



MEMORANDUM

Date: July 1, 2015

To: Chairs and Directors with Continuing Faculty

From: Philip Ganderton, Senior Associate Dean

Subject: Guidelines for annual reviews of continuing faculty

A handwritten signature in black ink that reads "P. Ganderton". The signature is written in a cursive, flowing style.

All faculty with continuing appointments, which includes probationary faculty, lecturers, and tenured faculty, must receive an annual review of their performance as specified by the Faculty Handbook. Section B1.2 of the Handbook indicates faculty performance will be evaluated in the four areas of teaching, scholarly work, service, and personal characteristics. Section B4.2 outlines the procedure for conducting annual reviews of probationary faculty, policy C190.B.1 requires annual reviews of lecturers, and section B4.9.5 indicates how annual reviews of tenured professors will be conducted. (The relevant sections are attached to this memorandum.)

All departments should have written performance criteria on file with the College office for each category of continuing faculty. (It might also be prudent to have criteria for other faculty such as term teachers, PTIs, working retirees since they also receive annual performance evaluations.) If you are unsure whether the College has one composite document or separate documents for each category of faculty on file, please check with Karen Gardner in the Dean's Office. According to the Handbook section B1.2, faculty performance should be evaluated across the four categories of teaching, scholarship, service, and personal characteristics. Also note that section B4.9.5 describing annual reviews of tenured faculty does not mention personal characteristics in the list of elements to be reviewed. The Handbook does not give equal weight to all four areas. Primary importance is given to teaching and scholarship (for example promotion requires excellence in either teaching or scholarship, with effectiveness in all other areas.) Service is of less importance, and personal characteristics are relevant as they relate to the other three areas. Section B1.2.4 Personal Characteristics begins with by stating: "This category relates to the personal traits that influence an individual's effectiveness as a teacher, a scholar, researcher, or creative artist, and a leader in a professional area. Of primary concern

are intellectual breadth, emotional stability or maturity, and a sufficient vitality and forcefulness to constitute effectiveness."

There are many reasons for establishing performance criteria, recognizing they do not have to be immutable, and should be reviewed regularly (but not necessarily frequently.) It is important to avoid, for example, relative rather than absolute criteria. A performance deficiency cannot be defined as being ranked in the bottom 10% of department faculty, as there will always be one, or more, people ranked as such (since this is not the College of Lake Wobegon.)

The Handbook requires each department to produce a statement of criteria and procedures for annual reviews of tenured faculty. These should reflect the standards and workload balance of the discipline and department, and must be approved by the faculty and the Dean. The College requires each department to apply the same conditions to performance criteria for probationary faculty and lecturers (but not necessarily the same criteria, of course.)

Annual reviews should:

- i) reference performance criteria
- ii) describe and critique performance over the relevant period. (This is the preceding calendar year per College policy, although B4.2.1 describing annual reviews for probationary faculty mentions a cumulative evaluation.)
- iii) identify deficiencies where present, and offer remedies, including timetable
- iv) include performance goals for the coming year
- iv) make aggregate performance data for department available upon request.

With regard to the timetable for annual reviews, the College recommends all reviews be conducted in the spring semester to provide consistency and efficiency, as well as qualifying the department for the Dean's incentive funds. The annual review process requires a written review, which should be delivered to each faculty member during the spring semester, and archived with the College by the end of the semester. Annual reviews of probationary faculty include a face-to-face meeting, while such meetings are only explicitly required for tenured faculty with identified deficiencies. Since all annual reviews should include a statement of goals for the upcoming year, a meeting with each faculty member to discuss the review seems important.

Occasionally a chair will write a negative review, or perhaps one identifying deficiencies. The Handbook offers little guidance here, and deals with this simply by stating the chair and faculty member must meet to discuss the review, and allows for the faculty member to write a comment or rebuttal to the review. The Handbook also allows the faculty member to appeal the annual review to the Dean, but is silent regarding the consequences of such an appeal. As noted above, section B4.9.5 of the Handbook makes specific mention of teaching, scholarship and service in the review, but not personal characteristics. Some believe this omission is intentional, but since all four categories are mentioned in section B1.2, personal characteristics,

while playing a less important role, cannot be completely ignored in the annual review of any faculty member. The goal in cases of negative annual reviews should always be clear identification of deficiencies and the actions required to remedy the situation with a specific timetable. The chair and the Dean must monitor progress during that period.

4.2 ANNUAL REVIEW OF PROBATIONARY FACULTY

4.2.1 Purpose

The purpose of the annual review is to provide the probationary faculty member written information about his or her performance in the department, identifying both strengths and weaknesses. The review entails cumulative evaluation of the faculty member's achievements and progress toward tenure.

4.2.2 Timetable

The annual review for each probationary faculty member must be initiated and completed by the department chair during the Spring semester of each academic year of probationary appointment. An annual review will not be conducted during the academic year designated for mid-probationary or tenure review. Faculty members whose appointments begin in the Spring semester will have their first annual reviews during the following Spring semester so that annual reviews of all faculty occur at the same time of year.

4.2.3 Procedures

(a) The annual review is conducted by the department chair, in consultation with at least the tenured members in the department and, where appropriate, with any other faculty who are well acquainted with the probationary member's work.

(b) In preparation for the annual review, the faculty member shall assemble a file including:

curriculum vitae

classroom materials, teaching evaluations, and other materials reflecting on teaching performance

copies of scholarly works completed or submitted during the previous year and other materials reflecting on scholarly work

statement of self evaluation based upon goals set for the previous year

statement setting goals for the coming year

(c) As part of the review, the chair shall review the faculty member's assembled file and obtain written evaluations of the member's performance from at least those tenured members of the department who are best acquainted with the probationary faculty member's work. Whether all tenured members of the department will be required to participate in the annual reviews and whether peer evaluations of teaching are to be included in the review shall be matters of consistent departmental policy and not decided on a case-by-case basis (see Sec. 4.4.8). If peer evaluations of teaching are to be included, the chair shall arrange for the faculty member's teaching to be observed. The evaluation of all components (teaching, scholarly work, service, and personal characteristics) shall be summarized by the chair in the written annual review provided to the probationary faculty member. If earlier reviews have identified specific deficiencies, special attention should be paid to the progress made toward remedying them. The chair shall discuss each annual review report with the probationary member before the end of the Spring semester. The probationary member shall acknowledge receipt of the report and may provide a written response. This report and any response shall be filed with the department and college/school.

4.2.4 Discontinuance of Probationary Appointment

Probationary faculty members serve on annual contracts. A decision as to whether the contract will be renewed is made as the result of a review of the faculty member's performance. In case of a recommendation of non-renewal made at a point other than at the mid-probationary or tenure review, the faculty member must be notified immediately in writing by the chair who shall include a statement of the reasons. This recommendation, and any response of the faculty member, shall be reviewed by the dean. The dean's recommendation is forwarded to the office of the Provost/VPHS and the final decision is made by the Provost/VPHS. The faculty member shall have 10 working days from receipt of the chair's recommendation and statement of reasons to respond for consideration by the dean. The faculty member shall also have 10 working days from receipt of the dean's recommendation to respond for consideration by the Provost/VPHS. The probationary faculty member whose appointment is to be discontinued is entitled to the notice periods and terminal contract requirement specified in Sec. 3.2 (c). (See Sec. 5.4 for termination of employment of a probationary faculty member during a contract year.)

4.2.5 Appeal to the Academic Freedom and Tenure Committee or President

The faculty member may appeal the final decision by the Provost/VPHS to the Academic Freedom and Tenure Committee on grounds that the decision to discontinue the probationary appointment involved academic freedom violations, improper considerations or prejudicial violation of Policy procedures (Sec. 6). The faculty member may appeal a negative decision to the President on any other grounds.

Tenured Faculty

4.9.4 Performance Criteria

Deans shall require each department or division to file a statement of criteria and procedures for annual evaluation of the performance of tenured faculty members. The criteria and procedures shall be consistent with the Faculty Handbook, reflect the standards of excellence and appropriate balance of teaching, research, or other creative activity, and service prevailing in the discipline and department or division, and have the approval of the department or division faculty and the dean. At a minimum, the procedures shall include an annual written evaluation, as described below. Sec. 1 (of this Policy)

describes good teaching and good research at some length, including the importance of one's original research in imparting new ideas in the classroom and inspiring students to engage in original research. Sec. 1 also stresses the need for service in the department, the University, and one's discipline, particularly by senior members of the faculty. (Reviews from outside the University, as suggested in Sec. 1, shall not normally be included in annual and more formal post-tenure reviews [Sec. 4.9.5 and 4.9.7].)

4.9.5 Annual Reviews

(a) Each department shall conduct an annual review of each tenured faculty member's teaching, scholarly work, and service. This review, which may be combined with salary review and may be performed by the chair or the chair and a committee of tenured faculty, shall be in writing (normally 50 to 100 words for most faculty, more for those with special achievements or identified deficiencies) and contain a description and critique of performance during the past year and performance goals for the coming year. It shall be discussed with the faculty member if there are deficiencies. Two copies of the annual review, signed by the chair, shall be given to the faculty member, one to be signed as acknowledgment of receipt and returned to the chair. A faculty member who disagrees with the review may add a comment or rebuttal. The review and any such statement shall be placed in the faculty member's personnel file. The faculty member, in addition, may appeal the chair's evaluation to the dean. At any point in these or subsequent proceedings, the faculty member shall have access to aggregate information concerning the teaching evaluations, publications, grants, etc., of the department as a whole for purposes of comparison. Aggregate information shall be determined by each department and will contain, at a minimum, summary data of faculty activities in the areas of teaching, scholarly work and service. In the dissemination of aggregate data, confidentiality shall be protected to the extent provided by law.

Lecturers

B. Term Appointments and Performance Reviews

1. Annual Performance Reviews of Lecturers. All Lecturers will have annual performance reviews, which should be conducted according to Section B: Academic Freedom and Tenure, 4.0 of the UNM Faculty Handbook and as specified in this document, as appropriately modified by each School, College, Department or equivalent to conform with each unit's standard faculty review processes and to reflect each unit's specific requirements for continuation and promotion of Lecturers. The annual review in the first year must be conducted in the spring, in time for the Chair to provide written notice to the Lecturer no later than March 31 whether the Lecturer's contract will be renewed. In the second and subsequent years, the review must be conducted in the fall, in time for the Chair to provide written notice to the Lecturer no later than December 15. The Department Chair's written notice to the Lecturer will be copied to the Dean for inclusion in the Lecturer's personnel file.

If any performance review of a Lecturer on a one-year appointment produces a negative evaluation, the Chair may exercise the University's discretion not to renew the Lecturer's contract. Alternatively, the Chair may provide the Lecturer a written description of the areas in which the Lecturer must improve if she or he is to continue as a member of the faculty. The Chair and the Lecturer must both sign this

document. The Lecturer may then be issued a one year contract, with the understanding that if concerns are not adequately addressed, this contract will not be renewed.