MEMORANDUM

TO: Academic Deans
    Department Chairs

FROM: John H. Frederick
      Provost and Vice President for Academic Affairs

SUBJECT: Procedural Guidelines for Periodic Performance Evaluation of Tenured Faculty

The implementation of the policy regarding the Periodic Performance Evaluation of Tenured Faculty requires an elaboration and reiteration of procedural guidelines to clarify several provisions of the policy.

A. Election of Committees

1. A Periodic Performance Evaluation Review Committee will be elected by the voting members of each Department. The elections will be held by September 15 of each year. “Voting members” is not defined in the PPE policy, and will therefore be interpreted to conform to each Department’s by-laws. In those cases where the by-laws do not define “voting member,” the phrase should be interpreted to mean voting members of the general faculty as defined in Chapter 2.1(B) of the Handbook of Operating Procedures. A faculty member who holds a joint appointment in two or more Departments should vote only in his/her home Department.

2. Each Department Committee established to review faculty should have a minimum of three and a maximum of five members. The Committee shall elect its own chair.

3. The Department Chair will certify the election results and provide the Dean with a list of the committee’s members and its chair by October 1 of each year.

B. Department Chair’s Responsibilities

1. The Department Chair will, in consultation with the faculty member, determine the distribution of a faculty member’s responsibilities in research, teaching, service, and administration for the previous six years. The Department Chair will convey the
information on the distribution of responsibilities to the chair of the PPE Review Committee in writing by October 1 each year, providing the faculty member under review with a copy for verification purposes. The Committee will take the distribution of those assignments into account in its evaluation of the faculty member’s overall performance.

2. The Department Chair will assist the faculty member who is under review by providing him/her with the following materials:
   a. Copies of annual reports for the previous six years
   b. Statistical summaries of teaching evaluations for the previous six years
   c. Annual performance reviews for the last six years

3. The faculty member will acknowledge receipt of these materials in writing to the Chair and provide a copy of this acknowledgment for the review file s/he submits to the Committee.

C. Preparation of the Review File by the Tenured Faculty Member

1. The faculty member under review is required to provide the following materials to the Department Office by September 15:
   a. a resume’
   b. annual reports for the previous six years
   c. statistical summaries of teaching evaluations for the previous six years
   d. annual performance reviews for the last six years

2. In addition, the faculty member may, at his/her discretion, provide the Committee with the following supplementary materials:
   a. a statement of professional goals
   b. a proposed professional development plan
   c. other materials to support the faculty member’s record in the period under review.

3. All required and optional materials will be listed in an inventory of documents; the entire file should be prepared and available for use by the Committees by October 1.

4. The faculty member shall have the right to request to meet with the Committee. This request must be submitted in writing by September 30 to the Chair of the Committee.

D. Procedures of the Periodic Performance Evaluation Committee

1. In conducting its review, the Committee will examine each area for which a faculty member had responsibility during the period under review, and evaluate each area based on the evidence in the faculty member’s file.
2. The Committee will complete its review of all candidates by December 1. The Chair of the Committee will prepare a report of the Committee’s findings for the signatures of all members. Minority reports will be submitted at the same time as a majority report.

3. Committee Reports should include one of two conclusions: Satisfactory, no further review required; Unsatisfactory, further review recommended.

4. The Chair will forward the complete file along with the report(s) to the Department Chair.

5. The Committee Chair will provide each person reviewed with a copy of the Committee’s report(s).

E. Disposition of Review

1. The Department Chair will review the report(s) and forward it (them) to the Dean with any comments.

2. If the Dean concurs that the faculty member’s performance is satisfactory, (s)he will forward the Committee’s report(s) to the Provost and President by January 15. The Provost will provide each person reviewed with a letter indicating that the faculty member’s performance was satisfactory and establishing the date of the next review. Upon receipt of a copy of that letter, the Dean will return all materials to the faculty member. If the Dean does not concur with the Committee report, (s)he will convene a College Periodic Performance Review Committee to review the case.

3. If the Department Committee's review concludes that the faculty member’s record is unsatisfactory, and when the Dean concurs, or, if the faculty member requests it, the Dean shall, in consultation with the tenured faculty of his/her college, appoint a College Periodic Performance Review Committee of at least three tenured members of equal or higher rank who are representative of the College or Department by January 15. The Committee will elect its own chair.

4. A College Periodic Performance Review Committee may request additional materials from the faculty member under review; the chair of the Committee will create an inventory of all records and materials consulted by the Committee. Upon his/her written request the faculty member will be provided an opportunity to meet with the committee.

5. The Committee's report, which will be due no later than July 15, may agree or disagree with the Department Committee’s finding that a faculty member’s performance is unsatisfactory. If the College Committee agrees with the Department Committee, and, if the Dean concurs, the reports will be forwarded to the Provost and Vice President for Academic Affairs for further action. The Provost and Vice President for Academic Affairs will make a recommendation to the President whether to initiate proceedings to terminate the faculty member. If the College Committee
disagrees with the Department Committee’s finding of unsatisfactory performance, and, if the Dean concurs, the Dean will forward all reports to the Provost and Vice President for Academic Affairs with the recommendation that no further action is necessary. The Provost and Vice President for Academic Affairs will make a recommendation to the President whether to accept the Dean’s recommendation. In cases where there is disagreement between the College Committee and the Dean, the Provost and Vice President for Academic Affairs will review all reports and make a recommendation to the President.

F. Procedures for Faculty Members who hold Full-Time Administrative Positions

1. Faculty members who hold full-time administrative positions as defined by the Policy (Department Chair, Dean, Associate Vice President, Vice President, Associate Provost, Vice Provost, Executive Vice Provost, Provost, or President) will provide the same materials for review and follow the same procedures as are listed in Section C above.

2. As provided by the Policy, a Department Periodic Performance Evaluation Committee reviewing a faculty member with full-time administrative responsibilities shall consist of all tenured full professors in the Department.

3. The Committee will examine only those materials related to the administrator’s research, teaching, and service activities. (For the evaluation of administrators, see the Handbook of Operating Procedures, Chapters 1.2.c and 2.10, section p.1.f.)

4. The Committee Chair will provide the administrator under review with a written report, with a copy to his/her Department Chair, and/or Dean, and the Provost and the President.

cc: Ricardo Romo
    David R. Johnson