



## OFFICIAL INSTITUTIONAL PROCEDURE

<b>PROCEDURE NAME (R*)</b> Evaluation of Faculty	<b>EFFECTIVE DATE (R*)</b> 09/01/2019	<b>PROCEDURE NUMBER (R*)</b> P6.004
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**PROCEDURE STATEMENT (R\*)**

This procedure is intended for guidance on evaluations of Faculty. This include annual and post tenure evaluations.

**REASON FOR PROCEDURE (O\*)**

The University of North Texas Health Science Center (UNTHSC) is committed to the consistent and comprehensive review of faculty members in the areas of teaching, research, patient care, and service. The performance evaluation of faculty is intended to promote continued academic professional development and peer-coordinated professional improvement to meet or exceed performance norms.

**AREAS OF RESPONSIBILITY (R\*)**

Office of Faculty Affairs - responsibility of facilitating the activities in support of the evaluation (annual and post tenure) of faculty

Colleges/Schools – Responsible for ensuring completion of Annual Evaluations, Periodic Peer Reviews, Professional Improvement Reviews and Professional Improvement Plans of faculty housed within the school/college.

**PROCEDURE DETAILS (R\*)**

1. General Principles

1.1. Checklists and other procedures for conducting the evaluation of faculty are created and maintained by the Office of Faculty Affairs. Questions or clarification regarding the policy or procedures should be addressed to the Office of Faculty Affairs.

- 1.2. The composition and operating procedures of the appropriate school or college Promotion and Tenure Committee will be described in the appropriate school/college guidelines.
- 1.3. All faculty, full-time and part-time, excluding the Provost, will be reviewed in the Faculty Review System. Currently, adjunct and affiliated faculty reviews are maintained at the school/college level.
- 1.4. Faculty performance that is outstanding in two of the general areas of teaching, research, and service (including patient care), and a quality rating in a third area will be noted as proficient in the evaluation. The evaluation will state the basis for the rating in accordance with the criteria. Faculty evaluations that are deemed deficient in one or more areas will be reported to the Dean. A letter will be sent to the faculty member from the Dean notifying them of the next steps. Annual evaluations rated as deficient in one or more areas will require either a "Periodic Peer Review" or "Professional Improvement Review" at the discretion of the Dean.

## 2. Annual Evaluation Procedures

- 2.1. Each school/college will maintain a current faculty workload model, approved by the Dean and Provost. The model will be periodically reviewed by the college, as determined by the Dean. The model will be in alignment with HSC guidelines and policies, and will be posted on the Office of Faculty Affairs website.
- 2.2. Department chairs may seek performance feedback from individuals overseeing faculty workload assigned to areas of teaching, research, and service activities. However, the faculty review is the chair's ultimate responsibility.
- 2.3. Secondary reviewer comments can be added to a chair review of a faculty member at the request of the department chair.
  - 2.3.1. Additionally, someone who has a significant role in overseeing and supervising a faculty member other than the chair of the department may be delegated evaluation authority. This delegate will complete the entire annual evaluation. Secondary reviewer comments can be added including comments from the department chair.
- 2.4. The appropriate dean will have the ability to view all school/college evaluations conducted by the appropriate department chair throughout the evaluation cycle. It is incumbent upon the Dean to address any concerns with the Chair before a faculty evaluation is final.
- 2.5. Annual evaluations of faculty performance will be rated as deficient, quality, or outstanding. Deficient performance in one or more areas will require a periodic peer review or professional improvement review, at the discretion of the Dean. The faculty member will be notified, in writing, of the need for either of these before September 1.
- 2.6. The expectations of performance throughout the year will be commensurate with the promotion and tenure guidelines within the college/school and the faculty member's academic rank, as well as the time and effort assigned to the areas of teaching, research, and service. A college/school's guidelines should align with the overall University guidelines as outlined in Appendix A.
  - 2.6.1. Documented performance check-ins are designed to be a conversation, providing feedback and recognition (CFR) to the faculty member from the department chair or delegate regarding faculty duties. A minimum of two performance

check-ins plus an annual review will be held in person between the department chair or delegate and the faculty member during the academic year. The annual evaluation check-in will include documentation of workload expectations, objectives, and key results, (OKR's) commensurate with academic rank and allocation of time and effort to teaching, research and service.

- 2.7. The re-appointment contract for a faculty member will be documented in the Faculty Compensation and Workload form with the appropriate signatures. See <https://www.unthsc.edu/academic-affairs/wp-content/uploads/sites/22/FY20-FCW7.11.19-1.xlsx>
- 2.8. Disagreements and the adjudication over annual evaluation ratings and/or recommended improvement strategies may be appealed per the Grievance and Appeal Policy 6.006.

### 3. Periodic Peer Review

- 3.1. Peer review of tenured faculty will occur 5 years from the original, effective tenure date (September 1 of the appropriate year) and every 5 years after. At the discretion of the dean, a periodic peer review may be required following a deficient annual evaluation. The entire periodic peer review will normally be conducted within 90 calendar days.
- 3.2. Six months prior to September 1, Faculty Affairs determines who will need Periodic Peer Review starting September 1 and will alert the appropriate dean. The Dean will then notify the appropriate faculty member with a Periodic Peer Review Memo copying the P&T Committee Chair, the department chair and Faculty Affairs. A periodic review for tenured faculty receiving a deficient annual performance rating may occur off cycle from the routinely scheduled reviews.
- 3.3. Review packets will be collated by the faculty member to be reviewed and delivered to the appropriate department chair. Refer to the Office of Faculty Affairs' Periodic Peer Review Packet Checklist for guidance in organizing the review packet. <https://www.unthsc.edu/academic-affairs/faculty-affairs/post-tenure-review/>
- 3.4. The department chair will review the packet and either forward to the **department** P&T Committee or, if there is not a department P&T Committee, to Faculty Affairs for review. The **department** P&T committee reviews the material and presents the recommendation, both orally and in writing, to the department chair. The committee purpose, composition, and operating procedures will be outlined in the appropriate school/college's guidelines. Once the **departmental** P&T committee has completed their process, the department chair will send the packet to Faculty Affairs. Faculty Affairs will distribute the packet to the appropriate **school/college** P&T committee.
- 3.5. The Chair of the appropriate school/college P&T committee will present the committee's recommendation, orally and in writing, to the Dean.
- 3.6. The faculty member will receive written notice within 15 business days of the recommendation by the Chair of the P&T Committee. The Office of Faculty Affairs will be copied on the correspondence sent to the faculty member.

- 3.7. The appropriate dean will forward his/her written evaluation to the faculty member, the department chair, school/college P&T committee and the Office of Faculty Affairs within 15 business days of receiving the P&T committee recommendation.
- 3.8. If a deficiency is identified through the Periodic Peer review process, the faculty member will be offered a Professional Improvement Plan as described in HSC Policy 6.004. See below for the Professional Improvement Plan process.

#### 4. Professional Improvement Review

- 4.1. At the discretion of the Dean, a professional improvement review may be required following a deficient annual evaluation or Periodic Peer Review.
- 4.2. The purpose and composition of the Professional Improvement Committee is defined in the HSC Policy 6.004 Evaluation of Tenured Faculty. The choice of the three members will be customized to best address the deficiencies identified.
- 4.3. The review will be conducted by an ad hoc review committee, unless the faculty member requests that it be conducted by the department chair. The three-member ad hoc faculty review committee will be appointed by the Dean, in consultation with the department chair and faculty member to be reviewed. When appropriate, the committee membership may include faculty from other departments, colleges, or universities.
- 4.4. The Dean will appoint one of the three members to serve as chair. The members will define their standard operating procedures. These procedures will be based on the school/college guidelines. If a member is unable to complete his/her service, the Dean will appoint a replacement.
- 4.5. The term of service for the committee will conclude upon submission of its findings, or when appropriate, the professional improvement plan.
- 4.6. The committee, through the chair, may request from the Dean additional information to assist in evaluating the matter.
- 4.7. The process will be handled in a confidential nature to the greatest extent possible.
- 4.8. The Professional Improvement Review will be made in a timely fashion (normally within 30 working days after submission of the review materials by the faculty member). The Professional Improvement Review will result in one of two possible outcomes:
  - 4.8.1. No deficiencies are identified. The faculty member, department chair, and Dean are informed in writing, and the outcome of the prior annual review is superseded by the ad hoc committee report
  - 4.8.2. Deficiencies are confirmed, the review committee will elaborate in writing and provide a copy to the faculty member, department chair, and dean. In the case that deficiencies are confirmed and accepted by the dean, the faculty member, review committee, and department chair shall then work together to create a PIP for submission to the dean for approval.

#### 5. Professional Improvement Plan

- 5.1. Deficiencies will generally be categorized in the areas of teaching, research, and/or service. Deficiencies may include those related to the HSC code of culture as it relates to the HSC tenure criteria.
- 5.2. The Professional Improvement Committee may seek input as needed from other UNTHSC officials to create the improvement plan.
- 5.3. The faculty member and department chair will meet to set a schedule for review of progress and include those dates in the PIP. The associated timeline for successful completion of a PIP will be customized to the situation, and normally range between 6 months to 12 months in length.
- 5.4. Progress reports will be sent to the Dean at intervals outlined in the PIP. The Dean may determine, following negative progress reports that the faculty member has failed to satisfactorily meet the goals of the plan. Failure to complete the PIP is an example of adequate cause for corrective action which may include a recommendation for revocation of tenure.
- 5.5. The faculty member and/or the Professional Improvement Committee may petition the Dean to modify the original terms of the PIP.
- 5.6. The Dean may provide the faculty member a one-time, extension of time to complete the PIP. This will normally not exceed an additional six (6) months.
- 5.7. In the case the faculty member does not have tenure and fails to complete the PIP, the dean will determine if a notice of non-reappointment will be issued.
- 5.8. For tenured faculty, the dean will determine whether the faculty member has failed to satisfactorily meet the goals of the PIP and that good cause for dismissal, under applicable tenure policies, exist. The Dean will recommend to the Provost that revocation of tenure and termination be initiated. The Provost will review and provide a recommendation to the President. The President will make a final decision and provide notice to the faculty member along with a recommendation to the Board of Regents through the Chancellor.
- 5.9. If a faculty member chooses to challenge the Dean's determination regarding unsuccessful completion of the PIP, an appeal may be submitted to the Faculty Grievance and Appeal Committee and would follow the procedures in HSC Policy 6.006 Faculty Grievance and Appeal.

**RELATED INFORMATION (O\*)**

- 6.003 Faculty Tenure and Promotion
- 6.004 Evaluation of Tenured Faculty

**DEFINITIONS (O\*)**

- CFR – Conversation Feedback and Recognition
- OKR – Objectives and Key Results

P&T – Promotion and Tenure  
PIP – Professional Improvement Plan

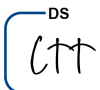
**FORMS/ONLINE PROCESSES (O\*)**

Faculty Compensation and Workload – [www.unthsc.edu/academic-affairs/faculty-affairs/faculty-contracts/](http://www.unthsc.edu/academic-affairs/faculty-affairs/faculty-contracts/)  
Post-Tenure Review Timeline [www.unthsc.edu/academic-affairs/faculty-affairs/post-tenure-review/](http://www.unthsc.edu/academic-affairs/faculty-affairs/post-tenure-review/)  
Post-Tenure Review Checklist [www.unthsc.edu/academic-affairs/faculty-affairs/post-tenure-review/](http://www.unthsc.edu/academic-affairs/faculty-affairs/post-tenure-review/)  
Criteria for Faculty Promotion, Tenure and Post-Tenure Review [www.unthsc.edu/academic-affairs/faculty-affairs/criteria-for-faculty-promotion-tenure-and-post-tenure-review/](http://www.unthsc.edu/academic-affairs/faculty-affairs/criteria-for-faculty-promotion-tenure-and-post-tenure-review/)

**HISTORY (R\*)**

Revision Date(s): 07/01/2020

Reviewed Date(s): Include date of last review.

Provost Initials:  7/1/2020

**ADMINISTRATIVE AUTHORITY (R\*)**

Provost and Executive Vice President

**RESPONSIBLE UNIVERSITY DEPARTMENT/DIVISION (R\*)**

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PolicyTech, the institutional policy repository, is updated regularly. In order to ensure a printed copy of this document is current, please access it online at <https://www.unthsc.edu/administrative/institutional-compliance-office/unt-health-science-center-policies/>

\*R = Required \*O = Optional

## Appendix A: University Level Guidelines – End of Year Faculty Outcomes

Type	Examples of Evidence	Deficient	Quality	Outstanding
<b>Teaching Outcomes</b>  [e.g. classroom-based, online/hybrid, skill-based, practice-based, laboratory-based]	<ul style="list-style-type: none"> <li>Teaching philosophy</li> <li>Student ratings of teaching</li> <li>Peer reviewed publications related to teaching and learning</li> <li>Sponsored programs related to teaching and learning</li> <li>Innovations in teaching and learning</li> <li>Participation in curricular development</li> <li>Sample of assignments, examinations, and learning activities</li> </ul>	Deficient performance is achieved by <b>not meeting</b> collegiate guidelines commensurate with academic rank and allocation of work, <u>including</u> the following: <ul style="list-style-type: none"> <li>Evidence of limited and/or inconsistent teaching effectiveness; including learning strategies</li> <li>Insufficient achievement in annual teaching-related goal</li> </ul>	Quality performance is achieved by meeting collegiate guidelines commensurate with academic rank and allocation of work, <u>including</u> the following: <ul style="list-style-type: none"> <li>Evidence of teaching effectiveness; including learning strategies</li> <li>Sufficient achievement in annual teaching-related goals</li> </ul>	Outstanding performance is achieved by meeting collegiate guidelines commensurate with academic rank and allocation of work, <u>including</u> the following: <ul style="list-style-type: none"> <li>Evidence of superior teaching effectiveness; including learning strategies</li> <li>Superior achievement in annual teaching-related goals</li> </ul>
<b>Research/Scholarship Outcomes</b>	<ul style="list-style-type: none"> <li>Research statement</li> <li>Peer-reviewed articles</li> <li>Books, book chapters</li> <li>Presentations, posters</li> <li>US Patent, copyright, or other intellectual property</li> <li>List of grants submitted and/or funded</li> <li>List of other sources of external funding (e.g., industry, foundation)</li> </ul>	Deficient performance is achieved by <b>not meeting</b> collegiate guidelines commensurate with academic rank and allocation of work, <u>including</u> the following: <ul style="list-style-type: none"> <li>Evidence of limited and/or inconsistent research effectiveness</li> <li>Insufficient achievement in annual research-related goals</li> </ul>	Quality performance is achieved by meeting collegiate guidelines commensurate with academic rank and allocation of work, <u>including</u> the following: <ul style="list-style-type: none"> <li>Evidence of research effectiveness</li> <li>Sufficient achievement in annual research-related goals.</li> </ul>	Outstanding performance is achieved by meeting collegiate guidelines commensurate with academic rank and allocation of work, <u>including</u> the following: <ul style="list-style-type: none"> <li>Evidence of superior research effectiveness</li> <li>Superior achievement in annual research-related goals.</li> </ul>
<b>Service Outcomes</b>	<ul style="list-style-type: none"> <li>Service to UNTHSC (e.g. committee accomplishments, graduate advising, program directorship)</li> </ul>	Deficient performance is achieved by <b>not meeting</b> collegiate guidelines commensurate with academic rank	Quality performance is achieved by meeting collegiate guidelines commensurate with academic rank	Outstanding performance is achieved by meeting collegiate guidelines commensurate with academic rank

<p>[service related to academic, clinical activities, and/or professional contributions]</p>	<ul style="list-style-type: none"> <li>• Service to patients (e.g. patient outcomes, satisfaction, care models, health policy)</li> <li>• Service to the profession (e.g. recognition, awards)</li> <li>• Service to society (e.g. volunteerism, advocacy, committee, awards, external funding)</li> </ul>	<p>and allocation of work, <u>including</u> the following:</p> <ul style="list-style-type: none"> <li>• Evidence of limited and/or inconsistent service effectiveness</li> <li>• Insufficient achievement in annual service-related goal(s)</li> </ul>	<p>and allocation of work, <u>including</u> the following:</p> <ul style="list-style-type: none"> <li>• Evidence of service effectiveness</li> <li>• Sufficient achievement in annual service-related goals</li> </ul>	<p>and allocation of work, <u>including</u> the following:</p> <ul style="list-style-type: none"> <li>• Evidence of superior service effectiveness</li> <li>• Superior achievement in annual service-related goals.</li> </ul>
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