



TEXAS TECH UNIVERSITY
HEALTH SCIENCES CENTER™

School of Medicine

Operating Policy and Procedure

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 enhance professional skills and achieve professional goals; to demonstrate academic and professional efforts; to ascertain that faculty members are meeting their responsibilities to TTUHSC and the State of Texas; and to comply with [Texas Education Code, §51.942](#), as amended or modified, and policies of the Board.
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 in the fifth (5th) year of the 6-year tenure cycle, after the date the faculty member is granted tenure. Conducting the review in the 5th year allows for a one (1) year remediation period, should remediation be necessary. Administrators with academic appointments who are subject to review under other policies or customary faculty duties are subject to comprehensive evaluation within five (5) years of the date of return to active faculty service for a remediation period in the 6th year, if needed.
 - 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.**

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 (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 five (5) 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 five (5) years.

4. **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. The PRC will evaluate in the context of the faculty member's effort statement which will include an estimate of percentage of time devoted to the four categories of Teaching, Scholarship, Clinical Service and Academically-Related Public Service activities.
- e. Part-time administrators and department chairs.
 - 1) Must be reviewed in the 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.

5. Evaluation Procedure.

- a. Materials will be submitted to the Office of Faculty Recruitment, Affairs and Development (OFRAD). The deadline for submission of required material is March 1.
- b. The OFRAD will check submissions to make certain they contain the required material and notify the Chair of the Post Tenure Peer Review Committee (PTPRC) of any omissions. The PTPRC chair with the assistance of the OFRAD will send out memos requesting submission of any missing material.
- c. The Associate Dean of OFRAD and the department chair will be notified of any delinquencies existing as of March 1 unless a requested extension is acted on favorably by the PTPRC Chair.
- d. The OFRAD will submit materials to the assigned Review Team according to the list of teams provided by the OFRAD and the PTPRC Chair.
- e. Each Review Team will be composed of two committee members, one of whom must be in the same category (basic or clinical) as the faculty member being evaluated as determined by the PTPRC Chair.
- f. If there is a conflict of interest or reason for a committee member to be recused (same department on same campus, faculty to whom they are related, etc.), the submission will be assigned to the next committee member.

6. Team Review and Reports.

- a. Each committee member will review a submission, complete [SOM OP 20.23.B, Peer Review Report \(Individual\)](#), and submit the report to OFRAD. (Individual reviewer's signature not required).
- b. The OFRAD will distribute the [SOM OP 20.23.B, Peer Review Report \(Individual\)](#) reports, 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 PTPRC Chair to maintain confidentiality.
 - 2) [SOM OP 20.23.C, Peer Review Report \(Team\)](#) will be forwarded to OFRAD 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 PTPRC Chair.
 - 4) The reviewers will not be identified on any reports going out from the PTPRC.
 - 5) The PTPRC Chair will compile [SOM OP 20.23.D, Comprehensive Performance Evaluation Report](#), from the Team Report.
- c. OFRAD will maintain a file of all Comprehensive Performance Evaluation Reports ([SOM OP 20.23.D](#)).
 - 1) The PTPRC will consider and vote on each report. The outcome will either be Satisfactory or Remediation Needed.
 - 2) The OFRAD will distribute the reports to the Dean for review and recommendation.
 - 3) The Dean will transmit the reports to the Provost for review and render a decision on each.

4) The report will be forwarded ([SOM OP 20.23.D, Comprehensive Performance Evaluation Report](#)) to the faculty member, the chair of the department, the Dean of the School of Medicine, and the Regional Deans, if appropriate.

5) The final decision on tenure renewal will be forwarded to the President for notification.

7. Actions Based on the Comprehensive Performance Evaluation Report.

- a. If the faculty member does not indicate any disagreement with the report, it shall become the final report.
- b. Faculty wishing to challenge a decision must file a written notice accompanied by pertinent documentation supporting the challenge with the PTPRC Chair within ten (10) working days of receipt of the report.
- c. The PTPRC will consider all appeals preferably within ten (10) working days of receiving notification of the challenge or as soon as a quorum of the PTPRC can be convened. The PTPRC will then formulate a final report including any revisions suggested by this meeting and forward to the Dean and Provost.
- d. The PTPRC Chair must approve any deviation from this timeline.

8. Professional Development Plan.

- a. The faculty member in consultation with the Associate Dean for Faculty Recruitment, 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 one (1) year.
- b. Two representatives from the PTPRC may be appointed to review all progress reports and make recommendations.
- c. The PDP will be submitted to the Dean of the School of Medicine and in consultation with the Provost, will assess evidence of improvement over the year and take appropriate administrative action regarding tenure renewal before August 31.

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 PTPRC 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, Performance Evaluation and Dismissal Procedures for Tenured and Non-Tenured](#) 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 PTPRC Chair will be responsible for keeping the Committee updated on the progress being made.
- e. Minutes will be taken at each meeting by OFRAD staff and distributed to PTPRC members. PTPRC members will not be identified individually in association with comments made during sensitive discussions. The OFRAD 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 OFRAD in accordance with Institutional Policy and Federal and State regulations.
- d. Names of reviewers will be stricken from all reports released by the PTPRC.

11. Responsibilities of PTPRC 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 no later than September 1.
- c. Convenes a meeting of the PTPRC 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 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) Memos related to submission of additional material as necessary.
- g. Requests the appointment by the Faculty Council Executive Committee of replacement members for the PTPRC as necessary.
- h. Prepares the Comprehensive Performance Evaluation Report for distribution
- i. 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.
- j. Makes certain that the Faculty Council Executive Committee has made new appointments to the PTPRC by December of each year.

ATTACHMENTS:

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

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

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

[SOM OP 20.23.D, Post Tenure Peer Review Comprehensive Performance Evaluation Report](#)

[SOM OP 20.23.E, Post Tenure Peer Review Professional Development Plan](#)