SOM OP: 20.20, Faculty Evaluation Guidelines and Procedures

PURPOSE: The purpose of this School of Medicine (SOM) Policy and Procedure is to foster development of faculty talents and achievements, improve communication and teamwork between the Chair and department faculty, stimulate self-evaluations, and enhance quality improvement.

APPROVAL: This policy was approved by the Faculty Council Executive Committee on January 6, 2015.

REVIEW: This SOM Policy and Procedure will be reviewed on August 1 of each even-numbered year by the Policy Review Subcommittee of the Faculty Council Executive Committee, with recommendations for revision forwarded to the Dean by the last day of October.

POLICY/PROCEDURE:

1. General. In order to foster development of faculty talents and achievements, improve communication and teamwork between the Chair and department faculty, stimulate self-evaluations, and enhance quality improvement, it is important to conduct yearly faculty reviews. It is important for each faculty member to document his or her activities and accomplishments for the past calendar year and to review progress and set goals for the coming year with the departmental chair. This document does not alter the procedures established in the SOM Guidelines for Tenure and Promotion or any ordinary contract obligations.

2. Purpose of Annual Faculty Evaluation.
   a. The annual faculty evaluation is intended to foster faculty accomplishments suitable to the goals and mission of the department and school in areas including teaching and self-development, scholarship, clinical service, academically-related public service, and revenue.
   b. It provides documentation of such accomplishments for the purpose of career advancement and ensure self-review.
   c. Annual evaluation enhances teamwork and performance by communication and identification of goals.

3. Criteria. The responsibilities of the university dictate, to a major extent, the responsibilities of the individual faculty member. Therefore, faculty members are responsible for teaching, scholarship, clinical activities, and academically-related public service to the profession, university, and community. Performance in these four areas of responsibility will provide the basis for the evaluation of faculty members. In making
individual evaluations, consideration should be given to standards expected of faculty members in similar fields of study in institutions of higher education comparable to this University in terms of mission and goals.

4. Procedures. One of two standardized procedures and format will be followed: 1) faculty members will update Digital Measures, which will generate their reports, or 2) faculty members will provide self-reports using SOM OP 20.20.A, Faculty Activities and SOM OP 20.20.B, Faculty Goals. The faculty member and chair will jointly assess the priority each of these areas is given in considering that faculty member’s contributions to the department. This should be explicitly addressed at the time of faculty review. These procedures include:

a. Faculty Activities Report Format: Faculty will prepare self-reports based on the past calendar year using SOM OP 20.20.A, Faculty Activities. These exhibits have the following headings:

   1) Area of Excellence
   2) Area(s) of Meaningful Participation
   3) Workload Information
   4) Faculty development activities
   5) General Awards and Honors
   6) Teaching
   7) Scholarship (publications, presentations, innovations, collaborations)
   8) Clinical Service (omit for non-clinical faculty)
   9) Academically-Related Public Service

b. Faculty Goals Format: Faculty will prepare goals for the upcoming calendar year using SOM OP 20.20.B, Faculty Goals. These exhibits have the following headings:

   1) Area of Excellence
   2) Area(s) of Meaningful Participation
   3) Workload Information
   4) Teaching
   5) Scholarship
   6) Clinical Service
   7) Academically-Related Public Service
   8) Continuing Education and Personal Development

The following descriptions are to assist the faculty member in considering and reporting his or her accomplishments for the past calendar year and upcoming goals. Individuals may adapt this general approach as necessary to completely report their activities and goals.
1) **Faculty Development Activities/Continuing Education and Personal Development.** This includes participation in Faculty Development programs, continuing education, and other Faculty development activities (a course to learn a new research or surgical technique, for instance) should be documented here.

2) **General Awards and Honors.** Honors, awards, and revenue related to this area should be noted. (not applicable for Faculty Goals Report)

3) **Teaching.** Faculty members should indicate hours and types of teaching activities for the past calendar year. Types of activities to be considered include lectures (undergraduate, graduate, resident, community), seminars, preceptorships, mentoring, discussion groups, small group sessions, etc. Those with heavy teaching or teaching administrative loads may wish to prepare an “hour’s summary” and prepare and maintain a “teaching portfolio”. Course/clerkship directors should also document any special teaching initiatives, development of innovative methods, interdepartmental collaboration in teaching, and so forth and should provide a succinct narrative summary describing their accomplishments. Clinical teachers will need to explicitly indicate total hours of attending/teaching as well as seminar/lecture/small group teaching. Post-doctoral and resident mentoring should be addressed. Invited lectures would be addressed here. Regular records of teaching activities (by nature of effort and time required) should be kept by each faculty member on a weekly or monthly basis to facilitate documentation. Reviews of teaching by students/residents, etc. should be addressed in this section. Awards and honors related to these areas should be included.

4) **Scholarship.** All publications, grants (including submitted, pending, approved but not funded, etc.), works in progress, collaborations, presentations, abstracts, innovations should be reported. A brief statement of overall focus or impact of the research/scholarly activity is important. It is important to indicate and describe inter-departmental collaborative efforts. Work initiated during the past calendar year, work in progress, work completed during the year, and work published/reported during the year should be reported. Awards and honors related to these areas should be included. Peer-reviewed and other grants and funding related to these efforts should be noted. Revenue/grants related to educational efforts should be noted.

5) **Clinical Service.** This includes clinical contributions, activity, productivity, special clinical services, special clinical initiatives and related areas during the past calendar year should be addressed. Special contributions (such as performing a needed but uncompensated clinical service) should be addressed here. Special honors, awards, and revenue should be noted.

6) **Academically-Related Public Service.** This section entails all committee work, administrative, community and University service work for the past calendar year should be reported. Special accomplishments as Chair or Director (etc.) should be briefly described. Professional community service and volunteer work should also be reported here. This can include state and national service on committees, site reviews, organizational committees and offices, etc. Awards and honors related to these areas should be mentioned. Revenue related to these efforts should be noted.
5. **Timing.**

   a. Notices will be mailed to the Campus Chairs on January 1.

   b. In the first year of employment (or first review), the faculty member will only be asked to submit a completed SOM OP 20.20.B, Faculty Goals form by February 1.

   c. In subsequent years, both SOM OP 20.20B, Faculty Goals and SOM OP 20.20.A, Faculty Activities forms will be submitted to the Campus Chair or designee by February 1 with an updated curriculum vitae.

   d. As described below the Chair or designee will complete the SOM OP 20.20.C, Faculty Summary Review Report, which will be reviewed in person with the faculty member. Both will sign to document the discussion no later than March 15.

   e. SOM OP 20.20.D, Faculty Evaluation Confirmation, signed by both the Chair or designee and faculty member will be due in the Office of Faculty Affairs and Development by March 15.

6. **Process.**

   a. The Campus Chair, assisted by Division Chiefs or other designee if appropriate, will review this information and prepare SOM OP 20.20.C, Faculty Summary Review Report (maximum of one-page typed) of the faculty member’s goals and activities. The Campus Chair may also consider performance for the three previous years.

   b. SOM OP 20.20.C, Faculty Summary Review Report, will be reviewed by the Chair or designee in person with the faculty member, and both will sign to document the discussion.

   c. A faculty member may submit in writing a clarification/rebuttal, SOM OP 20.20.C.1, Faculty Clarification/Rebuttal of Faculty Summary Review Report, which will become part of SOM OP 20.20.C, Faculty Summary Review Report. SOM OP 20.20 C.1, Faculty Clarification/Rebuttal of Summary Review Report, will be reviewed by the Chair or designee in person with the faculty member, and both will sign to document the discussion. Copies of both SOM OP 20.20.C and SOM OP 20.20.C.1 are to be retained by the faculty member and the Campus Chair.

   d. Less than satisfactory reviews will be submitted to the Associate Dean of Faculty Affairs and Development, and (for tenured faculty) to the Post Tenure Peer Review Committee, in accordance with the Comprehensive Performance Evaluation of Tenured Faculty policy.

   e. The SOM OP 20.20.C, Faculty Summary Review Report, will remain confidential for review only by the faculty member reviewed, the Campus Chair, Division Chief, and the (Regional) Dean, unless there is signed approval by the faculty member.

   f. According to HSC OP 60.03, Attachment D, 2.b., the Faculty Summary Review Report will be submitted by the faculty member for Post Tenure Review and will be reviewed by the Post Tenure Peer Review Committee.

   g. Campus Chairs will submit a signed SOM OP 20.20.D, Faculty Evaluation Confirmation, to the Office of Faculty Affairs and Development immediately on completion of the evaluation.
h. Campus Chairs will also submit SOM OP 20.20.E, Department Faculty Research and Scholarly Activity, to the Office of Faculty Affairs and Development.

7. **Recognition.** Performance evaluations on annual review will provide data for use in the recognition of faculty performing well, including salary recommendations, merit salary increases, salary bonuses, research support, nominations for awards, academic recognition, development leaves, and other rewards.

8. **Faculty Mediation Process.** The Faculty Council Executive Committee shall identify and select *ad hoc* Faculty Mediators who are senior (preferably tenured) faculty members, one of whom will be available to be called upon for review of any situation where the faculty member has any concerns about his or her review. The goal of this process will be to improve communication and fairness without resorting to an adversarial situation. Such mediation should occur promptly. The following procedures will be followed:

   a. If a faculty member has any concerns about his/her review, the faculty member may contact the current Faculty Council Executive Committee Chair to arrange for one of the Faculty Mediators to discuss the situation. The Faculty Mediators shall be empowered to speak on behalf of the faculty member to the Chair (or Dean) as desired by the faculty member and warranted by the situation.

   b. When resolution of the concerns by this process results in a favorable change in chair assessment, suitably revised review forms will be substituted in the files and copies made available to the faculty member and department.

   c. When resolution is not achieved, the faculty member may refer to SOM OP 20.10, Faculty Grievances.

**ATTACHMENTS**

SOM OP 20.20.A, Faculty Activities

SOM OP 20.20.B, Faculty Goals

SOM OP 20.20.C, Faculty Summary Review Report

SOM OP 20.20.C.1, Faculty Clarification/Rebuttal of Faculty Summary Review Report

SOM OP 20.20.D, Faculty Evaluation Confirmation

SOM OP 20.20.E, Department Faculty Research and Scholarly Activity