

1. **Preamble - Objectives of a Cumulative Performance Review** - The objectives of a Cumulative Performance Review are to:
 - 1.1. provide an orderly process for conducting an enhanced review of post-tenure performance following negative rating(s) by the department head/chairⁱ;
 - 1.2. assist the faculty member and administration in working together to identify strategies for improvement;
 - 1.3. identify situations in which tenure termination proceedings may be necessary because performance improvement efforts do not result in performance that satisfies expectations.
2. **Events Triggering a Cumulative Performance Review** - A Cumulative Performance Review shall be triggered when a tenured faculty member receives:
 - 2.1. any one (1) overall "Unsatisfactory" annual performance rating (or campus equivalent for the lowest performance rating); OR
 - 2.2. any two (2) overall "Needs Improvement" annual performance ratings (or campus equivalent for the next-to-lowest performance rating) during any four consecutive years.
3. **Role of the Chief Academic Officer in Administering a Cumulative Performance Review-**
The CPR process shall be administered by the chief academic officer, who:
 - 3.1. maintains data related to annual performance reviews for all tenured faculty;
 - 3.2. provides written notice of the review to the faculty member (with copies to the department head/chair, dean, and faculty senate president);
 - 3.3. solicits nominees to serve on the CPR committee (see Sections 4 and 5 below).
 - 3.4. collects and provides to the CPR committee the performance records described in Section 6.1 below; and
 - 3.5. charges the CPR committee within 30 calendar days after the annual performance review has been finalized (whenever the review has been completed under campus procedures or practices).
4. **Criteria for Service on a CPR Committee** - The CPR committee shall be composed of five (5) tenured faculty members (one of whom serves as voting chair) who meet the following criteria for service on the committee:
 - 4.1. **Required Criteria:** Each committee member must:
 - 4.1.1. hold the same or higher rank as the faculty member undergoing review; and
 - 4.1.2. be familiar with the relevant academic discipline and with performance expectations for faculty in that discipline.
 - 4.2. **Expected Criteria:** To ensure diverse perspectives among its members, the CPR committee should include:
 - 4.2.1. three (3) faculty members who either hold tenure in the same department as the faculty member undergoing review OR, if the department does not include three (3) tenured faculty members eligible to serve, then three (3)

faculty members who hold tenure in the same college as the faculty member undergoing review;

4.2.2. one (1) faculty member whose tenure resides in a different department than the faculty member undergoing review; and

4.2.3. one (1) faculty member who currently serves (or who served during the most recent review cycle) on a college promotion and tenure review committee, if such a committee exists.

4.3. **Circumstances Preventing Committee Formation:** In the unusual event that an appropriate CPR committee cannot be assembled using the expected criteria in Section 5 below, the dean shall explain in writing the reasons why the expected criteria cannot be observed. The Chief Academic Officer shall grant final approval of the makeup of the CPR committee.

5. **Nomination and Appointment of CPR Committee Members** - Unless a campus has received approval of the Board of Trustees to implement a different procedure, the chief academic officer shall solicit nominations for membership on the CPR committee from the dean, department head, the faculty member under review, the faculty senate president, and the college promotion and tenure committee (if one exists). Consistent with the criteria for service on the CPR committee detailed in Section 4 above:

5.1. the dean nominates one (1) faculty member to serve as both chair of the CPR committee and as a voting member of the committee;

5.2. the department head/chair nominates three (3) faculty members eligible to serve, from whom the dean selects one (1) committee member;

5.3. the faculty member undergoing review nominates three (3) faculty members eligible to serve, from whom the dean selects one (1) committee member;

5.4. the faculty senate president nominates three (3) faculty members eligible to serve, from whom the dean selects one (1) committee member; and

5.5. if a departmental or college promotion and tenure committee exists, that committee nominates three (3) actively serving members, from whom the dean selects one (1) member for the CPR committee. If no promotion and tenure committee exists, the faculty member under review selects a department from which the dean selects a final committee member, so long as that member otherwise meets eligibility criteria in Section 4 above.

6. **Scope, Procedures, and Time Frames of the Cumulative Review**

6.1. **Review Documents** - with respect to the five-year scope of the cumulative review, the chief academic officer collects and provides to the CPR committee, who shall have sixty (60) calendar days to consider:

6.1.1. all annual evaluations and materials submitted or developed as part of the evaluation process for the faculty member under review;

6.1.2. materials submitted by the faculty member under review that fall within the five-year review period;

- 6.1.3. performance expectations, which may have been established in past reviews, in department or college bylaws, in the faculty handbook, or in Board of Trustees, fiscal, human resources, safety, or information technology policies or procedures;
 - 6.1.4. any work assignments, goals, or other plans (however identified) that were described in previous performance evaluations during the five-year review period;
 - 6.1.5. any additional materials requested by the CPR committee regarding the five-year review period, consistent with University policy and law regarding disclosure of University records.
- 6.2. **Conduct Interviews** – the CPR committee *may* conduct interviews. If the committee chooses to conduct interviews, both the faculty member undergoing review and the administrator who assigned the negative rating(s) should be given the opportunity to be interviewed. The unavailability of the faculty member or administrator for an interview during the review period does not constitute grounds for an extension.
- 6.3. **Single Extension of Time** – For extenuating circumstances, on a case-by-case basis, the chief academic officer may approve a written request from the CPR committee for an extension of time to complete its initial review. Only one extension will be granted per committee, and the chief academic officer shall determine the length of the extension.
- 6.4. **Voting and Presentation of Recommendations** – The CPR committee shall make and report findings and recommendations using the following standards:
- 6.4.1. Any committee finding or recommendation shall be adopted by a simple majority vote, except that a recommendation that termination proceedings be initiated requires the agreement of at least four (4) members of the committee.
 - 6.4.2. All voting shall be made by collecting anonymous ballots from all members. No member of the committee may abstain or recuse him/herself from voting once the committee has been charged.
 - 6.4.3. The committee’s written report must explain the committee’s findings and conclusions, the rationale for each, and the corresponding vote count if findings are not unanimous. The committee’s report shall be issued to the chief academic officer, the dean, the head/chair, and the faculty member under review.
 - 6.4.4. The dean, chief academic officer, and faculty member under review have the opportunity to respond to the report. The final report to the Chancellor should include any rebuttal by the faculty member as well as any additional recommendations by the dean and chief academic officer.
- 6.5. **Written Report** – within seventy-five (75) calendar days of its charge, the CPR committee shall provide a written report as described in Section 6.4.3.
- 6.6. **Written Response to the Initial Report** – the faculty member shall have fourteen (14) calendar days to provide a written rebuttal. The committee’s report shall also be made

available to the chief academic officer, the dean, and the head/chair, who may provide additional recommendations during the same fourteen (14) day period.

- 6.7. **Final Report** – The final report, including any rebuttal by the faculty member under review and any additional recommendations by the dean and chief academic officer, shall be collected by the chief academic officer and presented to the Chancellor for review and action.
- 6.8. **Review and Action by the Chancellor** – Once the Chancellor receives the final written report, along with a rebuttal or additional recommendations, s/he shall provide a written explanation of the rationale for his/her conclusions and actions, his/her final decision, and outline the next steps of action. This explanation shall be maintained in faculty records by the chief academic officer, with copies provided to the faculty member, dean, department head/chair, and CPR committee.

7. **Findings and Recommendations within the Authority of the CPR Committee**

- 7.1. **CPR Committee finding of “satisfies expectations”** A recommendation by the CPR Committee that the faculty member satisfies expectations requires a simple majority vote. If the CPR committee finds that the performance record satisfies expectations, the committee shall conclude its work by explaining that finding in a written report, as outlined in Sections 6.4.3, 6.5, 6.6, and 6.7. The Chancellor may accept the CPR committee’s findings and recommendations or make different findings, and shall explain in writing the rationale for his/her conclusions and actions, as outlined in Section 6.8.
 - 7.1.1. If the Chancellor finds that the performance under review satisfies expectations, the CPR process will be concluded. The Chancellor’s written explanation should identify any need to modify past performance ratings and any corresponding across-the-board raises.
 - 7.1.2. If the Chancellor finds that – contrary to the CPR committee’s conclusion – the performance under review *fails to satisfy expectations*, the Chancellor may take further action as s/he deems appropriate, including initiating tenure termination proceedings, pursuant to this policy.
- 7.2. **CPR Committee finding of “fails to satisfy expectations”** If the CPR committee finds that the performance record fails to satisfy expectations, the committee may recommend *either* that termination proceedings be initiated or that a CPR improvement plan be implemented.
 - 7.2.1. **CPR committee recommends that termination proceedings be initiated:** A recommendation by the CPR committee that termination proceedings should be initiated requires the support of at least four (4) members of the committee. The CPR committee shall provide a written report as outlined in Sections 6.4.3, 6.5, 6.6, and 6.7. The Chancellor may accept the CPR committee’s findings and recommendations or make different findings, providing a written explanation as outlined in Section 6.8.
 - 7.2.2. **CPR committee recommends a CPR improvement plan:** A recommendation by the CPR Committee to implement an improvement plan requires a simple majority vote. The CPR committee shall provide a written report as outlined in Sections

6.4.3, 6.5, 6.6, and 6.7. The Chancellor may accept the CPR committee's findings and recommendations or make different findings, providing a written explanation as outlined in Section 6.8.

7.2.2.1. If the Chancellor agrees that a CPR improvement plan should be implemented, s/he shall refer the matter to the chief academic officer for continued administration under this policy.

8. Administration of a CPR Improvement Plan

- 8.1. **Use of CPR:** Only one CPR improvement plan may be offered to a faculty member during a given CPR process; however, the CPR process *may be* implemented more than once during a faculty member's career.
- 8.2. **Duration of CPR:** The CPR improvement plan may extend no more than eighteen (18) months from the time it is implemented by the dean or chief academic officer.
- 8.3. **Notification of CPR:** The Chancellor shall promptly notify the faculty member under review, the department head/chair, the dean, and members of the CPR committee that a CPR improvement plan is to be developed using the procedures in this section.
- 8.4. **Development of the CPR Improvement Plan:** The department head/chair, in conjunction with the CPR committee, dean, and chief academic officer, has forty-five (45) days to draft the improvement plan.
 - 8.4.1. If, after forty-five (45) days, the department head/chair and CPR committee cannot agree on an improvement plan, (as voted by simple majority) the committee's recommendation will default to a finding that the faculty member's performance *satisfies expectations*.
- 8.5. **Approval of the CPR Improvement Plan:**
 - 8.5.1. Once a CPR improvement plan has been adopted, the faculty member under review shall be given one opportunity fourteen (14) calendar days to comment on the plan and propose modifications.
 - 8.5.2. In response to any modifications proposed by the faculty member, the CPR committee must consider and adopt/reject the proposed modifications within fourteen (14) calendar days of receiving them from the faculty member.
 - 8.5.3. The committee finalizes the CPR improvement plan and forwards the final plan to the dean for implementation, with copies to chief academic officer, department head and faculty member undergoing CPR implementation.
- 8.6. **Completion of the Improvement Plan:** At the end of the time allotted for the CPR improvement plan, the CPR committee shall reconvene to review performance under the plan, and to decide whether the performance under the plan (in the context of the full five-year review period) satisfies expectations or fails to satisfy expectations.
 - 8.6.1. *CPR Committee finding of "satisfies expectations":* If the CPR committee finds that the performance record satisfies expectations, the committee shall conclude its work by explaining that finding in a written report, following the procedures outlined in Sections 6.4.3, 6.5, 6.6, and 6.7. The Chancellor may accept the CPR

committee's findings and recommendations or make different findings, providing a written explanation as outlined in Section 6.8.

- 8.6.2. *CPR Committee finding of "fails to satisfy expectations"*: If the CPR committee finds that the performance record after the CPR improvement plan fails to satisfy expectations (by at least a simple majority), the committee shall conclude its work by explaining that finding in a written report, following the procedures outlined in Sections 6.4.3, 6.5, 6.6, and 6.7. The Chancellor may accept the CPR committee's findings and recommendations or make different findings, providing a written explanation as outlined in Section 6.8.

^{i i} Many terms throughout this document are used generically. "The University" refers to The University of Tennessee System. "Campus" refers to the Knoxville campus, the Health Science Center, the UT Institute of Agriculture, the UT Space Institute, UT at Chattanooga, and UT at Martin. "Chancellor" refers to the Chancellor or Vice President of the unit. "Department" refers to the smallest academic unit (in some cases a "college," "school," or "division"); similarly, "department head" refers to "chair," "director," or "Dean" as appropriate. "Faculty Senate" refers to the campus governance body of elected faculty members and "Faculty Senate Executive Committee" refers to that committee or its comparable group of elected Senate officers. "Chief Academic Officer" refers to the campus provost, academic vice chancellor, or, Dean, etc. "Bylaws" includes written policies, procedures, standards, rules, guidelines, etc.