Annual Faculty Evaluation Process Steps

The SOM Faculty Individual Career Development Plan (IDCP) and the Annual Faculty Evaluation are a Plan-Do-Study-Act Quality Improvement cycle for faculty life. Each faculty member is expected to participate actively in a strength- and interest-based developmental dialogue with those persons responsible for providing their key career supervision, career guidance, and in particular, their formal Annual Faculty Evaluation in order to develop the written and mutually vetted Specific, Measurable, Attainable, Relevant, Time-bound (SMART) goals of their annual ICDP. The ICDP must demonstrate a relevant contextual basis and include productivity metrics aligned with the applicable XYZ Compensation Plan and UTHSCA promotion and/or tenure criteria (PTAC Checklist). The current ICDP serves as the central focus of the Annual Faculty Evaluation. The formal Annual Faculty Evaluation should employ a developmentally analytical approach to culminate simultaneously in a formal evaluation of ICDP goal achievement and the delineation of mutually acceptable ICDP SMART goals for the next fiscal year.

Related Resources: Annual Faculty Evaluation Form; Individual Career Development Plan (ICDP); the faculty member’s current CV; UTHSCA PTAC Criteria Checklist; applicable XYZ Compensation Plan; TIPS for Promoting Faculty Vitality; Q&A about the Faculty Development & Evaluation Cycle.

The UTHSCSA SOM Annual Faculty Evaluation FORM comprises Sections I. – VI.

I. Faculty Member Information  
II. Mentoring  
III. Exceptional Accomplishments  
IV. Evaluation of ICDP Productivity & Goal Achievement (Insert actual ICDP.)  
V. Confirmation of Track  
VI. Additional Comments and Signatures of Agreement

Individual Faculty Member: Annual Evaluation Process Steps

Set written GOALS: Each faculty member engages in a developmental dialogue with those providing key supervision, mentoring and career guidance and/or responsible for conducting the Annual Faculty Evaluation in order to construct the written Specific, Measurable, Attainable, Relevant and Time-bound (SMART) goals of their Individual Career Development Plan (ICDP) within the first month of appointment, and each year as part of the Annual Faculty Evaluation process. SMART goal setting is intended to focus and facilitate future career activity, reveal potential mentoring needs, help target mentor(s), and become the basis of the subsequent fiscal year’s (FY) Annual Faculty Evaluation. The ICDP must demonstrate contextual relevance through alignment with at least the applicable XYZ Compensation Plan(s) and the UTHSCA PTAC Criteria Checklist as productivity metrics.

Process: Construct both short-term (6-month - 1-year) and long-term (up to 5-year) SMART goals. Aim to set 3-5 goals in each scholarship strength areas and short- and long-term timeframe relevant to focused career development. Not all areas are applicable to each faculty career. The Annual Faculty Evaluation occurs about May and usually in time to inform the department’s budgetary cycle.
Prepare for the Annual Faculty Evaluation: Each faculty member completes each Section I–V of the UTHSCSA SOM Annual Faculty Evaluation Form and submits it to the evaluator in a timely fashion along with a copy of their current eCV. List brief item descriptions in the Form along with eCV pages where relevant. Section IV. is a self-critique of the current ICDP. This self-evaluation of ICDP productivity, challenges and facilitators should help the faculty member write SMART goals for the next FY’s ICDP, which is expected to be submitted to the evaluator with the other 2 evaluation documents.

- **Section I. Faculty Information:** List name, rank, track, etc.
- **Section II. Mentoring:** Protégé lists (assigned) primary mentor. Optional: list other mentors. Mentor lists any assigned ‘formal’ protégés. Optional: list other protégés. This allows quantitative documentation of mentoring. Departments are expected to conduct Mentoring Program qualitative evaluation to insure effectiveness.
- **Section III. Exceptional Accomplishments:** List outstanding achievements, if any, since the last Annual Faculty Evaluation.
- **Section IV. Evaluation of Individual Career Development Plan (ICDP) Productivity & Goal Achievement:** Insert the current ICDP, indicating a personal critical review through SWOT analysis (Strengths, Weaknesses, Opportunities, Threats) or other means that clearly and concisely delineates the level at which each goal was attained. Identify key goal attainment facilitators and barriers in order to inform development of the next FY ICDP SMART goals. For each area of strength - Teaching, Research, Service, answer the question, 'Is my scholarship documented?' Concisely annotate each goal with sufficient material to document level of goal accomplishment. Reference related CV page numbers.
- **Section V. Confirmation of Track:** Complete corresponding section.

Participate in the Annual Faculty Evaluation: Discuss evaluator’s review of your performance and career development progress. Brainstorm optimal mechanisms for achieving and documenting scholarship aligned with career goals.

- **Section VI. Additional Comments and Signatures of Agreement:** Complete this section to signify a discussion has occurred and the evaluation outcome is final.
- The Annual Evaluation process informs development of the next FY’s ICDP goals.

★ **NEW FY ICDP:** As part of the Annual Faculty Evaluation, the ICDP SMART goals for the next FY should be discussed developmentally and contextually, edited, agreed upon, signed and dated.
Division Chief, Department Chair or Other Leadership Individual Responsible for Evaluating the Faculty Member: Annual Evaluation Process Steps

Conduct the FY-end Annual Faculty Evaluation: The responsible evaluator receives three documents: individual faculty member’s current eCV; completed UTHSCSA SOM Annual Faculty Evaluation Form with the ICDP self-assessment; the next FY’s proposed ICDP.

The Overall Annual Faculty Evaluation Process:
- **Evaluation Form Sections I–V**: Review and confirm faculty member’s responses.
- Analyze each SMART goal for insight and goal attainment. Consider rating scale (below).
- For each area of strength - Teaching, Research, Service, answer the question, ‘Is scholarship documented and sufficient in their area(s) of strength?’
- Using a developmental approach in the Evaluation, dialogue to reach an understanding about the year’s goal-attainment progress and documentation of scholarship.
- Sign final Annual Faculty Evaluation for the current year.
- Review next FY’s proposed ICDP. Apply SWOT-analysis (Strengths, Weaknesses, Opportunities, Threats) or similar technique to help faculty member strategize SMART goals and make revisions in the context of the department/division, the individual’s overall career, the compensation plan and PTAC criteria.
- Approve and sign the new ICDP for the next FY and related annual faculty evaluation.

Rating Scale, when needed:
Using the same HOP 3.7.5 scale that is Board of Regents’ mandated for Post-Tenure Evaluation to rate each goal attainment and/or area of strength would link several evaluation processes, and may provide an effective basis for discussing performance and strategizing new goals.
- **Exceeds Expectations (EE)**: Performance exceeds supervisor’s/departmental expectations for goal achievement.
- **Meets Expectations (ME)**: Performance meets expectations.
- **Fails to Meet Expectations (F)**: Performance is below expectations, but improvement can be made and is expected.
- **Unsatisfactory (U)**: Performance is not acceptable; significant corrective action is necessary.

Potential EVALUATION Discussions (examples):
- MENTOR selection and/or mentoring in the context of how best to achieve one’s SMART goals. Who could best mentor or sponsor this faculty member in a particular area?
- BRAINSTORM and TROUBLESHOOT: Is more documentation needed for Teaching scholarship? Is recognition for teaching excellence deserved? Goal strategizing might include preparing and submitting a poster for presentation or manuscript for publication about innovative educational work done. Nomination for teaching awards should be strategized and targeted.

Section VI. Additional Comments and Signatures of Agreement. Signatures on the Annual Faculty Evaluation Form demonstrate that career development and productivity discussion occurred and agreement was reached about the final results of that FY’s Faculty Evaluation. List details, as desired, to serve the faculty member, department and other evaluation needs. Finalize, sign and date the faculty member’s ICDP SMART goals for the upcoming FY to signify discussion and mutual agreement about the ICDP that will serve as the focus of the next FY’s Annual Faculty Evaluation.