

# Review of Post Tenure Review

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**Special Thanks:** to the Provost's office, especially to Amanda Malone who did the hard work of collecting all of the relevant data.

# Committee Charge and Mission Statement

**Charge:** Review the practice and progress of Auburn University's Post Tenure Review (PTR) process.

**Mission Statement:** To review the PTR process and identify areas that would enable PTR to be conducted with increased fairness and accountability, while continuing its focus on improving faculty development and productivity and maintaining the principles of academic freedom and tenure.

# Post Tenure Review Process

The **Post Tenure Review** (PTR) process is detailed in **Section 3.7.3** of the Faculty Handbook

## Background:

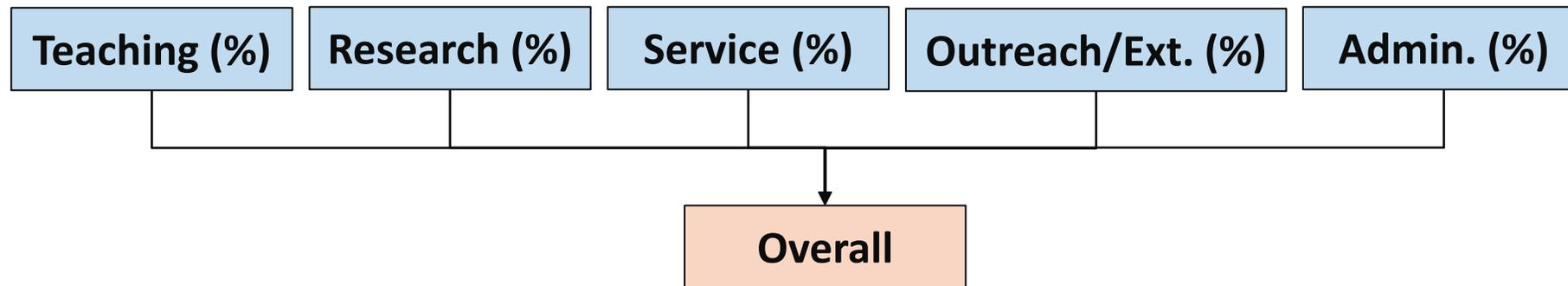
**PTR Purpose:** *“The purpose of post-tenure review at Auburn University is to enhance public trust in the University by ensuring that the faculty holds itself accountable to high professional standards.”*

**PTR Administrator:** *“As chief academic officer of Auburn University, it is the responsibility of the provost to implement and enforce the University’s policy and procedures for post-tenure review.”*

# Post Tenure Review Process

**PTR Process:** PTR employs the results of the Faculty Annual Review (FAR) process each year, tracking those faculty who receive an overall “Unacceptable” rating.

The FAR is based on faculty missions:



Performance Level
Exemplary
Exceeds Expectation
Meets Expectation
Marginal
Unacceptable

Each academic unit has its own unique combination of missions and metrics.

Faculty positions with each academic unit can also have unique combinations of missions and metrics.

# Post Tenure Review Process

**PTR Trigger Mechanism:** The criteria for triggering PTR is when a faculty member receives two overall “Unacceptable” ratings with in a 6-year period.

## **General Summary of the PTR Process (Outlined in the Faculty Handbook):**

1.	1 <sup>st</sup> overall unsatisfactory rating received – Unit head/chair notifies faculty member and provost in writing that a second in the next 5 years will trigger PTR.
2.	2 <sup>nd</sup> overall unsatisfactory rating received within next 5 years – Unit head/chair consults with the unit’s dean and notifies, in writing by May 1 <sup>st</sup> of each year, the faculty member and the Office of the Provost that PTR process has been triggered.
3.	The Office of the Provost will send instructions to the faculty member, unit’s head/chair, and unit’s dean regarding how to prepare the faculty member’s PTR packet.

# Post Tenure Review Process

4. The faculty member and unit's head/chair then prepare materials for review following these instructions, which are then submit to the Office of the Provost through the unit's dean.

The unit's head/chair shall present the curriculum vita and summary of accomplishments to the tenured faculty of the unit for inspection and vote by secret ballot whether or not the faculty member under review is discharging satisfactorily the academic duties associated with their position. The faculty member under review is to be informed of the results of the vote. The results of the vote—including the actual numerical vote— shall be included in the department head/chair's letter.

The unit's dean has the right to review and comment on the packet before submission to the Office of the Provost.

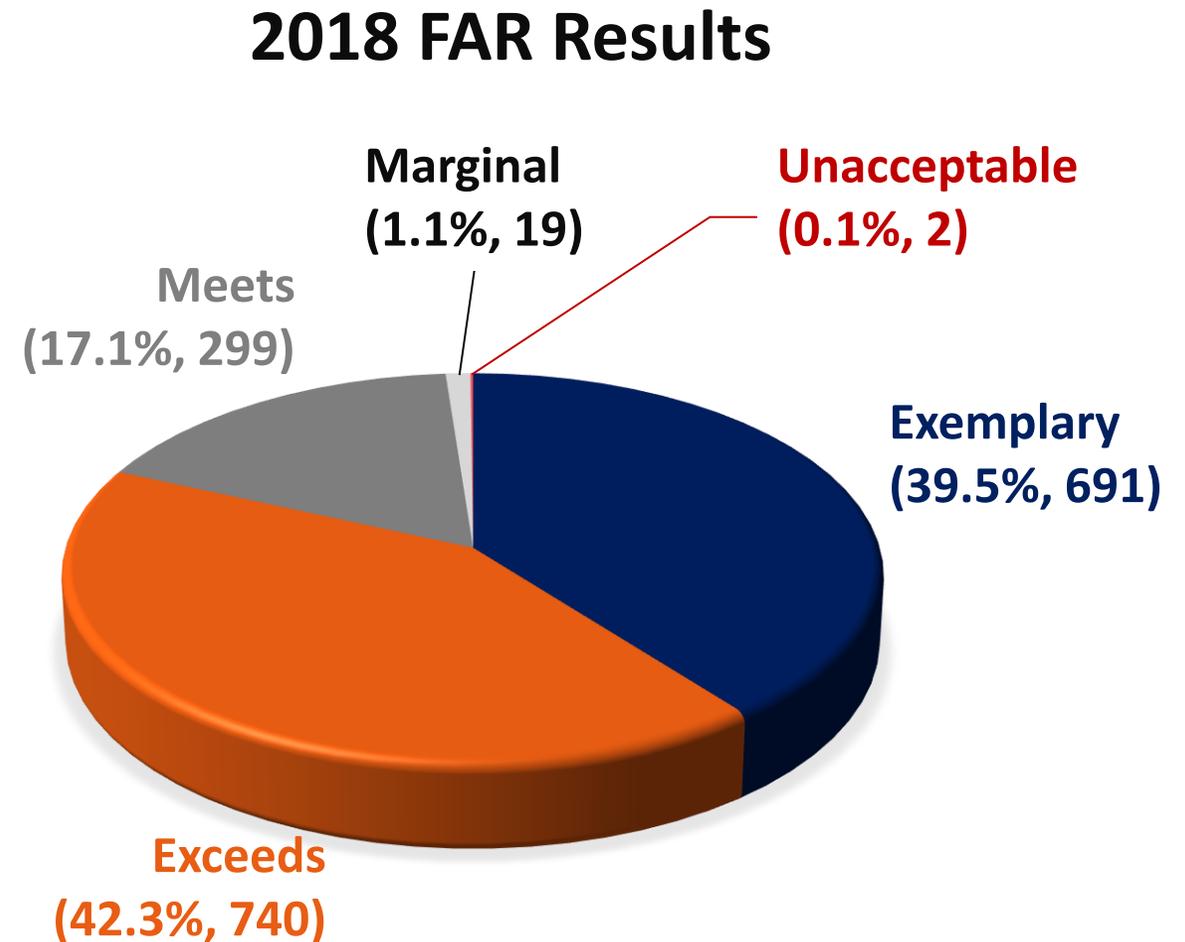
5. The University Post-Tenure Review Committee shall review the packet and provide the faculty member, unit's dean and unit's head/chair with a concise written summary of its review and a conclusion as to whether the faculty member's performance is deemed satisfactory.

# Recent Faculty Annual Review (FAR) Results

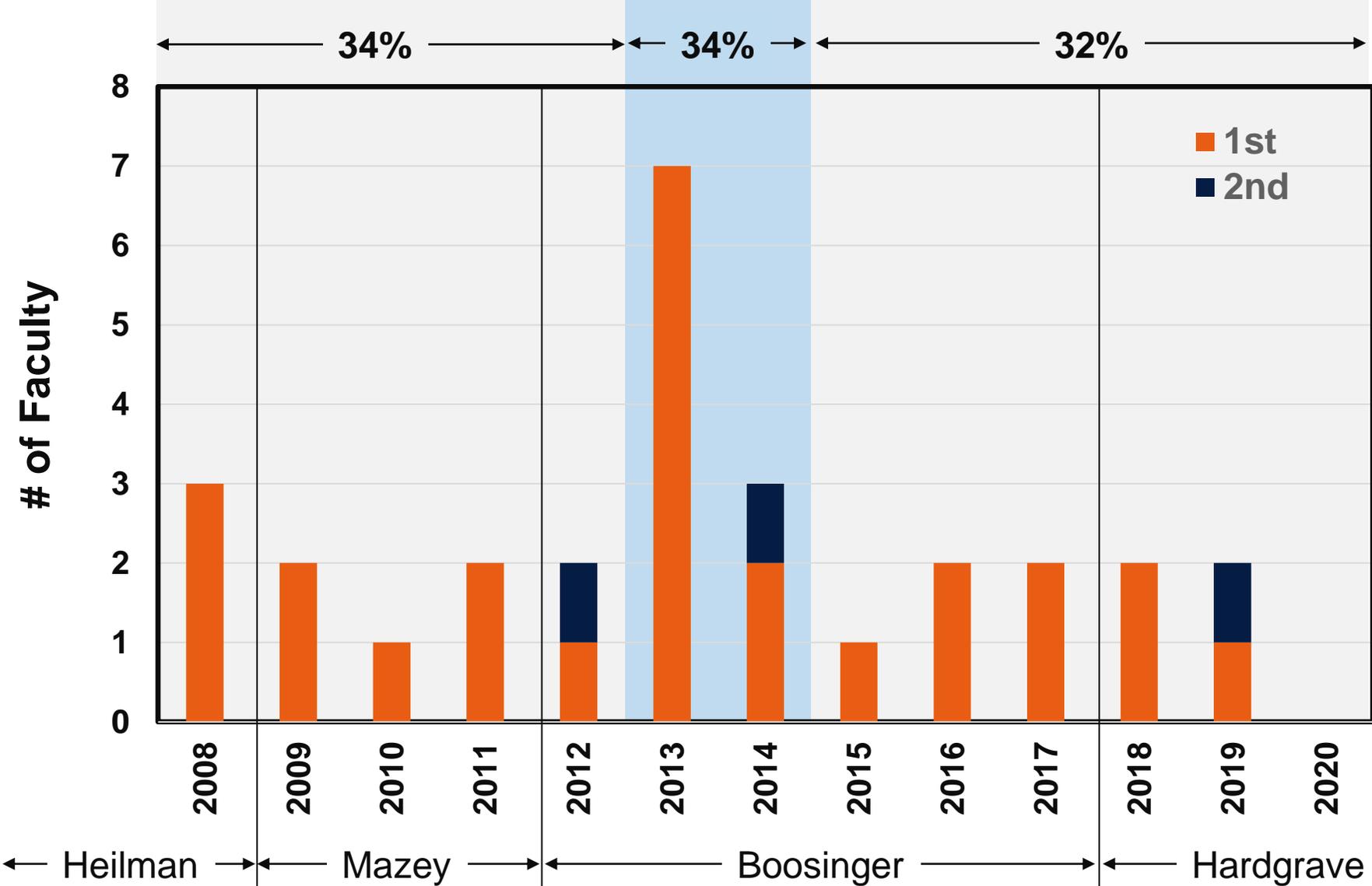
- Office of the Provost provided details of unsatisfactory ratings back to 2008.
- 1<sup>st</sup> set was very detailed data for 2018 through 2020.

	2018	2019	2020
<b>Exemplary</b>	<b>39.5%</b> (691)	<b>35.4%</b> (594)	<b>40.1%</b> (701)
<b>Exceeds</b>	<b>42.3%</b> (740)	<b>42.2%</b> (709)	<b>44.8%</b> (784)
<b>Meets</b>	17.1% (299)	21.1% (354)	14.1% (246)
<b>Marginal</b>	1.1% (19)	1.2% (20)	1.0% (18)
<b>Unacceptable</b>	<b>0.1%</b> (2)	<b>0.2%</b> (3)	<b>0.0%</b> (0)

~ 1750 Faculty members per year



# Overall Unsatisfactory Rating by Year



## Over 13 Year Period:

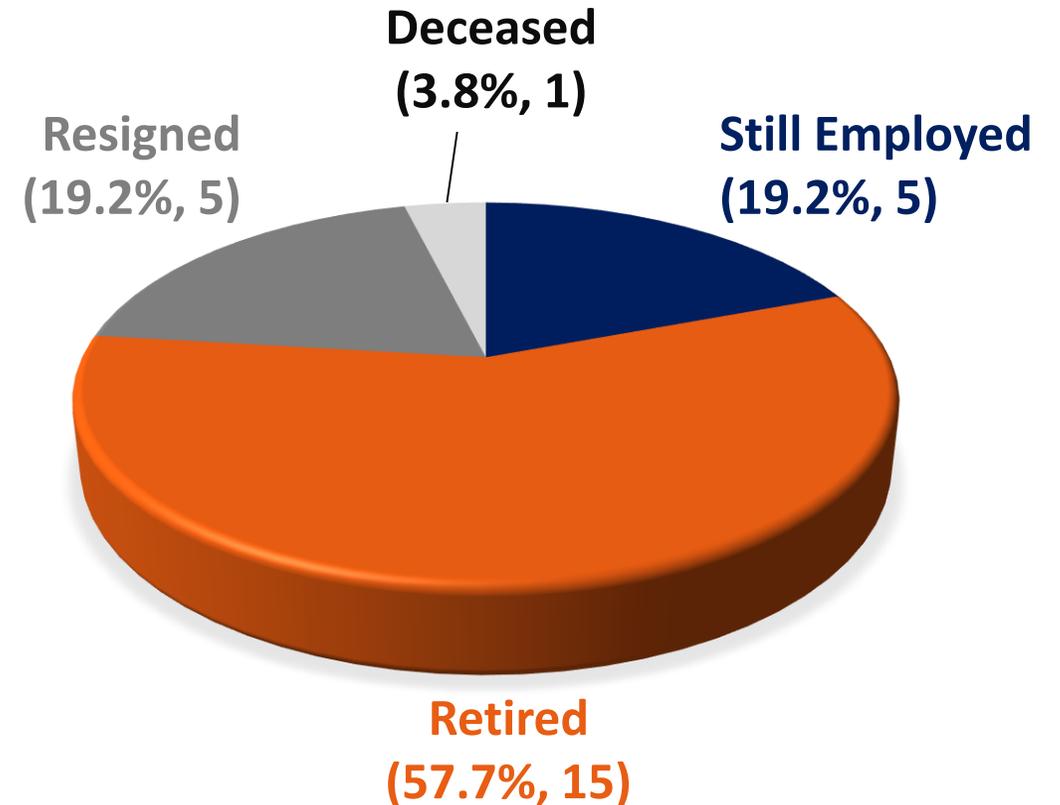
- 26 faculty members.
- 29 total unsatisfactory results.
- 3 cases where PTR was triggered.
- 3 regions.
- Provost Boosinger's FAR realignment.

# General Outcomes of PTR

- Outcomes of 3 PTR Cases

YEAR	OUTCOME
2012	Faculty member voluntarily retired after PTR was triggered and prior to the PTR review process.
2014	Faculty member successfully completed PTR review and is still employed.
2018	Faculty member voluntarily resigned after PTR was triggered and prior to the PTR review process.

- What were the outcomes after 1<sup>st</sup> unsatisfactory rating?



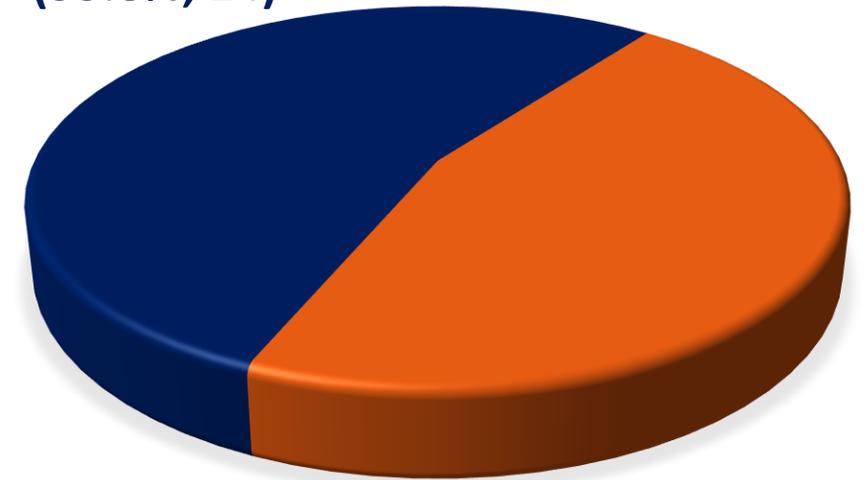
*(Includes the 3 triggered cases)*

# Outcome Time Frame

- What was the time frame relative to when the 1<sup>st</sup> unacceptable rating was earned and the outcome?
- Did the unsatisfactory rating play a role in the faculty members outcome?
- Years after 1<sup>st</sup> unsatisfactory rating
  - 0 to 3 : likely played a role
  - 4+ : likely did not play a role

## Outcome Time Frame

0 to 3 Years After  
(53.8%, 14)

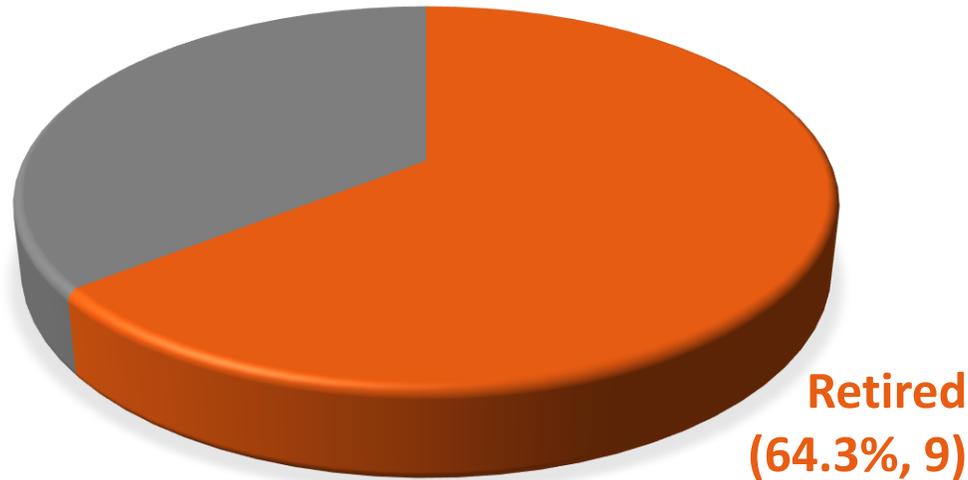


4 + Years After  
(46.2%, 12)

# PTR Relation to Outcome by Time Frame

## 0 to 3 year Outcomes (14)

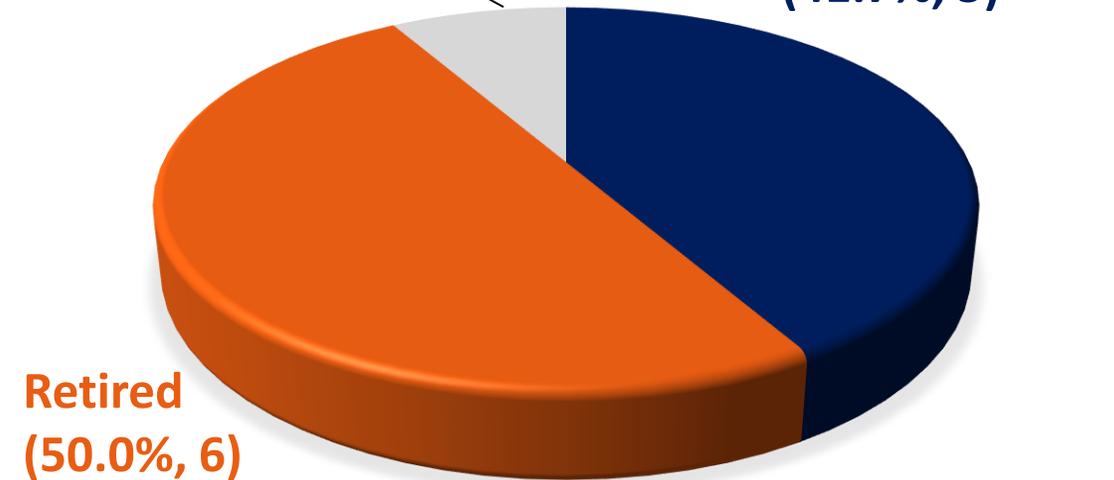
Resigned  
(36.7%, 5)



## 4+ Year Outcomes (12)

Deceased  
(8.3%, 1)

Still Employed  
(41.7%, 5)



### Likely Played a Role:

- 65% eligible to retire, 35% not
- Likely did not find success in improving metrics

### Likely did not play a role (all 5+ years):

- Had an *off* year
- Successfully improved metrics
- Successfully completed PTR Review

# Conclusions and Suggestions

- In general, the PTR and FAR processes appear to be working in identifying those faculty struggling to meet the performance expectations of their mission. However, the data suggests there is not sufficient follow-up on mentoring/rehabilitating faculty, which is a net loss for AU.
- Committee's suggestions for conducting PTR with increased fairness and accountability while improving faculty development and productivity:
  - 1) Mentoring Effort/Program: After 1<sup>st</sup> Unsatisfactory Rating
    - + Support faculty in improving performance metrics of their mission.
    - + Every faculty member lost is a loss of AU's investment in them.
  - 2) Analysis/Validation: Relative to unit's faculty after PTR is triggered
    - + Triggered PTR cases require a significant time commitment.
    - + First validate that the faculty member is indeed performing at an unsatisfactory level relative to the other unit's faculty.