FACULTY ANNUAL REVIEW REPORT - ANNUAL REVIEW

Faculty member: _____________________________________ Department: _________________________
Rank: _______________________________ Evaluation Period: ____________________

Areas to be evaluated and rated are (1) teaching, (2) research/scholarship/creative activity, (3) service, and (4) overall performance.¹
In each area, the department head rates faculty performance on a scale of 1 to 5, as set forth below, relative to expectations for his or her rank, based on previously established objectives for that faculty member (including goals for the previous year and each of the preceding two years in the Evaluation Period) and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

5 – Outstanding (Excellent): Far exceeds expectations
4 – More Than Expected (Very Good): Exceeds expectations
3 – Expected (Good): Meets expectations
2 – Less Than Expected (Fair): Falls short of meeting expectations²
1 – Unsatisfactory (Poor): Falls far short of meeting expectations²

<table>
<thead>
<tr>
<th>Unsatisfactory</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>1 2 3 4 5 NA</td>
</tr>
<tr>
<td>Research/Scholarship/Creative Activity</td>
<td>1 2 3 4 5 NA</td>
</tr>
<tr>
<td>Service</td>
<td>1 2 3 4 5 NA</td>
</tr>
<tr>
<td>Overall</td>
<td>1 2 3 4 5 NA</td>
</tr>
</tbody>
</table>

The department head’s Progress and Performance Narrative shall be attached to this Report. Other supporting materials also may be attached. For tenured faculty in Good Standing,³ the department head is required to attach a Progress and Performance Narrative only every three years, unless the faculty member asks the department head to draft and attach a narrative for that year.⁴ In years for which a Progress and Performance Narrative is not attached, the faculty member’s Faculty Activity Report for that year is attached to this Report in lieu of the Progress and Performance Narrative.

For purposes of merit and performance-based salary adjustments, this faculty member:
___Exceeds expectations (is eligible for significant merit/performance pay adjustments)
___Meets expectations (is eligible for minimum merit/performance pay adjustments)
___Needs improvement (is not eligible for merit/performance pay adjustments)²
___Unsatisfactory (is not eligible for merit/performance pay adjustments)²

By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (without implying agreement or disagreement). I understand that I have the right to respond in writing to this form within two weeks from the date I received this form in accordance with Part II.B. of the Manual for Faculty Evaluation.

Faculty Member: _____________________________________ Date: _______________
Department Head: _____________________________________ Date: _______________
Dean:⁵ _______________________________________________ Date: _______________
Chief Academic Officer:⁴ _________________________________ Date: _______________

¹ Procedures and standards are set forth in the Faculty Handbook, the Manual for Faculty Evaluation, and the departmental bylaws.
² An improvement plan is required.
³ A tenured faculty member is in “Good Standing” if he or she (a) receives an overall rating in this annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.
⁴ A department head may also voluntarily attach a Progress and Performance Narrative in any year in which it is not required.
⁵ Attach rating and rationale, as necessary.
APPENDIX A:

FACULTY ANNUAL REVIEW REPORT – ANNUAL REVIEW
FACULTY ANNUAL REVIEW REPORT – RETENTION REVIEW
CUMULATIVE PEER REVIEW REPORT
FACULTY EXTERNAL COMPENSATION AND CONSULTING ANNUAL REPORT FORM
FORM A – CONSULTING ENGAGEMENT REPORT
D. FOLLOWING UP ON THE CPR COMMITTEE’S RECOMMENDATION

Additional information regarding the cumulative performance review process and its potential outcomes is set forth in the Revised Policies Governing Academic Freedom, Responsibility, and Tenure, as adopted by The University of Tennessee Board of Trustees in June, 2003, and referenced above in Part V.A.1. Appendix C of this manual contains the text of the board policy.
c. Documentation, not included in the annual review summaries, required by departmental bylaws, that relates to the faculty member's activities for the preceding five years; and

d. A current curriculum vitae.

**C. REVIEW PROCESS**

**1. Establishing a Cumulative Peer Review (CPR) Committee.** Within 30 days of receipt of notification that a cumulative review has been triggered, the college dean shall appoint a peer review committee consisting of at least five members (including the chair) and shall determine its chair. The committee shall be composed of appropriate tenured faculty members at the same or higher rank as the faculty member under review drawn from departmental faculty members and appropriate faculty members from outside the department. One member of the peer review committee shall be selected from a list submitted by the faculty member, one member shall be selected based on a recommendation from the department head, and at least two additional members shall be selected based on nominations by the Faculty Senate (one of which shall be from outside the department). The department head may not serve on the peer review committee.

**2. The Committee’s Deliberations.** The peer review committee shall examine the above referenced review materials and shall make an evaluation of the faculty member’s performance in the categories of teaching, research/scholarship/creative activity, and service. The committee shall then reach an overall assessment of the faculty member’s performance over the preceding five years by indicating whether the faculty member satisfies expectations for his or her rank or fails to satisfy expectations for his or her rank and shall comment on specific weaknesses and/or strengths in performance. The peer review committee evaluation shall be summarized on the Cumulative Peer Review Report form (see Appendix A of this manual).

**3. Reviewing and Signing the Cumulative Peer Review Report.** The faculty member reviews and signs the Cumulative Peer Review Report. The faculty member’s signature indicates that he or she has read the entire report, but the signature does not necessarily imply agreement with the findings.

**4. Transmitting the Cumulative Peer Review Report.** The committee chair forwards the Cumulative Peer Review Report to the department head, the college dean, the chief academic officer, and the faculty member under review.

**5. Responding to the Cumulative Peer Review Report.** The faculty member may prepare a written response to the Cumulative Peer Review Report. This response shall be copied to the department head, the college dean, the chief academic officer, and the CPR Committee. The faculty member shall be allowed two weeks from the date of receipt of the report from the committee to submit any written response. If no response is received after two weeks from the date of receipt, the faculty member relinquishes the right to respond.
PART V - CUMULATIVE PERFORMANCE REVIEW OF TENURED FACULTY

A. GENERAL INFORMATION

1. Policies and Procedures Governing Cumulative Performance Review. The policies and procedures governing cumulative review of tenured faculty are given in the University of Tennessee Board of Trustees’ policy (http://www.tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf) and the Faculty Handbook (3.8.3). Cumulative performance reviews for tenured faculty are triggered by evaluations from the annual review of tenured and tenure-track faculty (see Part II of this manual).

2. Initiation of a Cumulative Performance Review. Board of Trustees’ policy mandates that a cumulative performance review is triggered for a faculty member in the following circumstances:

   a. A faculty member whose annual review results in a rating of unsatisfactory in any two of five consecutive years;

   b. A faculty member whose annual review results in any combination of unsatisfactory or needs improvement ratings in any three of five consecutive years.

3. Notification of the Cumulative Performance Review. The department head will notify in writing any faculty member who qualifies for a cumulative performance review under the conditions outlined in Part V.A.2 of this manual. This notification will be included in the department head’s narrative on the Faculty Annual Review Form as part of the normal reporting process for the annual review of faculty as described in Part II.B of this manual.

B. REVIEW MATERIALS

1. General Information. The materials to be used in the cumulative performance review of a tenured faculty member should include at least the following:

   a. The Faculty Annual Review Forms and supporting documents for the preceding five years;

   b. Review materials for the faculty member’s activities in teaching, research/scholarship/creative activity, and service during the year immediately preceding the cumulative review (i.e., the equivalent of annual review materials, as referenced in Part II.B.2 of this manual);
including the candidate’s curriculum vitae, appropriate supporting materials concerning the candidate’s research or creative activity, and the departmental and collegiate statements of criteria for promotion and/or tenure.

c. Letters from external evaluators must be submitted on institutional letterhead and carry the evaluator’s signature. These letters, or their images, may be submitted via regular mail, e-mail, or facsimile. If multiple versions of a letter are received, then all versions should be retained in the candidate’s dossier.

d. The department head or designate is responsible for providing and including in the candidate’s dossier a brief biographical statement about the credentials and qualifications of each external evaluator; special attention should be given to documenting the evaluator’s standing in his or her discipline as part of the biographical statement.

e. Log of contacts with external evaluators. A log shall be inserted in the dossier to document the following:

i. date of request to the external evaluator;

ii. date of receipt of letter from external evaluator; and

iii. date of entry of letter into dossier.

f. Sample letter. A sample copy of the letter requesting the external assessment shall be inserted in the dossier. The letter will request a critical assessment of the candidate's achievements and reputation within his or her discipline, with reference to the duties and responsibilities assigned to the candidate. Requests should be for letters of assessment, not for letters of recommendation.

5. Duties of the Deans and the Chief Academic Officer in the Dissemination of Information about Dossier Preparation

a. Duties of the dean. Each collegiate dean shall ensure that faculty members in his or her college are informed about the manner in which dossiers are prepared and the appropriate content of dossiers.

b. Duties of the chief academic officer. The chief academic officer shall be responsible for ensuring that tenure and promotion workshops to inform faculty members, review committees, and academic administrators about dossier preparation and review procedures are conducted annually.
authoritative assessment of the candidate’s research record and to comment on its significance in the discipline. Whenever possible, letters should be solicited from individuals at peer institutions or aspirational peer institutions, in particular, from faculty employed at AAU institutions. If individuals at non-peer institutions are solicited for letters, the department head must explain the reasons for the choice of these individuals (including without limitation evidence of the reviewer’s exemplary experience and standing in the candidate’s field). Evaluators will normally hold the rank of professor and must have attained at least the rank to which the candidate aspires. Evaluators must be able to furnish an objective evaluation of the candidate’s work and may not be former advisors, post-doctoral supervisors, or close personal friends of the candidate or others whose relationship with the candidate could reduce objectivity. If the evaluator has had a collaborative scholarly or research relationship with the candidate, the nature of that collaboration and the relative contributions of the candidate must be clearly described by the evaluator. A reviewer’s appearance on an academic panel or roundtable with the candidate or attendance at a symposium or conference with a candidate, taken alone, does not constitute a relationship with the candidate that could reduce objectivity. Questions concerning the eligibility of potential evaluators should be referred to the office of the Dean and, where appropriate (e.g., where the department is a college or where the Dean is uncertain about how to resolve the matter), Provost well in advance of making a request from the individuals in question. Each evaluator will be asked to state expressly in his or her review letter the nature of any association with the candidate.

b. **Method for Obtaining External Assessments.**

- The department head or designate, in consultation with departmental faculty, assembles a list of potential external evaluators.
- The department head or designate requests the names of potential evaluators from the candidate.
- The department head or designate also requests names of individuals the candidate wants excluded and the reasons for the exclusions.
- The department head or designate will normally solicit 8-10 letters. No more than half of the letters solicited should come from the list suggested by the candidate.
- The dossier will normally include no fewer than five letters from external evaluators.
- All letters solicited and received must be included in the dossier unless the Office of Academic Affairs approves their removal from the review process.
- The dossier will include a log documenting all requests for letters from external evaluators. The log documents the date on which each external letter was requested by the department head or designate and the date on which the letter was received. All requests should be entered regardless of whether a response was obtained. The log will also indicate which evaluators come from the candidate’s list and which are from the list of the department head or designate.
- The department head or designate will send to the external evaluators information and documentation for use in preparing the external assessment.
promotion and tenure reviews. The first statement of faculty responsibilities should be developed within the first six months of employment and updated annually.

b. **Teaching evaluation summary and peer review.** The department head assembles and prepares the portions of the dossier documenting the teaching evaluation and peer review of the candidate for tenure and promotion. In preparation for tenure and promotion review, departments must conduct a peer evaluation of teaching. Normally, a peer evaluation will be conducted within a year of the faculty member’s initial appointment and repeated after a period of several years but prior to review for tenure and/or promotion according to departmental bylaws. Dossiers not containing evidence of self assessment and peer evaluation in addition to student evaluation will not be considered for promotion and tenure.

c. **External letters of assessment.** External letters of assessment must be obtained for candidates being reviewed for all tenure and/or promotion actions. The department head manages the process of obtaining external letters of assessment based upon the guidelines outlined in Part IV.B.4 of this manual.

d. **Previous evaluative reports.** The department head furnishes previous evaluative reports.

   i. For candidates for tenure and promotion, the Annual Retention Review Forms for annual retention review during the probationary period shall be included in the dossier. The Retention Review Forms shall be presented in chronological order beginning with the earliest through the most recent retention reviews.

   ii. For candidates for promotion only, the Faculty Annual Review Forms from annual reviews since the most recent promotion or tenure action will normally be included. The Faculty Annual Review Forms shall be presented in chronological order beginning with the earliest through the most recent evaluation. Evaluative statements from prior promotion reviews and from prior tenure reviews are not to be included.

4. **The process for obtaining external letters of assessment**

The department head or designate (e.g., chair of a departmental tenure and promotion committee) is responsible for the process of obtaining letters from external evaluators. The head, or designate, should initiate the process of obtaining external letters of assessment far enough in advance of the review process that letters are in the dossier and available to peer review committees and administrators at all levels of review. Candidates for tenure and promotion should not contact prospective or actual external evaluators under any circumstances.

a. **Qualifications of External Evaluators.** External evaluators should be distinguished individuals in the candidate’s field who are in a position to provide an
iii. Letters of appreciation or thanks except when they include an explanation of the contribution made to teaching, research/scholarship/creative activity, or service; or

iv. Course syllabi, outlines, and other course materials; course evaluation forms.

2. **Role of the Faculty Member in Preparation of the Dossier**

   a. **Factual information.** Each faculty member shall assist in supplying relevant information for his or her dossier which shall include the following items:

      i. A current *curriculum vitae* to assist the department head in preparing the factual information in the dossier;

      ii. Supporting material on research/scholarship/creative activity which will, along with a copy of the current *curriculum vitae*, be sent to external evaluators; and

      iii. Required statements and factual information found in the dossier sections on teaching, research/scholarship/creative activity, and service.

   b. **Faculty member’s review and signature statement.** Each faculty member shall review for accuracy and completeness the factual and evaluative information contained in his or her dossier prior to the beginning of the review process. The faculty member signs a statement certifying that he/she has reviewed these parts of the dossier. External letters of assessment will be made available upon written request from the candidate.

   c. **Faculty member’s role in identifying external evaluators.** Faculty members may suggest names of external evaluators, but in no case should the candidate directly solicit the external letters of assessment.

3. **Role of the Department Head in Preparation of the Dossier**

The department head manages the assembly of the factual and evaluative information in the dossier based upon the materials furnished by the faculty member. In addition, the department head must supply the following information.

   a. **Statement of responsibilities.** A statement defining the responsibilities of the faculty member shall appear in the front of a candidate's dossier. It is recommended that the department head, or an appropriate administrator, write, in the third person, in consultation with the faculty member, a brief statement of responsibilities. The statement should be descriptive, not evaluative, and should clarify the areas of responsibility assigned to the faculty member in regard to the criteria used in
materials such as sample publications, videos, recordings, or other appropriate forms of documentation.

ii. The department head also attaches to the dossier previous evaluative reports such as Annual Retention Review Forms and Faculty Annual Review Forms.

iii. All statements, reports, summaries and recommendations generated by the peer committees and administrators involved in the review process will become part of the dossier. The votes taken by peer committees are recorded on the Summary Sheet (see Appendix B of this manual).

2. Changes in the Informational Sections of the Dossier.

All peer review committees and administrators shall limit deliberations to the review of the content of the complete dossier, curriculum vitae, supporting materials, and attachments as forwarded. In the event that additional material is submitted for inclusion either through the department head or other administrator or independently, all peer review committees and administrators who have completed their review of a candidate shall be informed about additions that are made to the original materials subsequent to their review. All peer review committees and administrators who are informed about these submissions shall have the opportunity to reconsider their recommendation. The candidate for tenure and/or promotion shall also be invited to review the additional material and respond to it.

B. ASSEMBLY OF THE DOSSIER

1. Organization of Information in the Dossier

a. The role of the department head in assembling the dossier. The department head manages the assembly of the factual and evaluative information in the dossier based upon the materials furnished by the faculty member.

b. Standard format required. A standard format for presenting and organizing the information in the dossier shall be used by all departments. The format is described in detail in Appendix B to this manual. Any questions about the format and/or contents of the dossier should be directed to the chief academic officer.

c. Items not to be included in the dossier. The dossier should not contain the following items unless unusual circumstances prevail and the materials are necessary for making an assessment and recommendation (this judgment shall be made by the dean):

i. Evaluative statements written by the candidate;

ii. Statements about a candidate's personal life unless they are germane to the quality of the candidate's work;