

## GUIDELINES FOR ANNUAL & MID-TERM REVIEW

These guidelines on annual and mid-term performance reviews for faculty are based upon requirements and guidelines found in University Rule 12.01.99.M2: Statement on Academic Freedom, Responsibility, Tenure and Promotion. They should be used in conjunction with college and department guidelines related to annual and mid-term reviews.

*Note:* For guidelines related to mandatory review in the penultimate year of service for the purpose of considering the candidate's performance toward attaining tenure and promotion, please refer to the **Tenure and Promotion Package Submission Guidelines** for the current academic year.

### College and Department Guidelines – Approval, Publication, and Distribution

As stated in UR 12.01.99.M2, section 2.5.3, *each department* must have its own set of published guidelines describing their procedures for annual review, which have been reviewed and approved by the Dean of Faculties for consistency with University Rules and System Policies. Guidelines should be sent to the Dean of Faculties for subsequent review whenever there is a change to the procedures. The Office of the Dean of Faculties will maintain a file with copies of current guidelines (for annual & mid-term review, and for tenure and promotion) for each department.

Colleges and departments are also responsible for ensuring that the guidelines for annual and mid-term review are distributed to faculty on a regular basis (every 2-3 years at minimum, or more frequently when there are changes to the guidelines).

*The following guidelines are to be used in conjunction with college and departmental guidelines & processes.*

### Annual Review (for tenured and non-tenured faculty)

All faculty members, whether tenured or not, must have an annual written review, for which the Department Head is responsible. This written report should contain specific feedback on the faculty member's prospects for promotion or reappointment if performance continues at the current level. Faculty members in probationary periods should know as accurately as possible how well they are progressing toward tenure or promotion.

Reviews will vary somewhat depending upon the rank of the individual and the stage of their career at the time of review.

- *Reviews for lecturers* will focus on performance and potential for reappointment.
- *Reviews for other non tenure-track faculty (such as research or clinical faculty)* will focus on performance in areas aligned with what is stated in the faculty member's appointment or reappointment letter.
- *Reviews for tenure-track faculty who have not yet achieved tenure* will focus on performance relative to departmental norms and progress toward tenure and promotion.
- *Reviews for tenured associate professors* will focus on performance relative to departmental norms and identifying the faculty member's progress toward promotion to professor.

- *Reviews for tenured professors* should focus on the goal of development, by clarifying institutional goals, individual goals and programmatic directions, and by evaluating the contributions of the faculty member toward meeting those goals.
- *Reviews for all tenured faculty*, irrespective of rank, should align with the department's Post Tenure Review criteria which specifies that categories ranging from "most meritorious" to unsatisfactory must be assigned to each faculty member's annual review. Whatever processes exist for annual reviews, the requirement for Post Tenure Review requires that no less than once every six years peers (internal or external is not specified) must be involved in the review.

(Note that reviews for tenured or tenure-track faculty will consider progress in a scholarly career as long-term venture; therefore, a 3-5 year horizon may be necessary for accurate evaluation.)

#### Other Information:

- These reviews must be completed before merit raises may be recommended, and never later than **June 15** of each year.
- The focus of the annual review will vary, depending upon the rank of the individual.
- Reviews should be conducted with reference to the criteria and expectations stated in department and college guidelines, as well as any other written expectations for the faculty member, such as those in the faculty member's appointment letter and/or annual notification of the terms and conditions of appointment.
- Salary recommendations should be consistent with the performance evaluation.
- The Department Head must provide the faculty member with a written statement regarding progress and performance. The faculty member should acknowledge receipt of the written statement and be allowed to provide written comments for the file if they choose to do so.
- The Department Head will provide the opportunity for a meeting with the faculty member to discuss his/her accomplishments, deficiencies, and goals for the next year.
- When there is a change of Department Head, care should be taken not to disrupt continuity. It is expected, however, that performance criteria and college and department priorities may change over time. Faculty members must be kept informed of current expectations.

You may refer to University Rule 12.01.99.M2: Statement on Academic Freedom, Responsibility, Tenure and Promotion, Section 2.5, for more information on annual review.

### Mid-Term Review

The mid-term review is intended to provide a formative review of tenure-track faculty members near the mid-point of their probationary period. The mid-term review should result in an independent evaluation of the faculty member's accomplishments to date and constructive guidance for the remainder of the probationary period. The mid-term review should be similar to the tenure/promotion review process, including the submission of dossier materials. However, no outside letters are sought.

These are often referred to as "3<sup>rd</sup> year reviews" because many tenure-track faculty are hired with a 7 year probationary period (see chart in the "Probationary Period" section), therefore the mid-term review occurs in the third year. Tenure track faculty hired with a probationary period of 7 years are required (by University Rule 12.01.99.M2) to have a mid-term review. Tenure track faculty with a probationary period of between 4 and 6 years are encouraged to have a mid-term review.

Items considered during the mid-term review should include those contributed by the candidate as well as internal letters of recommendation. Departmental and College-level committees should review the materials.

*Note:* It is not necessary to conduct an independent annual review for a faculty member in the year that their mid-term review is taking place. (The mid-term review can count as the annual review for that year.) However, each department has the option of conducting its annual review as a separate process from the mid-term review. The college and department guidelines should be clear about the manner in which annual review is handled during the mid-term review year.

The mid-term review package goes only to the Dean's level (it is not forwarded to the Provost, President, Chancellor or Board of Regents).

Timing of Mid-Term reviews is shown in the table in the next section (entitled, "The "Tenure Clock").

The review should not begin before March of the academic year *prior to* the target academic year, and should be completed before December of the target year. Example: If the mid-term review is due during the 2008-09 academic year, it may occur anytime between March 2008 and December 2008.

### Non Reappointment

Since the probationary period consists of a series of one-year contracts, a decision not to reappoint an individual who is on probation can be made any time up to the year of the mandatory review. Non-reappointment should be considered if performance is unsatisfactory to the point that it is clearly unlikely the person will qualify for tenure, as neither party benefits from prolonging an unsatisfactory situation. Such a decision is made, of course, with great care and only in compelling circumstances. Please note that notification of non-renewal may be made in spite of a prior decision to extend the probationary period. However, once notification of non-renewal is made, no probationary period extension may be requested.

University Rule 12.01.99.M2 explains the following notification requirements: <sup>1</sup>

<b>Rank of Faculty Member</b>	<b>Status of Faculty Member</b>	<b>Notification of non-reappointment must occur:</b>
Tenure-Track Faculty	In the First year of Tenure Track service	No later than March 1 of the first year of academic service, if the appointment expires at the end of that year
Tenure-Track Faculty	Second year of TT service	No later than December 15 of the second year, if the appointment expires at the end of that year
Tenure Track Faculty	Two or more years of service & beyond	12 months prior to the expiration of a probationary appointment
Distinguished Professor or Senior Lecturer	n/a	12 months in advance of termination
Lecturer	Has 5 years of accumulated full-time service (at a non-research faculty rank other than Assistant Lecturer) within the past seven years, excluding summers	12 months in advance of termination
Assistant Lecturers, Lecturers with fewer than 5 years accumulated full-time service, and other non tenured / non tenure-track faculty	n/a	As soon as possible, but no later than 30 days after the Board of Regents approves the budget

#### The “Tenure Clock” (Timing of Mid-Term & Tenure Reviews)

Any individual hired for a tenure-track position will be required to submit materials for review during the academic year prior to the end of their probationary period, the mandatory review year. The exact timing of this depends upon the length of the probationary period (see chart below). The start of a tenure-track faculty member’s mandatory consideration year (academic year) can be calculated as follows:

Calendar year hired + Probationary period – 2 years = First year of Tenure Consideration Period

Example 1: For a faculty member hired any time in calendar year 2008 on seven year probation:

$$'08 + 7 - 2 = 2013/14 \text{ is the mandatory year}$$

<sup>1</sup> Note that these do not include issues of termination prior to the end of an appointment or the revoking of tenure.

Example 2--For a faculty member **hired in 2006**:

<b>If probationary period is:</b>	<b>Mid-Term Review will occur between:</b>	<b>Mandatory Tenure Review <sup>2</sup> (at all levels) will occur:</b>
7 years	March - Dec 2009 (due 09/10)	2011/12
6 years	March - Dec 2009 (due 09/10)	2010/11
5 years	March - Dec 2008 (due 08/09)	2009/10
4 years	March - Dec 2007 (but usually not done)	2008/09

### Extensions to the Probationary Period

Extensions to the probationary period may be granted upon petition by the faculty member, recommendation by the Department Head and Dean, and approval by the Dean of Faculties. Extensions are usually for one year, but a longer period may be requested in compelling circumstances. Any extension greater than one year must be approved by the Provost.

A faculty member may petition for an extension in the following cases:

- The faculty member is taking leave without pay, or a reduction in service to 50% time for a semester or academic year, provided the leave is not taken solely for the purpose of pursuing activities that will enhance the faculty member's qualifications for tenure and promotion.
- The faculty member has encountered circumstances that may seriously impede progress toward demonstration qualification for the award of tenure and promotion. Such circumstances might include (but are not limited to):
  - serious illness or injury
  - having responsibility for the primary care of an infant or small child
  - having responsibility for the primary care of a close relative who is disabled, elderly or seriously ill
  - any serious disruption of the probationary period for unexpected reasons beyond the faculty member's control.

The above guidelines for extension were developed by the Faculty Senate and approved by the President of the University.

### Reconsideration in the Terminal Year

<sup>2</sup> The *Tenure and Promotion Package Submission Guidelines* (a separate document) will provide detailed procedures for the Mandatory (penultimate year) review, which is a required, thorough review in the penultimate year of probationary service. Conducting the review earlier is often appropriate, and encouraged. (If an early review does not result in a favorable decision for promotion and tenure, a review is conducted again at the mandatory time.) Although the Department Head should initiate the mandatory review process, if they do not, any faculty member who is in their next-to-last year of probationary service should notify the Department Head that the year for a tenure judgment has been reached. This communication should be made in writing in order to avoid any misunderstanding of the matter by any party.

In exceptional circumstances, a person considered for tenure in the mandatory year who is not successful may be reconsidered in the terminal year, at the discretion of the department and with the agreement of the Dean and the Provost that reconsideration seems appropriate. The sole ground on which a department may propose making such an exception to general practice is that the case has substantially changed since the mandatory consideration. The Dean of Faculties will discuss procedures should such a case arise. Reconsideration does not entail an additional terminal year.

**Questions?**

Contact the Office of the Dean of Faculties

979-845-4274

dof@tamu.edu