Plan of Governance
Appendix I

Policy on Periodic Evaluation of Faculty Performance

Approved October 16, 2013

This policy covers the periodic review of all tenured faculty and job secured instructors and lecturers. Periodic reviews for non-tenured tenure track faculty are covered under the University's appointment, promotion and tenure (APT) policy. The purpose of this review is to:

1. Recognize long-term meritorious performance;
2. Improve quality of faculty efforts in teaching, scholarship and service;
3. Increase opportunities for professional development; and
4. Assist faculty in developing strategies to increase productivity.

Each tenured Associate Professor and Professor and each job secured Instructor and Lecturer will be reviewed at five year intervals, starting from their date of rank or the effective date of their job security. In addition to every 5 years, two consecutive periodic reviews that indicate that a faculty member is materially deficient in meeting expectations shall result in an Immediate Comprehensive Review (USM Policy 19.0 II--1.19.5). The review of any Associate Professor being considered for promotion to the rank of Professor through the APT process will constitute a valid five-year evaluation. Sabbatical and other leaves may impact the schedule by delaying the Periodic Review until the faculty member returns. Periods of sick leave, sabbatical leave, or leave without pay will be excluded from this five-year period. Faculty who give birth, father, or adopt a child during any five-year period may, at their request, receive a one-year extension of the post-tenure review. The request for an extension must come within two months of the birth or adoption. The extension will automatically be granted unless the chair can document sufficient reason for denial. Extension of the post-tenure review period of a faculty member for serious illness, family tragedy or other special circumstances may be granted by the department chair.

The Department Chair will review the ratings received on the most recent available series of five years of annual performance reviews by both the Faculty Review and Salary Committee (Appendix A) and the Department Chair’s Annual Review. All tenured faculty members receiving no more than one year of five annual performance ratings of “unsatisfactory” or “not meritorious” by either the Faculty Review and Salary Committee or the Chair, shall receive a Post Tenure Review rating of “satisfactory.” If any faculty member has two years of five where they received ratings of “unsatisfactory” or “not meritorious” by one or both reviews, a Formal Performance Review shall be conducted.

Formal Performance Reviews and Immediate Comprehensive Reviews will be conducted by the Post-Tenure Review Committee comprised of departmental faculty. Reviews will be completed prior to the end of the Spring Semester. The committee will be composed of five faculty members, appointed by the department chair following consultation with the Faculty Advisory Committee. At least three of these members will hold the rank of Professor. These appointments should attempt to
represent the broad discipline diversity of the faculty and research, teaching, and extension components of the department. The committee will elect a chair from its members.

Faculty members requiring a Formal Performance Review or Immediate Comprehensive Review will be notified, by the department chair, in the Fall Semester prior to the Spring Semester of review. Prior to the beginning of the Spring Semester, each faculty member to be evaluated under will submit to the department chair the following items by January 15 of the year to be reviewed.

1. The faculty member's personal statement, consisting of a written report of major accomplishments for the five previous years that includes comments on how they are contributing to the department's programs;
2. Factual information in Faculty Activity Reports (FAR) and a curriculum vita updated to December 31 of the prior year;
3. An updated job description;
4. Notification of grants and contracts (if not in the CV);
5. Awards (if not in the CV);
6. Other materials or portfolio deemed important by the faculty member to be evaluated.

The department chair will provide to the individual and the committee by January 15 the following items:

1. Teaching evaluations for the past five years;
2. A written summary prepared by the chair based on previous annual reviews and/or copies of written annual summaries prepared as a result of annual reviews.

The Formal Performance Review or Immediate Comprehensive Review shall use the same criteria for Outstanding, Satisfactory and Unsatisfactory performance in instruction, research extension (each based upon the faculty member's percent appointment), and service that are used by the Faculty Review and Salary Committee (Appendix A), however, the review period shall be for the previous five years of service, not the previous three years of service as stated in Appendix A.

After the review, the chair of the committee will present a written report of the review to the faculty member evaluated and will make available the results of the review to the department chair, no later than June 1. This written review should be an evaluation and contain positive suggestions to assist the faculty member with future directions. It should include suggestions of incentives for outstanding performance ratings, such as promotional opportunities, nominations for internal and external awards and other forms of distinction. It should include suggestions of possible actions to be taken following unsatisfactory performance ratings, such as the requirement of creating a detailed outcomes plan with required deliverables and due dates, loss of sabbatical privilege, etc. The report should contain an overall categorical rating, such as outstanding, satisfactory and unsatisfactory. The faculty member evaluated may submit an optional written “response to the review committee” within
14 calendar days of receipt of the appraisal, no later than June 15 (UMCP Policy UMCP Policy II--1.20(A)).

The portfolio – consisting of the faculty member's written report, the review committee's appraisal, and the faculty member's response, if that option has been exercised – shall be submitted to the department chair no later than August 1 (UMCP Policy UMCP Policy II--1.20(A)).

Faculty member meets with Chair to discuss final evaluation, no later than October 1 (UMCP Policy UMCP Policy II--1.20(A)). If deemed appropriate by the Chair, faculty member and Chair discuss and agree on a firm, written development plan, with timetable, for enhancing meritorious work and a procedure for evaluation of progress at fixed intervals (UMCP Policy UMCP Policy II--1.20(A)). Development/outcomes plan must be summarized in a written report signed by both the faculty member and the department Chair.

Chair issues final evaluation

The final evaluation and development/outcomes plan should be forwarded to the Dean’s office by January 1 in the year following the review. The portfolio is made available for the Dean’s review, upon request. Notification of the outcome of the review should be sent to the Office of Faculty Affairs by the Dean by April 1.

Grievance Procedure

In the event the faculty member disagrees with the final evaluation, a written appeal may be filed with the Dean by January 15 in the year following the review. The Dean must review the portfolio, the peer-authored written report, the faculty member’s optional written response, the Chair’s final written evaluation, and the faculty member’s written appeal, and meets separately with the faculty member and the Chair to discuss the evaluation. The Dean should issue a decision on the appeal by March 15. No further appeal can be granted. Following completion of the appeal, if any, a notification of completion of the review should be sent to the Office of Faculty Affairs by the Dean by April 1.

Amendment Procedure

This document may be amended by a majority vote of the faculty, however the amendments must be in keeping with the guidelines developed by the Office of Faculty Affairs to facilitate compliance with and implement USM/University policy and the Provost’s mandate to adopt post-tenure evaluative procedures for all tenured faculty members. Evaluative procedures for post-tenure review must be adopted by and incorporated into unit plans of organization (UMCP Policy II--1.20(A)).