

Report No. 23-24-0002
Assurance Services Report
Post-Tenure Review Audit



ACCOUNTABILITY • INTEGRITY • EFFICIENCY

June 21, 2024



FY 23-24 Post-Tenure Review Audit

EXECUTIVE SUMMARY

In accordance with BOG Regulation 10.003, Florida A&M University (the University) faculty underwent a comprehensive PTR of the last five years of performance. The purpose of this review was to ensure compliance with BOG Regulation 10.003 and its requirements, evaluate whether the PTR process is effective, and determine whether the process is aligned with university goals and priorities. As outlined in BOG Regulation 10.003, six (6) areas of the PTR process were tested for compliance. (See [Appendix D](#) for compliance testing details.) Those sections include:

1. **Policy and Procedures Requirements** - Institutions must develop policies and procedures for PTRs that align with the BOG standards, ensuring consistent and fair evaluations.
2. **Timing and Eligibility Requirements** - Tenured faculty must undergo review every five years, with eligibility starting five years post-tenure or since the last comprehensive review.
3. **Review Requirements** - PTR process must include a thorough evaluation of faculty members' performance in teaching, research, and service, based on established criteria.
4. **Process Requirements** - PTR must involve multiple levels of evaluation, including administrative assessments with clear documentation and feedback provided to faculty members.
5. **Outcomes** - PTR can result in outcomes ranging from commendation to a performance improvement plan, and in serious cases, initiation of procedures for termination.
6. **Monitoring** - Institutions must track and report on the implementation and outcomes of post-tenure reviews, ensuring compliance with the regulation.
7. **Other** – PTR must respect collective bargaining agreements and may include additional evaluation processes as long as they meet or exceed the regulation's requirements.

The PTR process was also reviewed to determine whether it was aligned with university priorities and goals and effective in evaluating tenured faculty members' performances.
















Conclusion:



Overall, the current PTR process was determined to be effective, compliant with BOG Regulation 10.003, and aligned with the University's goals and priorities.

We commend the Division of Academic Affairs and Office of the Provost for their commitment to upholding high standards through the PTR process. We look forward to observing continued improvements in the future. To support this progress, several opportunities for improvement were identified. By addressing these opportunities, the University can further enhance the PTR process, ensuring it continues to support faculty excellence and alignment with the University's strategic priorities and goals. Opportunities for improvement were identified as follows:



| | | | |
|---|---|---|---|
|  | <p>Data Collection</p> <p>Faculty information regarding the date of last promotion, performance evaluation dates, ratings in performance evaluations, and performance improvement plan dates was not readily available in the data file. Currently, the process is to manually retrieve the information from candidates' resumes and faculty evaluation packets and record the information in an Excel file.</p> |  | |
|  | <p>Reviewers for Candidates</p> <p>The PTR process does not include procedures for moving forward when a Level 1 or Level 2 reviewer is unavailable to review candidates. The Interim Associate Provost for Academic and Faculty Affairs plans to add language to the PTR procedures that allows the Deans, with the Provost's approval, to assign a designee to perform the candidate's review, when the reviewer is unavailable.</p> |  | |
|  | <p>Monitoring</p> <p>There is no ongoing activity in place for gathering feedback on the post-tenure review process and using it to make improvements.</p> |  | |
|  | <p>Transparency</p> <p>While most of the Colleges/Schools defined specific criteria for meeting the threshold for each of the rating categories (Exceeds Expectations, Meets Expectations, Does Not Meet Expectations, and Unsatisfactory), five¹ out of the 13 Colleges/Schools only defined the criteria needed for faculty to "Meet Expectations."</p> |  | |
|  | <p>College of Law Criteria</p> <p>The College of Law PTR Committee determined that they would not utilize student teaching evaluations in the PTR process because of a very low rate of return from law students.</p> <p>The "Teaching" criteria section for the College of Law PTR procedures does not require an assessment of the teaching approaches and techniques related to preparing students for the Bar Exam. Therefore, the teaching criteria does not fully align with the President's goal to increase licensure pass rate.</p> |  | |
|  | <p>School of Journalism and Graphic Communication (SJGC) Procedures</p> <p>SJGC's PTR procedures are unclear on whether management considers only the most recent Annual Faculty Evaluation form during PTR or all Faculty Evaluation forms from the prior 5-year review period.</p> |  | |
| <p>Legend:</p> |  Controls are in place & operating effectively |  Controls are in place but not operating effectively |  Controls are not in place |

¹ The College of Agriculture & Food Sciences, College of Law, College of Social Sciences, Arts, & Humanities, School of Architecture & Engineering Technology, and School of Allied Health Sciences only defined the specific criteria for tenured faculty to "Meet Expectations."



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BACKGROUND

Florida Statutes PTR Directives for FY 2023-2024

Section (s.) 1001.706(6b)² Florida Statutes (F.S.), authorizes the BOG to adopt a PTR regulation. In 2022, the Florida State Legislature amended the statute to require the BOG to adopt a regulation that mandates each tenured faculty member in the state university system to undergo a comprehensive post-tenure review every five years. Additionally, the BOG PTR regulation must address the following areas:

- Accomplishments and productivity;
- Assigned duties in research, teaching, and service;
- Performance metrics, evaluations, and ratings; and
- Recognition and compensation considerations, as well as improvement plans and consequences for underperformance.

The BOG may include other considerations in the regulation, if it so chooses.

Florida Board of Governors: Regulation 10.003, PTR

In accordance with s. 1001.706 (6b) F.S., March 2023³, the BOG implemented Regulation 10.003⁴, Post-Tenure Faculty Review, which states each Board of Trustees must adopt policies that require each tenured state university faculty member to undergo a comprehensive post-tenure review. The purpose of BOG Regulation 10.003, is to accomplish the following:

- Ensure high standards of quality and productivity among the tenured faculty in the State University System.
- Determine whether a faculty member is meeting the responsibilities and expectations associated with assigned duties in research, teaching, and service, including compliance with state laws, Board of Governors’ regulations, and university regulations and policies.
- Recognize and honor exceptional achievement and provide an incentive for retention as appropriate.
- Refocus academic and professional efforts and take appropriate employment action when appropriate.

BOG Regulation 10.003 Post-Tenure Faculty Review outlines the assessment, monitoring, and reporting requirements for ensuring high standards of quality and productivity among tenured faculty in the State University System of Florida. Each tenured faculty member must have a comprehensive post-tenure review of five years of performance in the fifth year following the last promotion or the last comprehensive review, whichever is later. For faculty hired with tenure, the hire date must constitute the date of the last promotion. In

² http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&Search_String=&URL=1000-1099/1001/Sections/1001.706.html

³ BOG Regulation 10.003 was adopted in March 2023 and amended in November 2023.

⁴ <https://www.fibog.edu/wp-content/uploads/2022/11/Regulation-10.003.pdf>



each of the second, third, fourth, and fifth years following the effective date of this regulation, 20% of tenured faculty who have not received a comprehensive review will be evaluated.

The comprehensive PTR must include consideration of the following aspects of faculty performance:

- The level of accomplishment and productivity relative to the faculty member’s assigned duties in research, teaching, and service, including extension, clinical, and administrative assignments.
- The faculty member’s history of professional conduct and performance of academic responsibilities.
- Any non-compliance with state law, BOG regulations, university regulations and/or policies.
- Unapproved absences from teaching assigned courses.
- Substantiated student complaints.
- Other relevant measures of faculty conduct as appropriate

Beginning January 1, 2024, and continuing every three years thereafter, each university must conduct an audit of the comprehensive PTR process for the prior fiscal year and submit a final report to the university’s Board of Trustees by July 1st.

Florida A&M University: Regulation 10.204(9) Faculty Tenure, PTR

According to FAMU Regulation 10.204(9)⁵, each tenured faculty member at the University shall undergo a comprehensive PTR that is conducted in accordance with the criteria and requirements set forth in Florida BOG Regulation 10.003, Post-Tenure Faculty Review.

⁵ <https://www.famu.edu/about-famu/policies-and-regulations/regulations-and-notices/pdf-active/Regulation%2010.204%20Amendment%209-6-23.pdf>



FAMU PTR PROCESS OVERVIEW

As required by Florida Statutes 1001.706(6b) and BOG Regulation 10.003, the University has implemented a PTR process to ensure high standards of quality and productivity among tenured faculty at the University. There are currently 153 tenured faculty members at the University. For the first year following the effective date of BOG Regulation 10.003, all faculty tenured, promoted, or tenured upon appointment in 2019, were automatically selected for review. Additionally, faculty in the fifth year since their last promotion or the last comprehensive review and a random selection of eligible faculty tenured prior to 2019, were also selected to complete the process.

The Division of Strategic Planning, Analysis, and Institutional Effectiveness (SPAIE) was employed to assist in the randomized selection of the 20% of eligible faculty tenured prior to 2019. A list of the FAMU Employee ID numbers of those tenured prior to 2019 was provided to SPAIE. SPAIE performed a stratified random sampling of the Employee ID list and provided the list of the selected sample to the Office of the Provost. This resulted in a total of 26% of total tenured faculty being selected for evaluation⁶. All selected candidates and their deans were notified by email that they had been selected for a 2023-24 PTR review. The email provided candidates with guidance on the materials needed for their review. (See [Appendix B](#) for timeline of events.)

Faculty members were required to complete a dossier highlighting their accomplishments and demonstrating performance relative to their assigned duties. The completed dossier was then submitted to the appropriate department chair. The faculty member's department chair reviewed the completed dossier, the faculty member's personnel file, and other records related to professional conduct, academic responsibilities, and performance. The department chair then added a letter to the dossier which assessed the level of achievement and certification. The department chair then forwarded the dossier to the College Dean for review. The Dean also added a brief letter assessing the level of achievement during the period under review. The Dean's letter also was required to include the dean's recommended performance rating using the following scale:

- *Exceeds Expectations*: a clear and significant level of accomplishment beyond the average performance of faculty across the faculty member's discipline and unit.
- *Meets Expectations*: expected level of accomplishment compared to faculty across the faculty member's discipline and unit.
- *Does Not Meet Expectations*: performance falls below the normal range of annual variation in performance compared to faculty across the faculty member's discipline and unit but is capable of improvement.
- *Unsatisfactory*: failure to meet expectations that reflect disregard or failure to follow previous advice or other efforts to provide correction or assistance, or performance involves incompetence or misconduct as defined in applicable university regulations and policies.

⁶ There were originally 40 faculty members selected for 23-24 PTR Cohort. However, two faculty members' reviews were placed on hold pending separation from the University and were incomplete at the time of this audit. This resulted in a total of 38 faculty members being reviewed for the 23-24 PTR.



PTR OUTCOMES

This report provides a comprehensive review of the PTR process for the 23-24 fiscal year. As required by BOG Regulation 10.003(6a), the 23-24 PTR Cohort Results are as follows:

- a. Number of tenured faculty in each rating category:

| Rating Category | Number of Faculty |
|----------------------------|-------------------|
| Exceed Expectations | 14 |
| Meets Expectations | 21 |
| Does Not Meet Expectations | 3 |
| Unsatisfactory | 0 |
| Total | 38 |

- b. University's Response in cases of each category:

| Rating Category | University's Response |
|----------------------------|---|
| Exceed Expectations | The Provost, in consultation with the President, determined appropriate recognition for faculty who "Exceed Expectations" to be a one-time compensation of \$5,000. |
| Meets Expectations | The Provost, in consultation with the President, determined appropriate recognition for faculty who "Meet Expectations" to be a one-time compensation of \$2,500. |
| Does Not Meet Expectations | The faculty member's Dean, in consultation with the faculty member's Department Chair, proposed Performance Improvement Plans (PIPs) to be approved by the Provost. The PIPs included specific requirements for professional development. The faculty member's progress towards completing the plan's requirements will be reassessed by the faculty member's Department Chair or unit director in the 3rd, 6th, and 9th months of the plan. The plan cannot extend past 12 months after the date it is enacted. The faculty member will be provided feedback and appraisal at each reassessment. |
| Unsatisfactory | n/a |

- c. Findings of noncompliance: None



PTR SURVEY RESULTS

In efforts to gather feedback from faculty, a PTR Satisfaction Survey was created using Qualtrics XM and distributed to faculty members who were selected for the 23-24 PTR Cohort via email. Artificial intelligence was used to help create the questions for the Faculty Satisfaction Survey. A total of 40 faculty members were selected for the 23-24 PTR Cohort. However, due to the untimely death of a member of the cohort and the pending separation of another, the total number of faculty members reviewed for the 23-24 PTR Cohort was 38.

On April 19, 2024, the survey was distributed to the 23-24 Cohort, allowing one-week for response time. The response rate for the Faculty Satisfaction Survey was 39.47% (15/38). Overall, the feedback received from faculty was positive and constructive. The majority of the respondents believed the PTR process was clear, easy to understand, and effective for promoting faculty excellence and accountability. (See summary below and [Appendix C](#) for details.)

Of the respondents surveyed:

- 80% believe the PTR process was clear and easy to understand.
- 87% believe that they had access to the resources and support they needed to prepare for the review.
- 80% believe the criteria for evaluation were fair and relevant to their role.
- 67% believe the review timeline was reasonable and met expectations.
- 80% believe the PTR process is effective for promoting faculty excellence and accountability.
- 73% of respondents believe the feedback they received from the review committee was constructive and helpful.

The Office of the Provost has agreed to incorporate the suggestions received from the Faculty Satisfaction Survey, as appropriate, take actions to ensure notifications to future cohorts are received timely, and provide a more static PTR Calendar of Events. (See [Recommendations and Corrective Action Plans](#) for more details.)



RECOMMENDATIONS AND CORRECTIVE ACTION PLANS

| CONDITIONS | RECOMMENDATIONS | MANAGEMENT'S RESPONSE |
|--|---|--|
| <p>Data Collection: BOG Regulation 10.003(2a) specifies the timing and eligibility requirements for the PTR process. During the review of the requirements, the process was determined to be in compliance with the regulation. However, information regarding each faculty member's date of last promotion, performance evaluation dates, ratings in performance evaluation, and performance improvement plan dates were not readily available in the data file and had to be obtained manually.</p> | <p>To increase efficiency, Academic Affairs management should use an electronic reporting system to collect and manage faculty activity information related to faculty review.</p> | <p>The Office of the Provost is exploring several solutions. Dr. Reginald Perry has contacted Academic Analytics to obtain a quote for their solution. He has also contacted Interfolio to arrange for a demo of their product. The University already licenses with other products from both companies.</p> <p>Target Date: August 2024</p> |
| <p>Reviewers for Candidates: A review of the University's PTR Procedures identified missing internal controls related to how to proceed with the process when a Level 1 or Level 2 reviewer is unavailable.</p> | <p>Academic Affairs management should implement a procedure that describes what steps should be taken if a Level 1 or Level 2 reviewer is unavailable to perform their review.</p> | <p>Dr. Perry will revise the current procedures to incorporate this change.</p> <p>Target Date: August 2024</p> |
| <p>Transparency: 8 out of 13 Colleges/Schools defined specific criteria to meet the threshold for each of the rating categories: <i>Exceeds</i>, <i>Meets</i>, <i>Does Not Meet</i>, and <i>Unsatisfactory</i>. However, 5 out of 13 Colleges/Schools only defined the criteria needed for faculty to <i>Meet Expectations</i>.</p> | <p>While BOG Regulation 10.003 vaguely defines the recommended performance rating scale categories, for the purpose of transparency, each College/School's PTR criteria should include details about how faculty members can achieve each rating.</p> | <p>The Office of the Provost will request that all colleges and schools include metrics for <i>Exceeds</i> and <i>Does Not Meet</i>.</p> <p>Target Date: August 2024</p> |
| <p>College of Law Criteria: While reviewing the College of Law PTR Criteria, it was noticed that the College of Law elected not to include student teaching evaluations in PTR process. According to the documented procedures, the decision was made due to a low survey response rate from students.</p> | <p>As a best practice, College of Law faculty should:</p> <ul style="list-style-type: none"> • Use well-designed evaluation instruments that minimize bias and encourage thoughtful feedback. • Train students on how to provide constructive and helpful feedback, which can improve the quality of the evaluations. | <p>To help minimize bias, College of Law has implemented a new strategy to increase their student evaluation response rates.</p> <p>Target Date: August 2024</p> |
| <p>College of Law Criteria: The <i>Teaching</i> section of the College of Law criteria includes a requirement for faculty to demonstrate expertise</p> | <p>In efforts to support the President's Annual Goal to increase licensure pass rate, the language in the "Teaching"</p> | <p>Office of the Provost will request the College of Law strengthen their language regarding the assessment</p> |



| | | |
|---|--|--|
| <p>by submitting a description of teaching approaches and techniques which “may” include those related to preparing students for the Bar Exam.</p> | <p>section should be strengthened to require faculty to include approaches and techniques used for preparing students for the bar exam.</p> | <p>of faculty’s preparation of students for the bar exam. Target Date: August 2024</p> |
| <p>SJGC Procedures: SJGC’s PTR procedures do not clearly state whether management considers only the most recent Annual Faculty Evaluation form OR all Faculty Evaluation forms from the 5-year review period.</p> | <p>To increase transparency, SJGC should clarify whether all Annual Faculty Evaluation forms from the 5-year period are reviewed for PTR or just the most recent one.</p> | <p>Office of the Provost will request SJGC include 5-years of annual evaluations in the PTR process. Target Date: August 2024</p> |
| <p>Monitoring: There is no process in place to survey each PTR cohort for feedback regarding their experience of the process and using that feedback to improve the process.</p> <p>Division of Audit created and distributed an anonymous survey to the 23-24 PTR Cohort and received a response rate of about 39%. 6 out of 10 of the questions asked, related to the areas of training/resources, data collection & analysis, and outcomes.</p> | <p>The Provost Office should implement a process to conduct anonymous faculty satisfaction surveys after every cohort review is complete, in order to gauge faculty’s experience and perceptions of the fairness, transparency, and effectiveness of the post-tenure review process.</p> <p>The Provost Office should review the feedback received from faculty and use it to make process improvements.</p> | <p>The Provost Office will incorporate the survey developed by the Division of Audit into its process. The survey will be administered after the Dean's Review.</p> <p>Feedback received as a result of the anonymous survey distributed by the Division of Audit will be reviewed and incorporated into the process as appropriate.</p> <p>Target Date: August 2024</p> |



APPENDIX A: PURPOSE, SCOPE, AND METHODOLOGY

Purpose and Scope

The purpose of this audit was to verify compliance with BOG Regulation 10.003 and its requirements for comprehensive post-tenured faculty review; evaluate whether the PTR process is effective and aligned with university goals and priorities.

Methodology

The procedures and controls applied by management in the University's PTR process to achieve the compliance, assess faculty performance, recognize excellence, and refocus efforts, were subject to the following audit procedures:

- Detailed testing of faculty dossiers and management responses.
- Walk-throughs of processes for navigating the Interfolio system, dossier submission, compiling data files, and inputting data into the system.
- Interviews of key staff regarding the PTR process, including timelines and criteria.
- Surveys of the 23-24 PTR Cohort to obtain feedback on their experience with the process.



APPENDIX B: 23-24 PTR CALENDAR OF EVENTS



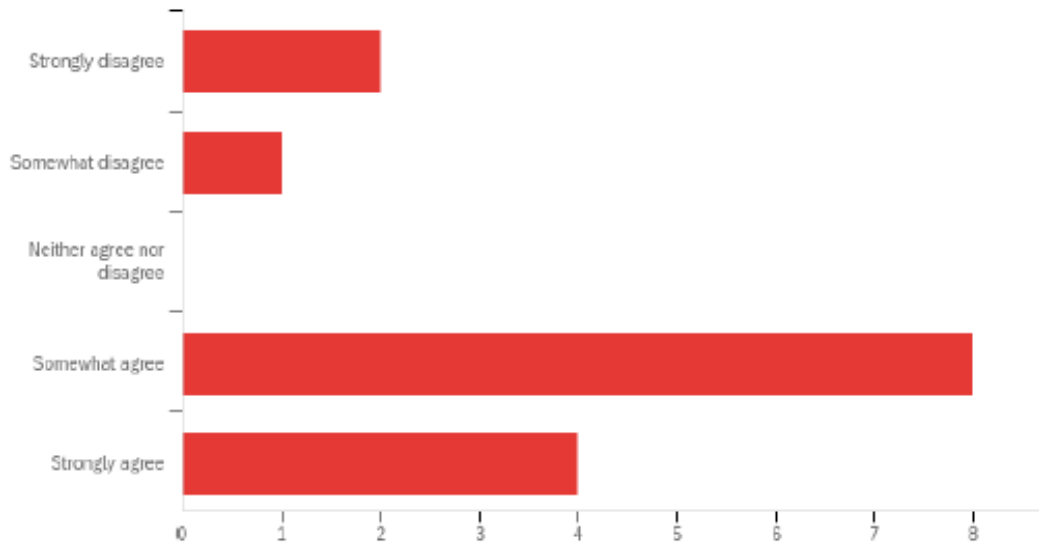
2023-24 Post Tenure Review Calendar of Events

| ACTION | DEADLINE |
|--|--------------------|
| Faculty candidates and their dean are notified that they have been selected for a Post Tenure Review | September 30, 2023 |
| Faculty candidates submit request for a Provost Exemption. | October 6, 2023 |
| Interfolio Portal Opens for Candidates to Submit Review Materials | November 6, 2023 |
| Interfolio Portal Closes for Candidates to Submit Review Materials to the Office of the Provost | December 11, 2023 |
| Review materials due from the Office of the Provost to the Department Chairs or Division Directors | January 8, 2024 |
| Department Chair's or Division Directors Review Due to the Dean | February 2, 2024 |
| Dean's Review Due to the Provost | March 1, 2024 |
| Candidate's Optional Response to the Dean's Review Due | March 8, 2024 |
| Candidate, Dean, and Chair/Director Notified of the Provost's Final Rating. | April 15, 2024 |
| Appeal Applications Due | April 22, 2024 |
| Performance Improvement Plans Due | April 22, 2024 |
| Provost Report to BOT | June 2024 |



APPENDIX C: FACULTY SATISFACTION SURVEY RESULTS

Q1 - The post-tenure review process was clear and easy to understand.

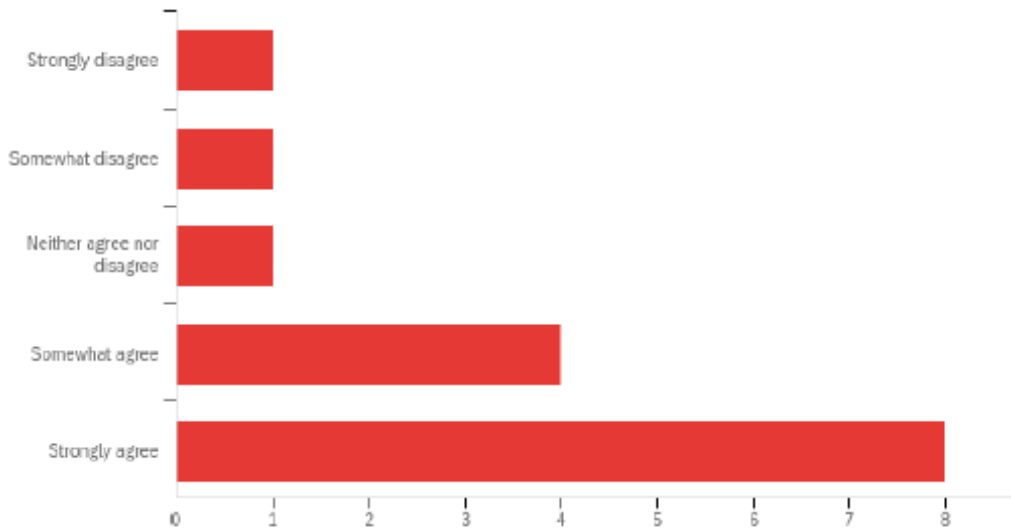


| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|--|---------|---------|------|---------------|----------|-------|
| 1 | The post-tenure review process was clear and easy to understand. | 1.00 | 5.00 | 3.73 | 1.29 | 1.66 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 13.33% | 2 |
| 2 | Somewhat disagree | 6.67% | 1 |
| 3 | Neither agree nor disagree | 0.00% | 0 |
| 4 | Somewhat agree | 53.33% | 8 |
| 5 | Strongly agree | 26.67% | 4 |
| | Total | 100% | 15 |



Q2 - I felt the criteria for evaluation were fair and relevant to my role.

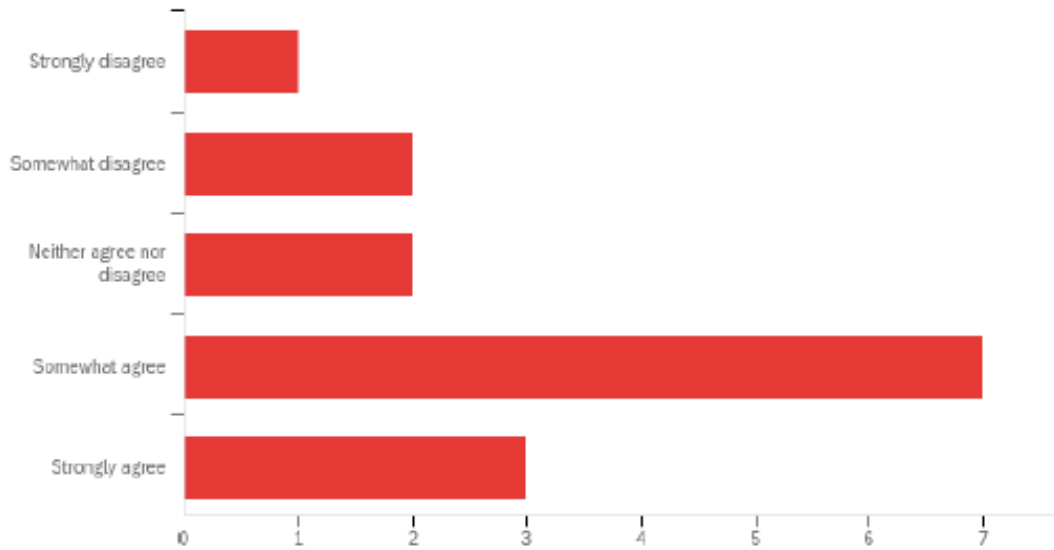


| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|---|---------|---------|------|---------------|----------|-------|
| 1 | I felt the criteria for evaluation were fair and relevant to my role. | 1.00 | 5.00 | 4.13 | 1.20 | 1.45 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 6.67% | 1 |
| 2 | Somewhat disagree | 6.67% | 1 |
| 3 | Neither agree nor disagree | 6.67% | 1 |
| 4 | Somewhat agree | 26.67% | 4 |
| 5 | Strongly agree | 53.33% | 8 |
| | Total | 100% | 15 |



Q3 - The review timeline was reasonable and met expectations.

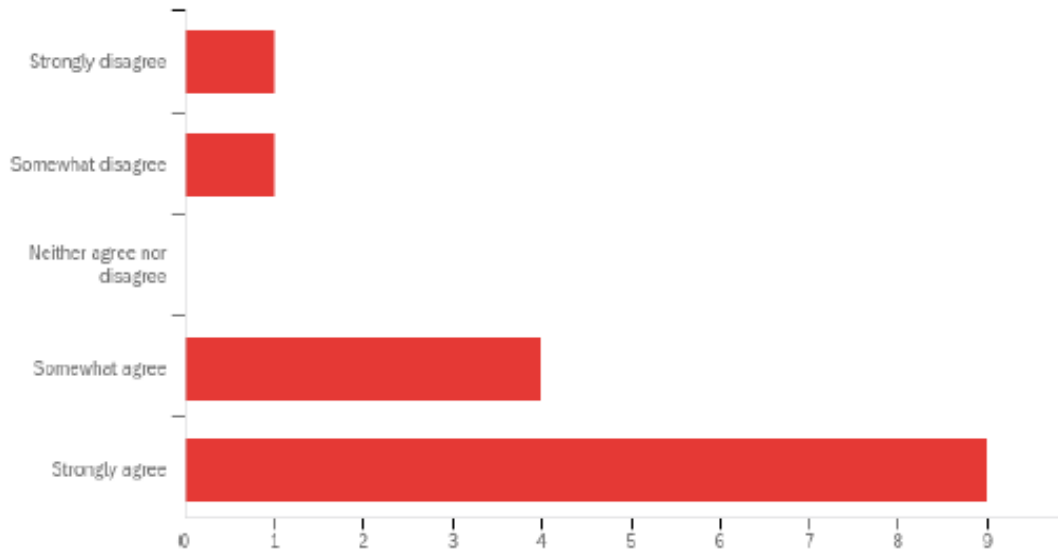


| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|--|---------|---------|------|---------------|----------|-------|
| 1 | The review timeline was reasonable and met expectations. | 1.00 | 5.00 | 3.60 | 1.14 | 1.31 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 6.67% | 1 |
| 2 | Somewhat disagree | 13.33% | 2 |
| 3 | Neither agree nor disagree | 13.33% | 2 |
| 4 | Somewhat agree | 46.67% | 7 |
| 5 | Strongly agree | 20.00% | 3 |
| | Total | 100% | 15 |



Q4 - I had access to the resources and support I needed to prepare for the review.

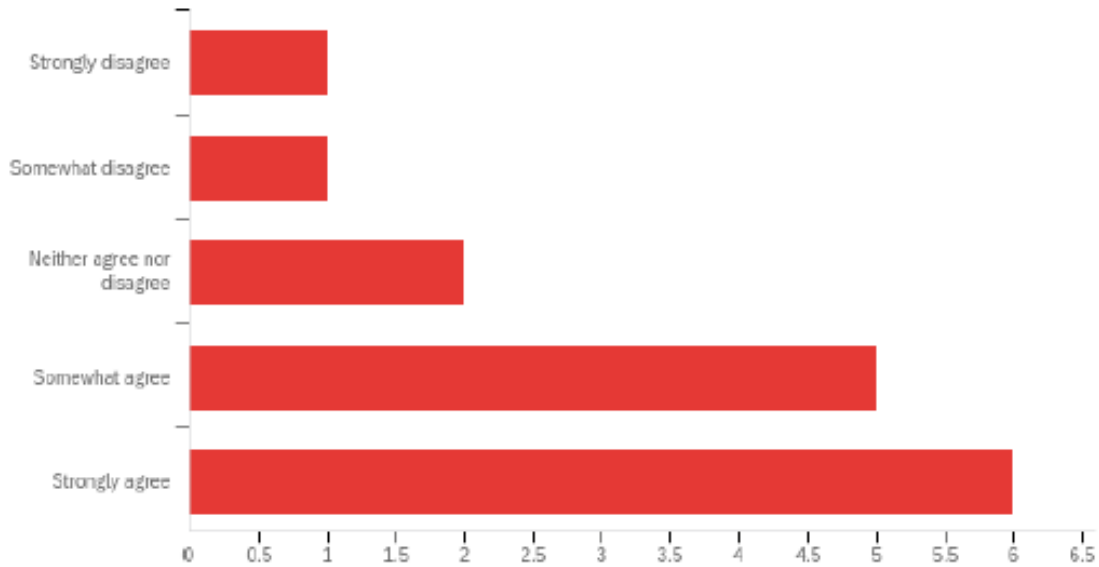


| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|---|---------|---------|------|---------------|----------|-------|
| 1 | I had access to the resources and support I needed to prepare for the review. | 1.00 | 5.00 | 4.27 | 1.18 | 1.40 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 6.67% | 1 |
| 2 | Somewhat disagree | 6.67% | 1 |
| 3 | Neither agree nor disagree | 0.00% | 0 |
| 4 | Somewhat agree | 26.67% | 4 |
| 5 | Strongly agree | 60.00% | 9 |
| | Total | 100% | 15 |



Q5 - The feedback I received from the review committee was constructive and helpful.

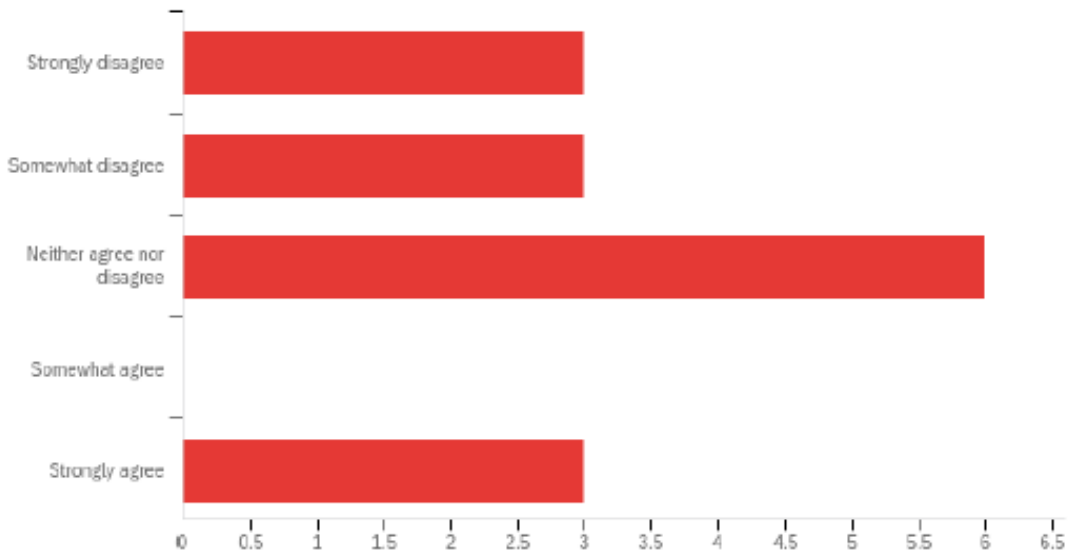


| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|---|---------|---------|------|---------------|----------|-------|
| 1 | The feedback I received from the review committee was constructive and helpful. | 1.00 | 5.00 | 3.93 | 1.18 | 1.40 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 6.67% | 1 |
| 2 | Somewhat disagree | 6.67% | 1 |
| 3 | Neither agree nor disagree | 13.33% | 2 |
| 4 | Somewhat agree | 33.33% | 5 |
| 5 | Strongly agree | 40.00% | 6 |
| | Total | 100% | 15 |



Q6 - I believe adding a peer-review component to the post-tenure review process would help to decrease bias and provide a well-rounded assessment.

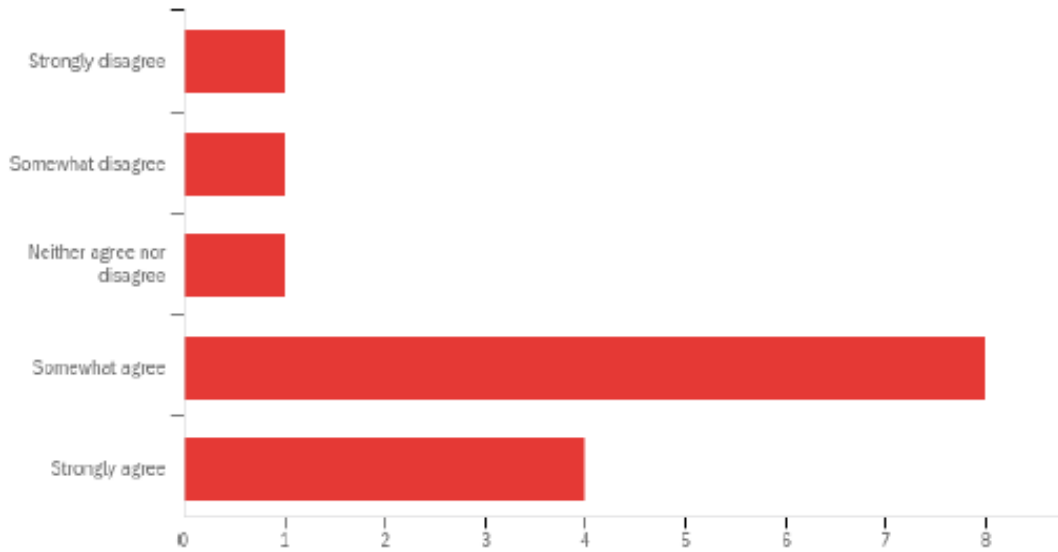


| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|---|---------|---------|------|---------------|----------|-------|
| 1 | I believe adding a peer-review component to the post-tenure review process would help to decrease bias and provide a well-rounded assessment. | 1.00 | 5.00 | 2.80 | 1.33 | 1.76 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 20.00% | 3 |
| 2 | Somewhat disagree | 20.00% | 3 |
| 3 | Neither agree nor disagree | 40.00% | 6 |
| 4 | Somewhat agree | 0.00% | 0 |
| 5 | Strongly agree | 20.00% | 3 |
| | Total | 100% | 15 |



Q7 - I feel the post-tenure review process is effective for promoting faculty excellence and accountability.



| # | Field | Minimum | Maximum | Mean | Std Deviation | Variance | Count |
|---|---|---------|---------|------|---------------|----------|-------|
| 1 | I feel the post-tenure review process is effective for promoting faculty excellence and accountability. | 1.00 | 5.00 | 3.87 | 1.09 | 1.18 | 15 |

| # | Answer | % | Count |
|---|----------------------------|--------|-------|
| 1 | Strongly disagree | 6.67% | 1 |
| 2 | Somewhat disagree | 6.67% | 1 |
| 3 | Neither agree nor disagree | 6.67% | 1 |
| 4 | Somewhat agree | 53.33% | 8 |
| 5 | Strongly agree | 26.67% | 4 |
| | Total | 100% | 15 |



Q8 - What did you find most valuable about the post-tenure review process?

What did you find most valuable about the post-tenure review process?

That I was able to present a record of my post-tenure work for five years.

The PTR workshop that was provided to explain the process in detail and what to expect.

Ensuring fairness in the post-tenure review process is essential for maintaining trust and academic integrity.

That there was full clarity provided by the Provost team every step of the way!

I think the post-tenure review process sends a good message to the administrators that faculty at all levels and longevity needs continuous support from the administration in order to fulfill our roles.

The feedback I received from the review committee was constructive and helpful.

Gave me a good chance to update my CV.

Communication from the provost office was clear

Opportunity to demonstrate faculty hard work and consistent commitment to University

Providing the rebuttal to the dean's comments

Review of work by others

Dr Perry helpfulness



Q9 - What suggestions do you have for improvement?

What suggestions do you have for improvement?

The Candidate should get the Provost's post-tenure review final rating and the names of the Committee members.

Let cohorts know early when they are up for PTR so they can start preparing materials early.

Please note that more time is needed after notification of the review process commencing date.

At the department level, criteria should be made available to the faculty undergoing PTE. The criteria should be developed by the unit faculty and be clearly visible to the faculty members from the time they're hired as an assistant professor.

Follow up on incentivizing faculty who work hard despite lack of support. For example, certain percentage increase in base salary for those who "exceed expectations" would go a long way to fulfill the motto of "excellence with caring".

I have no suggestions for improvement.

AORs, as signed by the faculty and Chair, should be available online. These are a pain to retrieve and the AOR online does not match what was signed by the faculty.

Review by supervisor instead of dean if dean is not immediate supervisor

Provide additional information regarding types of artifacts to use for demonstration of teaching, service, and research. Provision of criteria for minimum for the levels of expectation to increase clarity; agree with adding peer review aspect; provide additional instruction to supervisors and Deans for what and when to discuss faculty issues ...if not discussed in annual evaluations and appraisals then first time should not be during this process.

Set firm deadlines and stick with them.

NA

Clearly indicated time line well in advance



Q10 - Were there any aspects of the review process that caused you difficulty?

Were there any aspects of the review process that caused you difficulty?

The failure of the institutional actors (provost) to meet the published deadlines.

As always, the time crunch... but allowing the option to make an appeal for next cycle does help.

The sometimes difficulty or accessibility into the Interfolio Portal to submit or review materials.

Those who are going up for P&T should have an automatic pass in this process

Lack of clarity on PTE criteria. If expectations are clearly defined, faculty can be better positioned to fulfill and surpass them.

Some department chairs and deans interpreted the process differently from the Provost's Office, particularly what to include in the portfolio.

Some aspects were difficult, but not all.

Not particularly.

Being reviewed by a dean that is not familiar with my work because he is not my supervisor

Short timeline during busy semester.

No

None

Tech



APPENDIX D: BOG REGULATION 10.003, POST-TENURE FACULTY REVIEW

The chart below documents the University’s compliance with the various requirements of BOG Regulation 10.003, Post-Tenure Faculty Review.

| Regulation | Regulation Requirements | Link/Source Verifying Where Requirement has been Met |
|---------------|--|---|
| | Policies and Procedures | |
| 10.003(1) | 1. Obtain policies requiring each tenured state university faculty member to undergo a comprehensive post-tenure review. | Post-Tenure Review Process and Summary of Procedures Page 2 under Preamble |
| | 2. Assess whether the policy addresses the following areas: | |
| 10.003 (1)(a) | a. Procedures to ensure high standards of quality and productivity among the tenured faculty in the State University System | Post-Tenure Review Process and Summary of Procedures Page 2 under Preamble |
| 10.003 (1)(b) | b. Procedures to determine whether a faculty member is meeting the responsibilities and expectations associated with assigned duties in research, teaching, and service, including compliance with state laws, Board of Governors’ regulations, and university regulations and policies. | Post-Tenure Review Process and Summary of Procedures Page 2 under Preamble |
| 10.003 (1)(c) | c. Procedures to recognize and honor exceptional achievement and provide an incentive for retention as appropriate. | Post-Tenure Review Process and Summary of Procedures Page 2 under Preamble |
| 10.003 (1)(d) | d. Refocus academic and professional efforts and take appropriate employment action when appropriate. | Post-Tenure Review Process and Summary of Procedures Page 2 under Preamble |
| 10.003 (2)(a) | 3. Assess whether the policy requires each tenured faculty member shall have a comprehensive post-tenure review of five years of performance in the fifth year following the last promotion or the last comprehensive review, whichever is later. | Post-Tenure Review Process and Summary of Procedures Page 2 under Process |
| 10.003 (2)(c) | 4. Assess whether the policies and regulations adopted by the boards of trustees include exceptions to the timing of the comprehensive post-tenure review for extenuating, unforeseen circumstances. | Post-Tenure Review Process and Summary of Procedures Page 3; subsection c |
| 10.003 (2)(c) | 5. If the policies and regulations adopted by the boards of trustees include exceptions, were the exceptions disclosed in the chief academic officer’s report to the university’s president and board of trustees on the outcomes of the comprehensive post-tenure review. | Post-Tenure Review Process and Summary of Procedures Page 3; subsection c |



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| <p>10.003 (3)</p> | <p>6. Assess whether the policies include review requirements that include:</p> <ul style="list-style-type: none"> a. The level of accomplishment and productivity relative to the faculty member’s assigned duties in research, teaching, and service, including extension, clinical, and administrative assignments. The university specified the guiding documents. Such documents include quantifiable university, college, and department criteria for tenure, promotion, and merit as appropriate. b. The faculty member’s history of professional conduct and performance of academic responsibilities to the university and its students. c. The faculty member’s non-compliance with state law, Board of Governors’ regulations, and university regulations and policies. d. Unapproved absences from teaching assigned courses. e. Substantiated student complaints. f. Other relevant measures of faculty conduct as appropriate. | <p>Post-Tenure Review Process and Summary of Procedures Page 3-4</p> |
| <p>10.003 (4)(a)</p> | <p>7. Assess whether the polices require involvement of the faculty member, department chair, dean, chief academic officer, and president as required by the regulation.</p> | <p>Post-Tenure Review Process and Summary of Procedures Page 4-5 beginning with Review Procedure</p> |
| <p>10.003 (4)(f) and (i)</p> | <p>8. Assess whether the polices and regulations require that faculty are evaluated using the following standards:</p> <ul style="list-style-type: none"> a. 1. Exceeds expectations: a clear and significant level of accomplishment beyond the average performance of faculty across the faculty member’s discipline and unit. b. 2. Meets expectations: expected level of accomplishment compared to faculty across the faculty member’s discipline and unit. c. 3. Does not meet expectations: performance falls below the normal range of annual variation in performance compared to faculty across the faculty member’s discipline and unit but is capable of improvement. d. 4. Unsatisfactory: failure to meet expectations that reflect disregard or failure to follow previous advice or other efforts to provide correction or assistance, or performance involves incompetence or misconduct as defined in applicable university regulations and policies. | <p>Post-Tenure Review Process and Summary of Procedures Page 5 subsection (f)(i-iv)</p> |



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| 10.003 (5)(a) | 9. Assess whether the University regulations and policies regarding outcomes of the comprehensive post-tenure review process included recognition and compensation considerations and consequences for underperformance | Post-Tenure Review Process and Summary of Procedures Page 6 |
| 10.003 (6)(a) | 10. Assess whether the policies and procedures require the chief academic officer to report annually to the university president and board of trustees on the outcomes of the comprehensive post-tenure review process consistent with section 1012.91, Florida Statutes (Personnel records) | Post-Tenure Review Process and Summary of Procedures Page 7 |
| 10.003 (7) | 11. Assess whether polices and procedures require that the University not enter into any collective bargaining agreement that conflicts with this regulation. | Post-Tenure Review Process and Summary of Procedures Page 8 |
| | 12. Obtain an understanding of the systems and processes in place to capture data to ensure compliance with the Reg 10.003. | The Interfolio document management platform and a spreadsheet are used to track the status of each faculty’s review. https://www.interfolio.com/ |
| | Timing and Eligibility | |
| 10.003 (2)(a) | 1. Obtain a listing of faculty members for a specific period. Listing should identify for each faculty member tenured/non-tenure, administrative roles, hire date, date of last promotion, performance evaluation dates, ratings in performance evaluation, performance improvement plan dates, notice of termination date. | While all of the faculty information was available, information regarding the hire date, last promotion, evaluation dates and ratings for many faculty members had to be manually pulled from other resources. The Office of the Provost plans to implement an automated system to capture this information in the future. |
| 10.003 (2)(a)(1) | 2. Determine if 20% of tenured faculty were evaluated during the period March 25, 2023 – March 24, 2024 (first year). | Post-Tenure Review Detailed Procedures Page 2 Section (A)(3) |
| 10.003 (2)(a)(1) | 3. Determine if each faculty in the fifth year of tenure was evaluated during the period March 25, 2023 – March 24, 2024 (first year). | Post-Tenure Review Process and Summary of Procedures Page 2 Section (1)(a)(i) |
| 10.003 (2)(a)(2) | 4. In each subsequent year, year-two, through year-five determine if 20% of tenured faculty who have not received a comprehensive review were evaluated in addition to faculty who are in the fifth year. | Post-Tenure Review Process and Summary of Procedures Page 2 Section (1)(a)(ii) |
| 10.003 (2)(a)(3) | 5. In year 6 determine that each tenured faculty member has a comprehensive post-tenure review of five | Post-Tenure Review Process and Summary of Procedures Page 3 Section (1)(a)(iii) |



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| | years following their last promotion or their last comprehensive review, whichever is later. | |
| 10.003 (2)(b) | 6. Determine if tenured faculty in administrative roles, such as department chairs or directors, are evaluated annually by the appropriate college dean based on criteria established by the university | Post-Tenure Review Process and Summary of Procedures Page 3 Section (1)(b) |
| 10.003 (2)(b) | 7. Determine if tenured faculty in administrative roles evaluations include: <ul style="list-style-type: none"> a. a review of performance based on all assigned duties and responsibilities and professional conduct. b. performance of academic responsibilities to the university and its students; c. non-compliance with state law, Board of Governors’ regulations, and university regulations and d. policies; and substantiated student complaints. | Post-Tenure Review Process and Summary of Procedures Page 3 Section (1)(b) |
| Review Requirements | | |
| 10.003 (3)(a) | 1. Determine if the comprehensive post-tenure review include the following: <ul style="list-style-type: none"> a. The level of accomplishment and productivity relative to the faculty member’s assigned duties in research, teaching, and service, including extension, clinical, and administrative assignments. The university specified the guiding documents. Such documents include quantifiable university, college, and department criteria for tenure, promotion, and merit as appropriate. b. The faculty member’s history of professional conduct and performance of academic responsibilities to the university and its students. c. The faculty member’s non-compliance with state law, Board of Governors’ regulations, and university regulations and policies. d. Unapproved absences from teaching assigned courses. e. Substantiated student complaints. f. Other relevant measures of faculty conduct as appropriate. | Post-Tenure Review Process and Summary of Procedures Page 3-4 Section (2)(a) |
| | 2. Review a sample of faculty dossiers, department chair and college dean assessments, and chief academic officer ratings to assess the inclusion of required elements such as performance in research, teaching, service, | Faculty dossiers, department chair/ college dean assessments, and chief academic officer ratings include required elements such as |



| | | |
|---------------|---|---|
| | professional conduct, compliance with laws and regulations, unapproved absences, and student complaints. | performance in research, teaching, service, professional conduct, compliance with laws and regulations, unapproved absences, and student complaints. |
| 10.003 (3)(b) | 3. Determine if the review inappropriately considered the faculty members' political or ideological viewpoints. | None of the dossiers reviewed showed that the faculty members' political or ideological viewpoints were inappropriately considered. |
| | Process Requirements | |
| 10.003 (4) | 1. Determine if the policies and procedures require that the process as documented in 10.003 (4) is completed including use of rating system. | Post-Tenure Review Process and Summary of Procedures Page 5 Section (3)(f) Post-Tenure Review Detailed Procedures Page 7 Section (3)(b) |
| | 2. Review a sample of faculty for steps 3 - 13 | |
| 10.003 (4)(a) | 3. Determine if the faculty member completed the required dossier and submit the dossier to the appropriate department chair. | Required dossiers were completed and submitted to the appropriate department chair. |
| 10.003 (4)(b) | 4. Determine if there is evidence of the faculty member's department chair reviewed the completed dossier, the faculty member's personnel file, and other records related to professional conduct, academic responsibilities, and performance. | Evidence exists that the department chairs reviewed each faculty members' completed dossier, personnel file, and other records related to professional conduct, academic responsibilities, and performance. |
| 10.003 (4)(c) | 5. Determine if the chair added to the following items to the dossier a. Additional records related to professional conduct, academic responsibilities, and performance concerns. b. A letter assessing the level of achievement and certification that the letter includes, if applicable, any concerns regarding professional conduct, academic responsibilities, and performance during the period under review. | Department Chairs added additional records, and a letter assessing level of achievement. |
| 10.003 (4)(d) | 6. Determine if the faculty member's department chair forwarded the dossier, including all records and the chair's letter, to the appropriate college dean for review | The deans forwarded the dossiers, including all records, to the chief academic officer. |
| 10.003 (4)(e) | 7. Determine if the dean of the college reviewed all materials provided by the faculty member's department chair. | The deans reviewed all materials provided by the faculty member's department chair. |



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| <p>10.003 (4)(f)</p> | <p>8. Determine if the dean of the college added to the dossier a brief letter assessing the level of achievement during the period under review. Does the letter include:</p> <ul style="list-style-type: none"> a. any concerns regarding professional conduct, academic responsibilities, and performance. b. the dean’s recommended performance rating using the following scale. <ul style="list-style-type: none"> i.Exceeds expectations: a clear and significant level of accomplishment beyond the average performance of faculty across the faculty member’s discipline and unit. ii.Meets expectations: expected level of accomplishment compared to faculty across the faculty member’s discipline and unit. iii.Does not meet expectations: performance falls below the normal range of annual variation in performance compared to faculty across the faculty member’s discipline and unit but is capable of improvement. iv.Unsatisfactory: failure to meet expectations that reflect disregard or failure to follow previous advice or other efforts to provide correction or assistance, or performance involves incompetence or misconduct as defined in applicable university regulations and policies. | <p>The deans added letters assessing concerns of conduct, and recommended ratings.</p> |
| <p>10.003 (4)(g)</p> | <p>9. Determine if the dean of the college forwarded the dossier to the chief academic officer for review</p> | <p>The deans forwarded the dossiers to the chief academic officer.</p> |
| <p>10.003 (4)(h)</p> | <p>10. Determine if the chief academic officer reviewed the dossier provided by the dean of the college.</p> | <p>The chief academic officer reviewed the dossiers provided by the dean.</p> |
| <p>10.003 (4)(i)</p> | <p>11. Determine if the chief academic officer rated the faculty member’s professional conduct, academic responsibilities, and performance during the review period with guidance and oversight from the university president.</p> | <p>The chief academic officer rated the faculty members’ professional conduct, academic responsibilities, and performance during the review period with guidance and oversight from the university president.</p> |
| <p>10.003 (4)(i)</p> | <p>12. Determine if the chief academic officer rated each faculty member with rating of Exceeds expectations, Meets expectations, Does not meet expectations, or Unsatisfactory.</p> | <p>The chief academic officer rated the faculty members with ratings of “Exceeds expectations,” “Meets expectations,” “Does not meet expectations,” or “Unsatisfactory.”</p> |



| | | |
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| 10.003 (4)(j) | 13. Determine if the chief academic officer notified the faculty member, the faculty member’s department chair, and the appropriate college dean of the outcome. | The chief academic officer notified the faculty members, the faculty members’ department chairs, and the appropriate college deans of the outcomes. |
| | Outcomes | |
| | 1. Review a sample of faculty for steps 2 - 6 | |
| 10.003 (5)(b) | 2. Determine if each employee who received a final performance rating of “exceeds expectations” or “meets expectations” the appropriate college dean, in consultation with the faculty member’s department chair, recommended to the chief academic officer appropriate recognition and/or compensation in accordance with the faculty member’s performance and university regulations and policies. | Faculty members who received <i>Exceeds or Meets Expectations</i> were recommended to receive appropriate compensation in accordance with University regulations and policies. |
| 10.003 (5)(c) | 3. Determine that for each faculty member who receives a final performance rating of “does not meet expectations,” the appropriate college dean, in consultation with the faculty member’s department chair, proposed a performance improvement plan to the chief academic officer. | Faculty members who received “Does Not Meet Expectations” received a proposed Performance Improvement Plan. |
| 10.003 (5)(c) | 4. Determine if: a. The plan must include a deadline for the faculty member to achieve the requirements of the performance improvement plan. b. The deadline does not extend more than 12 months past the date the faculty member receives the improvement plan. c. The chief academic officer made final decisions regarding the requirements of each performance improvement plan. d. Each faculty member who failed to meet the requirements of a performance improvement plan by the established deadline received a notice of termination from the chief academic officer. | The Performance Improvement Plans included a deadline, did not exceed 12 months, and received approval from chief academic officer. |
| 10.003 (5)(d) | 5. Determine that each faculty member who received a final performance rating of “unsatisfactory” received a notice of termination from the chief academic officer. | Not applicable as no faculty members received an “Unsatisfactory” rating. |
| 10.003 (5)(e) | 6. Determine if the policies and procedures allow for the appeal of final decisions regarding post-tenure review under university regulations or collective bargaining agreements. | PTR policies and procedures allow for the appeal of final decisions under university regulations and collective bargaining agreements. |



| Monitoring | | |
|----------------------|---|---|
| 10.003 (6)(a) | 1. Determine if the chief academic officer reported annually to the university president and board of trustees on the outcomes of the comprehensive post-tenure review process consistent with section 1012.91, Florida Statutes (Personnel records) | Not applicable since this is the first PTR since its implementation in 2023. |
| 10.003 (6)(a)(1) | 2. Determine if an audit was conducted by the university's chief audit executive or by an independent, third-party auditor ("auditor"), as determined by the chair of the university's board of trustees by January 1, 2024 and continuing every three years thereafter. | FAMU's Division of Audit performed an audit of the PTR process. The audit began on February 19, 2024 and concluded on May 30, 2024. |
| 10.003 (6)(a)(1) | 3. Determine if the final audit report was submitted to the university's board of Trustees. | In progress |
| 10.003 (6)(a)(1) | 4. Determine if the final audit report included a. The number of tenured faculty in each of the four performance rating categories as defined in (4)(f). b. The university's response in cases of each category. c. Findings of non-compliance with applicable state laws, Board of Governors' regulations, and university regulations and policies. | Yes. See page 8 of 33 in this report. |
| 10.003 (6)(a)(2) | 5. Determine if the university board of trustees considered the audit report at the next regularly scheduled board of trustees meeting after the report's publication date | In progress |
| 10.003 (6)(a)(2)a | 6. Determine if the chief academic officer or the auditor presented the audit report to the board of trustees. The board of trustees did not adopt the report as a consent agenda item | Not applicable since this is the first PTR since its implementation in 2023. |
| | 7. If the audit report shows compliance, determine that a copy of the adopted audit report was provided to the Board of Governors consistent with Regulation 1.001(6)(g) | Not applicable since this is the first PTR since its implementation in 2023. |
| | 8. If the audit report does not show compliance, determine that the auditor presented the report to the Board of Governors at its next regularly scheduled meeting. | Not applicable. No non-compliant events were found. |
| Other | | |
| 10.003 (7) | 1. Determine if the University entered into any collective bargaining agreement following the effective date (March 24, 2023) of this regulation, | Post Tenure Review Detailed Procedures Page 10 |



| | | |
|------------|---|--|
| | a. Determine if the collective bargaining agreement conflicts with this regulation. | |
| 10.003 (8) | 2. Assess whether any additional evaluation processes, criteria, or standards entered into meets or exceeds the requirements outlined in section 1001.706(6)(b), Florida Statutes, and this regulation. | The University's Annual Faculty Evaluation form appears effectively meet the requirements outlined in section 1001.706(6)(b), Florida Statutes, and this regulation. |



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