When a faculty member fails to submit a portfolio by the appropriate deadline (the last Friday in

OVERVIEW OF PTR OUTCOMES



A. Notification of Review

The Department Chairperson shall, by the last Friday in September, notify the faculty member in writing that a performance review will be conducted by a Performance Review Committee (PRC). The notification letter shall include the following quote from the PTR policy: "Tenured faculty in all departments in all Schools/Colleges shall constitute the pool eligible to serve as members of a PRC. While reviewees may select tenured faculty members who are undergoing PTR that year, they may not serve on one another's PRCs that same year. Administrative tenured faculty are ineligible to serve on a PRC. ... Two of the three committee members shall be selected by the reviewee, and one member shall be selected by the tenured faculty from the reviewee's department." Furthermore, the notification letter should include the Website addresses of the University's PTR policy and a copy of the PTR submission form. (See Form A.)

B. Selection of Performance Review Committee

Tenured faculty in **all** departments in all Schools/Colleges shall constitute the pool eligible to serve as members of a Performance Review Committee (PRC). While reviewees may select tenured faculty who are undergoing PTR that year, they may not serve on one another's PRCs that same year. Administrative tenured faculty are ineligible to serve on a PRC. The Office of the Provost/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

move from their teaching position to an administrative one and then return to the teaching faculty. This means, for example, that when a faculty member moves into an administrative position after 1999-2000 and returns to the teaching faculty, he/she will come up for a PTR evaluation in the number of years he/she had pending to his/her next PTR evaluation before moving into an administrative role. This also means that for an individual who was in an administrative role in 1999-2000, upon returning to the teaching faculty, his/her PTR evaluation shall be in the number of consecutive years he/she was in an administrative role prior to 1999-2000, with five years being the maximum allowed.

A faculty member may request postponement of a scheduled performance review for extenuating circumstances, such as health problems or returning to faculty status from an administrative position. The request must be in writing, and be approved by the faculty member's Department Chairperson, Dean and the Provost/Vice Chancellor for Academic Affairs. Faculty who have submitted to their Department Chairperson and Dean a certified letter of irrevocable intent to retire and/or resign, effective within three years of their scheduled PTR, may elect not to undergo a PTR.¹⁰

III. PTR EVALUATION PROCEDURES

The calendar for PTR evaluation procedures shall be:

- First department meeting in the Fall: Department Chairperson shall distribute department standards to new faculty and make standards available to returning faculty requesting a copy.
- Last Friday in September: the Department Chairperson shall notify the faculty member in writing that a performance review will be conducted.
- Last Friday in October: the faculty member shall notify his/her Department Chairperson of his/her two PRC selections.
- Last Friday in November¹¹: the faculty member shall submit his/her portfolio to the Department Chairperson, who forwards it to the PRC.
- Last Friday in January¹²: the PRC submits its report.

¹⁰ 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.

¹¹ Or 60 days after receiving the letter of notification from the Department Chairperson or a negotiated and agreed upon submission date, whichever is the later date.

¹² Or 50 days after the PRC receives the portfolio.

School/College committee shall also attempt to assure consistency in the department narratives regarding how the PRC shall balance a strength in one area with a between Distinctly Deficient and Satisfactory judgment in another area. The statement of standards, approved by the departmental tenured and tenure-track faculty and the School/College committee, shall be the basis for evaluating a tenured faculty member's performance. The Department Chairperson shall forward the statement of standards to the Provost/Vice Chancellor for Academic Affairs. The forwarded standards should include a check sheet on which the Department Chairperson verifies that the standards have (1) been written and approved by the tenured and tenure-track departmental faculty; and (2) have been approved by the School/College standards committee. The standards shall also be distributed to all current faculty. At the beginning of each Fall semester the standards shall be distributed to new faculty.

As the mission of the Department, School/College, or University changes, or the standards of excellence and appropriate balance of teaching, research or other creative activity, and service as prevails in the discipline and the Department change, Department standards may also change. Departments shall reconsider their standards at least once every five years. The revised statement of standards, approved by the departmental tenured and tenure-track faculty and the School/College committee, will be the basis for evaluating a tenured faculty member's performance. The Department Chairperson shall forward the revised statement of standards to the Provost/Vice Chancellor for Academic Affairs. The forwarded standards should include a check sheet on which the Department Chairperson verifies that the standards have (1) been written and approved by the tenured and tenure-track departmental faculty; and (2) have been approved by the School/College standards committee. The new standards shall also be distributed to all current faculty. At beginning of each Fall semester the new standards shall be distributed to new faculty.

Because it would be inappropriate to subject faculty to stricter standards immediately prior to their post tenure review, faculty shall undergo their subsequent post tenure reviews under the standards that were in place in the first year of the five-year cycle of post tenure reviews. This gives faculty a four years lead-time.

B. Schedule of Evaluation

Faculty tenured prior to 1998-1999 shall undergo PTR five years following their latest review. Faculty tenured since 1998-99 shall undergo their first post tenure review five years after receiving tenure. Five years after the year of the initial review, the cycles will repeat with new names added in the appropriate year, as they become eligible for review. A successful application for a promotion after a faculty member receives tenure results in the five-year counting process beginning anew. Similarly, a faculty member who establishes a Performance Development Plan following a PTR evaluation shall undergo his/her next PTR evaluation five years after completing his/her Performance Development Plan.⁹ The five-year counting process shall be put on hold for a faculty member while on an official leave of absence and shall resume when the leave is over. The same holding and restarting shall apply to faculty members who

⁹ Both a successful application for promotion and a successful completion of a Performance Development Plan are cumulative reviews and satisfy the Guideline in the General Administration Memorandum 371, dated June 24, 1997, that faculty undergo "a cumulative review no less frequently than every five years."

Deficient and Satisfactory for Research Performance, Professional Growth and Related Activities shall require a Teaching Performance that is above Satisfactory in order for the Research Performance, Professional Growth and Related Activities to be judged Satisfactory. The narrative should provide guidelines PRCs are to employ when allowing a strength in one area to offset a between Distinctly Deficient and Satisfactory judgment in another area. When there is no offsetting strength then a portfolio that is judged to fall between Distinctly Deficient and Satisfactory in one area will be judged Deficient in that area. Furthermore, being judged Distinctly Deficient in one area may **not** be offset by strengths elsewhere in the portfolio. Service, while important, is a tertiary faculty responsibility. The department narrative should make it clear whether or not an above Satisfactory judgment in service will be allowed to offset a judgment of between Distinctly Deficient and Satisfactory in teaching or in research. The department narrative should also make it clear whether or not being judged between Distinctly Deficient and Satisfactory in two areas can be offset by a strength in the third area. The department needs to establish standards for Exemplary, standards that specify a level of performance that must be met or exceeded in order for the faculty member to be judged Exemplary in a given area.

Alternatively, departments may elect to circumscribe the PRC's judgements. In such cases departments shall establish standards for Satisfactory and for Exemplary in each of the three areas. Failure to meet a standard for Satisfactory in a given area shall result in the PRC's being required to judge the faculty member as Deficient in that area regardless of strengths elsewhere in the portfolio.

Regardless of the approach taken by the department, its standards shall be consistent with the Faculty Handbook, and shall reflect the standards of excellence and appropriate balance of teaching, research or other creative activity, and service as prevail in the discipline and the department. In addition, these statements shall be consistent with standards used for annual performance evaluations. The University shall provide reasonable resources needed by the faculty to achieve the required level and quality of performance.

These statements shall be as specific as possible without unduly restricting the recognition of diverse valuable contributions of individual faculty members. The department standards criteria give the department the opportunity to specify what evidence it considers essential for the portfolio. For example, including criteria for faculty scores on student evaluations would mean portfolios should include student evaluations, while not specifying criteria for faculty scores on student evaluations would leave it up to the reviewees to decide whether they wished to include student evaluations in their portfolio.

These statements should be approved by the departmental tenured and tenure-track faculty. These departmentally approved standards shall, with the exception of the School of Nursing, be reviewed by a School/College committee. The tenured and tenure-track faculty of each department shall elect a representative to this School/College committee. The School/College committee, with input from the Dean, will seek to assure some uniformity of standards across departments and to assure that faculty performance standards are consistent with the established mission and do not fall below those standards of the School/College. For those departments that elected to give the PRC flexibility in assessing a faculty member's overall strength, the

Post tenure review 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.⁷ The objectives of a performance review are to identify and reward exemplary faculty performance, and to identify and plan to improve less than satisfactory faculty performance. Performance review is also a means of enhancing performance of tenured faculty by stressing formative as well as summative evaluation. These evaluations should lead to effective and useful feedback, appropriate intervention, and timely and positive assistance to ensure that every tenured faculty member continues to experience professional development and accomplishments during the faculty member's career. A fundamental purpose supporting post tenure review is to enable the faculty member to engage in a peer-coordinated performance evaluation to assess level of performance, productivity, and/or career development over a longer term than is usually provided by an annual review. North Carolina A&T State University's PTR will help to continually ensure a distinguished faculty in all degree programs at the baccalaureate, master's and doctoral levels. This policy will be reviewed every five years.

II. PTR EVALUATION PROCEDURES

PTR evaluations are based on performance standards developed by the department faculty.

A. Standards for Performance

Department faculty shall establish initial standards following adoption of the policy. Tenured and tenure-track faculty within each department shall develop a narrative statement of the department's standards for performance by tenured faculty.⁸ Standards for Exemplary and Satisfactory shall be established for **each** of the areas: (1) Teaching Performance, (2) Research Performance, Professional Growth and Related Activities and (3) Service to the University. Departments may establish their standards for Deficient and/or Satisfactory in one of two ways:

- Standards that give the Performance Review Committee (PRC) flexibility in assessing a faculty member's overall strength when judging whether performance is Satisfactory.
- Standards that when met in a given area the PRC is required to judge the performance as Satisfactory in that area.

Departments wishing to give the PRC flexibility to judge the overall portfolio should establish standards for Satisfactory and for Exemplary for each of the areas: (1) Teaching Performance, (2) Research Performance, Professional Growth and Related Activities and (3) Service to the University. The department should also establish standards for Distinctly Deficient for each of the three areas. The department should also write a narrative that makes it clear that when a portfolio is judged to fall between Distinctly Deficient and Satisfactory in one area, that shortfall **may** be offset by a strength in another area. For example, being judged between Distinctly

⁷ As the University moves forward with its Futures Mission/Vision statement subsequent PTR policies may refer to teaching, research, creative work and service as "learning, discovery and engagement."

⁸ Department Chairpersons are considered administrators. As such they are not subject to PTR evaluation but rather to an administrator's evaluation. The writing of the department performance standards is a faculty task and as such the Department Chairpersons may not participate.