

II-1.19 UMCES Policy on Comprehensive Review of Tenured Faculty Members

Final review by UMCES Faculty Senate (3/30/98); recommended by UMCES Administrative Council (5/6/98); adopted by President Donald F. Boesch effective 7/1/98.

I. General Policies

This policy implements USM Policy II-1.19 USM Policy on Comprehensive Review of Tenured Faculty Members.

These evaluations are undertaken in the spirit of affording a periodic opportunity for constructive dialogue leading to continued professional development. The Laboratory Directors play a critically important role in all periodic reviews of faculty members at their respective facilities.

A. A tenured faculty member shall be subject to a comprehensive review at least once every five (5) years, the first review to take place not later than the fifth year following the date of tenured appointment.

1. Two successive *unsatisfactory* annual reviews, conducted according to procedures in *Section II-1.20*, shall automatically initiate a comprehensive review in the following calendar year.

2. A faculty member who goes on an approved leave of absence during the five-year period between reviews normally shall be subject to a regularly scheduled comprehensive review, except that an individual on leave during the year of a scheduled review may request his/her Laboratory Director to postpone the review for not more than one calendar year.

B. Each comprehensive review shall evaluate the faculty member's performance since the period covered by the preceding comprehensive review or, for the first such review, since beginning of tenured appointment.

C. The individual's Laboratory Director shall be responsible for initiating the comprehensive review and completing the faculty member's performance evaluation.

1. At the Laboratory Director's discretion, if a faculty member's annual performance evaluation has been *excellent* or above in each of the five years covered by the review, comprehensive review need not involve evaluation by a comprehensive review committee (Section III-10.2.c).

D. The comprehensive review shall be a formative process for future faculty professional development in research, for enhancing the learning environment for graduate students and interns, and for the improvement of all programs in which the individual may participate in service to UMCES, the University System of Maryland, and the State of Maryland.

E. The UMCES policies on comprehensive review are in addition to other USM and institutional policies and procedures concerning faculty evaluation and/or appointment termination.

F. All procedures for comprehensive review shall conform to the Affirmative Action Policy of the University System of Maryland; the Director of Personnel in Center Operations and the Affirmative Action Officer at each UMCES Laboratory unit may be contacted for the most recent regulations.

II. Notice

Prior to *1 September* of the year of review, the appropriate Laboratory Director shall provide written notice to each faculty member who will be undergoing a comprehensive review.

A. The notice shall specify the period to be covered by the comprehensive review, such period normally to conclude at the end of the calendar year preceding the year in which the review is initiated.

B. The notice shall invite the faculty member to assemble a comprehensive review dossier containing the following materials:

1. Complete signed and dated *curriculum vitae*, updated through the end of the comprehensive review period;
2. Signed and dated statement summarizing the individual's most significant activities and progress during the comprehensive review period, and outlining his/her goals in research, education, and service for the next five (5) years;
3. Copies of representative peer-reviewed publications, technical reports, abstracts of presentations made (including presentations to the general public), and any other materials which the faculty member feels to be representative of his/her professional activity during the period covered by the comprehensive review;
4. Other documentation the faculty member wishes to be considered in the evaluation, which may include, but not be limited to, copies of teaching evaluations for courses taught, letters acknowledging service in the public sector, and evidence of creative/scholarly activities not included in the above.

C. The faculty member shall be responsible for assembling the requested materials and for submitting the complete comprehensive review dossier to his/her Laboratory Director not later than *1 October*.

III. Review Committee

The Laboratory Director shall appoint a comprehensive review committee composed of at least three (3) tenured faculty to review the dossier of each faculty member undergoing comprehensive review at the UMCEES Laboratory.

A. At the Laboratory Director's discretion, the committee need not review the dossier of a faculty member who has received an annual evaluation rating of *excellent* or above in each of the five years covered by the comprehensive review.

1. In such cases, the Laboratory Director shall explain this decision in the complete comprehensive review submitted to the President of UMCEES (Section III-10.2.d.4).

B. At least one (1) member, and not more than two (2), shall be employed at a different UMCEES Laboratory and/or at another University System of Maryland Institution.

1. The committee chair shall be appointed by the Laboratory Director.

C. At its discretion, the committee may assemble additional information pertinent to the evaluation of the professional development of a faculty member during the period of time covered by his/her comprehensive review.

1. Except that the source(s) shall remain confidential, this additional information shall be available for inspection at the request of the faculty member.

D. The committee shall prepare and submit to the Laboratory Director a written appraisal of each faculty member, such appraisal to identify with specific examples the strengths of the individual's performance during the review period and to point out problem areas that appear to be inhibiting professional development.

1. The appraisal shall be endorsed by each member of the committee, except that any member of the committee may submit a signed minority report.

2. The appraisal shall be accompanied by the complete dossier of the individual under review.

IV. Written Evaluation

Based on the review committee's report, information from past annual reviews, and any additional information that may be procured, the Laboratory Director shall prepare a written evaluation of each faculty member undergoing comprehensive review at his/her facility.

A. The review shall specifically address the faculty member's professional development in research, education, and service and cite specific examples in the material assembled in the individual's dossier.

1. Laboratory Director shall consider the context of past performance, the individual's ability to address and solve problems defined in previous annual and/or comprehensive evaluations, and perceived trends in the faculty member's professional development.

2. Special emphasis shall be placed on providing evidence that the individual has attempted to apply his/her professional abilities in service to UMCES, the UM System, and the State of Maryland.

B. The review shall conclude with a ranking of the individual's performance according to the following categories:

superior, excellent, satisfactory, and unsatisfactory.

1. An additional category, ***distinguished***, is reserved for those few individuals who have shown truly exceptional professional development during the time period covered by the comprehensive review and shall be assigned by the President upon receipt and approval of such recommendation from the appropriate Laboratory Director.

C. The Laboratory Director shall provide the faculty member with a copy of the evaluation.

1. The faculty member shall be invited to prepare a written response, and, if he/she elects to do so, such response shall be submitted to the Laboratory Director within fourteen (14) calendar days after receiving the evaluation.

2. The Laboratory Director shall discuss the evaluation, and the faculty member's response if any, with the individual in a private meeting.

3. The review committee's appraisal, the Laboratory Director's written evaluation, and the faculty member's written response, if any, shall constitute the *complete comprehensive review*.

D. Prior to 15 April of the next calendar year, the Laboratory Director shall forward a copy of the complete comprehensive review to the President of UMCES.

1. If the performance ranking is unsatisfactory, the faculty member's entire comprehensive review dossier shall accompany these materials.

2. The President may elect to review the complete dossier of any faculty member who has undergone comprehensive review.

V. Development Plan

If a faculty member's performance is judged as not meeting expectations, the Laboratory Director, the President of UMCES, and the faculty member in question shall meet to work out a specific development plan for professional improvement.

- A. The plan may include any elements consistent with the mission and policies of UMCES, and shall provide for formal evaluation of progress at fixed intervals.
- B. The plan shall be signed by the Laboratory Director, the President of UMCES, and the faculty member.

VI. Records

The complete comprehensive review, the evaluation dossier, and any agreed upon plan for professional development, shall become part of the faculty member's permanent file at UMCES.

- A. These documents may be examined at any time by the faculty member, by the UMCES President, Vice Presidents, and the individual's Laboratory Director, and by other individuals authorized to do so by the UMCES Vice President for Administration as part of future professional evaluations.
 - 1. A written record of any examination requiring authorization, identifying the party or parties, date, and purpose, and signed by the Vice President for Administration, shall be added to the permanent record.