



**SOM OP:** 20.23, **SOM Comprehensive Performance Evaluation of Tenured Faculty**

**PURPOSE:** The purpose of this School of Medicine (SOM) policy is to establish procedures and provide guidance for the evaluation of tenured faculty during Post Tenure Review.

**REVIEW:** This SOM Policy and Procedure will be reviewed within each even-numbered fiscal year by the Post Tenure Peer Review Committee and the Faculty Council Executive Committee. Revisions will be forwarded to the Office of the Dean for approval and publication.

**POLICY/PROCEDURE:**

1. **General.** This policy is intended to provide procedures for comprehensive evaluation of tenured faculty. The purpose of comprehensive evaluation of faculty is to provide guidance for continuing and meaningful faculty professional development; to enable faculty to enhance professional skills and achieve professional goals; to refocus academic and professional efforts, when appropriate; to ascertain that faculty members are meeting their responsibilities to the University and the State of Texas; and to comply with [Texas Education Code, §51.942](#), as amended or modified, and [HSC OP 60.03, Comprehensive Performance Evaluation of Tenured Faculty](#).
2. **Criteria for Review.**
  - a. Procedures will be followed according to [SOM OP 20.23.A, Post Tenure Peer Review Timeline](#).
  - b. Post Tenure evaluations shall be conducted once every six (6) years after the date the faculty member is granted tenure. Administrators with academic appointments who are subject to review under other policies or customary faculty duties are subject to comprehensive evaluation within six (6) years of the date of return to active faculty service.
  - c. The clock will restart for all tenured faculty members receiving a promotion or appointment to an endowed position.
  - d. The clock will be adjusted by one-year increments for faculty having had an approved absence (one year for each year or fraction of a year greater than six months).
  - e. Tenured faculty who go on less than a full-time appointment no longer hold their tenure and will not be subject to review (*Full-time* ≥ 75%).
3. **Materials Submitted by Faculty Member.**
  - a. Personal Statement with highlights/explanations (two type-written pages maximum; templates available upon request)
    - 1) Should include an estimate of percentage of time devoted to the four categories of Teaching, Scholarship, Clinical Service and Academically-Related Public Service activities (assigned percentages should add up to 100%). Description and number of hours spent in these areas is optional. Departmental assignments such as directing courses, clerkships, residency programs, graduate programs, departmental research, etc. and service on institutional committees should be considered part of one of these categories and assigned appropriately.
    - 2) Persons with official part-time administrative positions named by the Dean (chairs and assistant, associate and regional deans) should also provide an estimate of percentage time devoted to these administrative duties and time devoted to faculty duties. Letters from the

appropriate Dean evaluating the performance of these administrative duties would be beneficial for the overall evaluation of performance.

- b. Current CV.
- c. [SOM OP 20.20.A, Faculty Summary Report and Confirmation](#) from each Annual Faculty Evaluation for the past six (6) years. If not available, faculty member should explain why in the Personal Statement.
- d. Student/Resident evaluations of teaching for no more than the past six (6) years.

**4. Evaluation Procedure.** Materials will be submitted to the Office of Faculty Affairs and Development (OFAD).

- a. Submissions will be recorded in the order they are received.
- b. The deadline for submission of required material is July 15 with September 1 being the deadline for submission of supplemental material.
- c. The OFAD will check submissions to make certain they contain the required material and notify the Chair of the Peer Review Committee (PRC) of any omissions. The PRC chair will send out memos requesting submission of any missing material.
- d. The OFAD will send a list of all faculty up for review who have not submitted material on schedule to the PRC Chair, and he/she will notify these individuals reminding them of the deadline.
- e. The Dean and the department chair will be notified of any delinquencies existing as of July 31 unless a requested extension is acted on favorably by the PRC Chair.
- f. The OFAD will submit materials to the assigned Review Team according to the list of teams provided by the PRC Chair.
- g. Each Review Team will be composed of one member who is a like peer and the other member will be determined by the PRC Chair.
- h. If there is a conflict of interest or reason for recusing that team (same department on same campus, etc.), the submission will be assigned to the next team in order.

**5. The Basis of the Review.**

- a. [Faculty Summary Report and Confirmation \(SOM OP 20.20.A\)](#) for annual faculty evaluations should be viewed with several considerations.
  - 1) Stated goals should be realistic and consistent with the departmental mission.
  - 2) Achievements should be in line with goals.
  - 3) Contributions to the institution should be considered as strongly as those to the department.
  - 4) The evaluation shall also include a rating (yes or no) indicating the faculty member's compliance with TTUHSC policies, procedures and work rules.
  - 5) There should be sensitivity to possible conflicts between a faculty member and his/her department chair that might influence [the Faculty Summary Report and Confirmation \(SOM OP 20.20.A\)](#) for annual faculty evaluations.
  - 6) The absence of [Faculty Summary Report and Confirmation \(SOM OP 20.20.A\)](#) due to failure by the department chair to perform them should not be prejudicial to the faculty member (see paragraph 3.c.).

- b. The Curriculum Vitae should be used as an additional source of information in the evaluation of specific areas of performance.
- c. Student/Resident evaluations of teaching should be used as an index of quality to supplement the quantitative information.
- d. The Personal Statement should be used as supplemental information with the caveat that it was written by the faculty member, biased in his or her own behalf. It may help to resolve areas of uncertainty or suggest additional material to be solicited.
- e. Part-time administrators and department chairs.
  - 1) Must be reviewed in same manner as all others but only in terms of their performance as faculty provided that their administrative performance is evaluated annually through other means.
  - 2) Consideration should be given to the constraints on their time imposed by their other duties and responsibilities.
- f. Outcome given will be Satisfactory or Remediation Needed. The Outcome should be based on the overall picture with the consideration that excellence or extensive involvement in all areas is not required. The performance should be viewed in terms of the goals projected by the faculty member.

## 6. Team Review and Reports.

- a. Each member will review a submission, complete [SOM OP 20.23.B, Peer Review Report \(Individual\)](#), and submit the report to OFAD. (Individual reviewer's signature not required).
- b. The OFAD will distribute the [SOM OP 20.23.B, Peer Review Report \(Individual\)](#), to the appropriate Review Team members. If necessary, the two members will reconcile differences and prepare [SOM OP 20.23.C, Peer Review Report \(Team\)](#).
  - 1) Members have the option to request additional materials from the faculty member being reviewed. This should be requested through the PRC Chair to maintain confidentiality.
  - 2) [SOM OP 20.23.C, Peer Review Report \(Team\)](#) will be forwarded to OFAD in Word format by the Primary Reviewer. The e-mail with cc: to the Secondary Reviewer, will serve as the Primary & Secondary's signatures.
  - 3) If differences between the individual reviewers cannot be reconciled sufficiently to prepare the Team Report ([SOM OP 20.23.C](#)), the two Individual Reports ([SOM OP 20.23.B](#)) will be forwarded to the PRC Chair.
  - 4) The reviewers will not be identified on any reports going out from the PRC.
  - 5) The PRC Chair will compile [SOM OP 20.23.D, Comprehensive Performance Evaluation Report](#), from the Team Report.
- c. OFAD will maintain a file of all Comprehensive Performance Evaluation Reports ([SOM OP 20.23.D](#)).
  - 1) The PRC will consider and vote on each report. The outcome will either be Satisfactory or Remediation Needed.
  - 2) The PRC Chair will disseminate [SOM OP 20.23.D, Comprehensive Performance Evaluation Report](#) to individual faculty (no later than October 15) and subsequently (no later than December 1) to the chair of the department, the Dean of the School of Medicine, the Regional Deans, if appropriate, and the TTUHSC President.

**7. Actions Based on the Comprehensive Performance Evaluation Report.**

- a. Faculty wishing to appeal a decision must file a written notice accompanied by pertinent documentation supporting the appeal with the PRC Chair within ten (10) working days according to the [HSC OP 60.03, Attachment D, SOM Peer Review of Tenured Faculty](#).
- b. The PRC will consider all appeals preferably within ten (10) working days of receiving notification of appeal or as soon as a quorum of the PRC can be convened. The PRC will then formulate a final report including any revisions suggested by this meeting.
- c. The PRC Chair must approve any deviation from this timeline.

**8. Professional Development Plan.**

- a. The department chair, in consultation with the faculty member and the Associate Dean for Faculty Affairs and Development, will establish a specific Professional Development Plan (PDP) using [SOM OP 20.23.E, Professional Development Plan](#), covering a period of time not to exceed two (2) years and based on the recommendations of the PRC. Developmental procedures will be standardized.
- b. The PDP will be submitted to the PRC and the Dean of the School of Medicine for final approval preferably within 20 working days.
- c. Two representatives from the PRC will review all progress reports and make recommendations to the PRC.
- d. The PRC as a whole will review all final reports and the vote of the committee will be forwarded to the Dean.
- e. Voting by PRC members will be done by secret ballot and tabulated by the PRC Chair.

**9. Full Committee Meetings.**

- a. A quorum (50% + 1 being present) is required to conduct business and a majority vote of those present will carry decisions.
- b. The PRC Chair will be responsible for calling meetings of the full Committee.
- c. An initial meeting will be held to present an overview of the peer review process as presented in [HSC OP 60.03, Comprehensive Performance Evaluation of Tenured Faculty](#) and this policy for the committee and approve changes if needed. Confidentiality will be discussed and conflicts of interests will be determined at the initial meeting and certification forms signed. A Vice Chair (Chair-elect) will be elected.
- d. The PRC Chair will be responsible for keeping the Committee updated on the progress being made.
- e. Minutes will be taken at each meeting by OFAD staff and distributed to PRC members. PRC members will not be identified individually in association with comments made during sensitive discussions. The OFAD will retain minutes of the meetings.

**10. Confidentiality:**

- a. All materials will be kept confidential.
- b. For those undergoing Professional Development, records will be maintained until that process has been satisfactorily completed.
- c. Copies of the Comprehensive Performance Evaluation Reports will be maintained in the OFAD in accordance with Institutional Policy and Federal and State regulations.

- d. Names of reviewers will be stricken from all reports released by the PRC.

**11. Responsibilities of PRC Chair:**

- a. Includes Vice-Chair on all processes and meetings to prepare him/her for the next year.
- b. Makes certain that all faculty to be reviewed in any year are notified in writing prior to January 15.
- c. Convenes a meeting of the PRC early in the year to orient new members, elect a Vice-Chair (Chair-elect), and review the process.
- d. Makes up the list of reviewing teams.
- e. Makes certain that the process follows the procedures and schedule defined in this policy
- f. Sends out additional memos to faculty under review.
  - 1) Reminder notifications on July 15 to faculty who have not submitted the required material.
  - 2) Notification to Department Chair and Dean of faculty failing to submit material as scheduled.
  - 3) Memo to Dean listing faculty who fail to submit material by August 1 in the absence of an extension granted by the Committee.
  - 4) Memos related to submission of additional material as necessary.
  - 5) Memo related to appeals as necessary.
- g. Makes periodic reports to the Faculty Council Executive Committee.
- h. Requests the appointment by the Faculty Council Executive Committee of replacement members for the PRC as necessary.
- i. Prepares the Comprehensive Performance Evaluation Report for distribution to the faculty that were reviewed no later than October 15.
- j. Prepares the Comprehensive Performance Evaluation Report for distribution to the Administration no later than December 1.
- k. Makes certain the process and documents are reviewed at the end of the year and that a report to include recommendations for possible changes is submitted to the Faculty Council Executive Committee prior to the January meeting of that committee.
- l. Makes certain that the Faculty Council Executive Committee has made new appointments to the PRC by December of each year.

**ATTACHMENTS:**

[SOM OP 20.23.A, Post Tenure Peer Review Timeline](#)

[SOM OP 30.23.B, Peer Review Report \(Individual\)](#)

[SOM OP 20.23.C, Peer Review Report \(Team\)](#)

[SOM OP 20.23.D, Comprehensive Performance Evaluation Report](#)

[SOM OP 20.23.E, Professional Development Plan](#)