

**I-38**  
**FORMAL APPRAISAL**  
(Revised 4/24)

Formal appraisals are made "in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty" (APM 220-83). For the Teaching Professor series, "security of employment" is substituted for "tenure."

A formal appraisal of an Assistant Professor/Assistant Teaching Professor will be conducted during the fourth year of service in that title, or in combination with this and other titles counted under the eight-year rule, as defined in APM 133-0 a and APM 133-0 b. Individuals appointed at the higher steps of the Assistant Professor/Assistant Teaching Professor rank may be promoted after less than four years of service, in which case an appraisal would not occur. The formal appraisal may be deferred, by request, if the faculty member has had time off the tenure/SOE clock. The formal appraisal will not be conducted earlier than the fourth year, however, departments should be informally mentoring junior faculty throughout their Assistant Professor or Assistant Teaching Professor appointment.

Departments may make one of the following three recommendations in an appraisal case:

- a. Continued Candidacy: indicating an assessment that the candidate is likely to eventually qualify for promotion to tenure/SOE rank.
- b. Continued Candidacy with Reservations: indicating an assessment that there is an identified weakness in the record that appears to require correction in order for the individual to eventually qualify for promotion to tenure/SOE rank.
- c. Terminal appointment.

The departmental vote should be taken providing the above three options rather than a yes-no vote on any one of the possible outcomes.

The departmental letter of recommendation should contain a description and analysis of the candidate's total performance in each of the areas of evaluation and an evaluation of the performance as progress toward eventual tenure/SOE. The procedures for Expanded Reviews (Red Binder I-35) should be followed in preparing the appraisal recommendation. An appraisal done in conjunction with a Dean's Authority merit increase is still considered an Expanded Review action.

Prior to a formal appraisal the Chair should inform the candidate of the criteria for advancement and the nature of the review process as set forth in APM 210-1 d and APM 220 or 285. This step would reasonably include a discussion of the relative value given to books versus journal articles, etc., the importance of research vis-à-vis teaching or University service, and the relative merits of long- and short-term research goals. The structure of the review process, including the responsibilities of various reviewing agencies, should also be explained fully. The candidate should be told that a formal appraisal cannot result in a promise of eventual tenure/SOE. A final decision for Continued Candidacy, based as it is on an early sample of the record an Assistant Professor/Assistant Teaching Professor will present when later considered for tenure, is only a tentative prognosis. Promotion to tenure/SOE rank will require greater accomplishment in all review areas and receives a more extensive review that includes solicitation of extramural letters as well as the convening of an ad hoc review committee.

In all formal appraisal reviews the candidate will receive redacted copies of all reviewing agency reports. A decision for a Terminal Appointment shall be made only in accordance with APM 220-84 or APM 285-17.