



**OHIO**  
UNIVERSITY

College of Health Sciences  
and Professions

## **Annual Faculty Performance Evaluation**

**Policy:** “Annually, departmental chairpersons shall evaluate all members of their faculty with regard to salary. Each chairperson shall employ a departmental committee or committees in the evaluation process, which shall conform to the department’s established written procedures” (Faculty Handbook II.E.1.).

**Purposes:** The purposes of the Annual Faculty Performance Evaluation are: (1) to document performance, and (2) to assess performance as part of the annual review process for the purpose of determining meritorious performance and possible salary increase. As such, the plan is both formative and summative in nature. Yearly goals and objectives provide the foundation and direction for annual faculty development, performance enhancement, and evaluation.

These goals and objectives have been agreed upon by the faculty member, Chair of the unit’s Annual Review Committee (hereafter Committee), and the School Director/ Department Chair (hereafter Director/Chair). The outcomes provide evidence of faculty achievement in meeting these objectives.

Although the plan is oriented toward the individual faculty member, the process provides an opportunity to coordinate and integrate objectives with the mission, goals, and priorities of the University, College and Schools/Department, as well as with the respective promotion and tenure criteria. The system is designed to meet individual and collective needs.

### **I. The formative goals of the performance plan are intended to:**

- A. Assist faculty members in identifying and targeting objectives for professional growth.
- B. Assist faculty members in identifying and obtaining resources needed to accomplish objectives.
- C. Assist faculty members in identifying professional objectives that will move them toward promotion and/or tenure (when appropriate).
- D. Recognize and support individual differences and preferences among faculty members in terms of their unique abilities in teaching, scholarly endeavors, and service.
- E. Serve as a basis for feedback to faculty members about methods, behaviors, and outcomes that can enhance performance.

### **II. The summative goals of the performance plan are intended to:**

- A. Identify role expectations of faculty members (i.e., teaching, scholarly endeavors, and service) to assure that each fully understands how performance will be reviewed on an annual basis.
- B. Review faculty performance based on mutually agreed upon objectives, action plans, and outcomes.
- C. Provide a basis of mutual understanding for annual review and salary adjustments that reflect the strengths and unique contributions of each faculty member.

**III. The expectations of faculty are to:**

- A. Annually prepare goals that address teaching, scholarship/creative activity, clinical practice/clinical supervision, and service with respect to the negotiated effort in each area.
- B. Develop specific and measurable objectives that describe how goals will be met. The number of specific objectives should be based upon the individual's professional growth strategies in conjunction with the mission of the School/Department and College.
- C. Provide a summary statement (1-2 pages) describing the accomplishment of objectives. A rationale for incomplete objectives should also be provided as well as rationale for accomplishments that were not listed as objectives for the year.
- D. Provide documentation as required by the unit's Committee conducting the review to support the summary statement.

**IV. The expectations of the School/Department Annual Review Committees are to:**

- A. Act as a resource to faculty members in developing goals and objectives.
- B. Evaluate proposed goals and objectives with respect to University, College and Schools/Department goals and make recommendations to the Director /Chair.
- C. Assess the individual's annual performance in terms of fulfillment of expected work as negotiated in the letter of hire or renegotiated in the annual review process as well as the accomplishment of agreed upon goals and objectives for the year under review. The Committee conducting the annual review will make recommendations to Director/Chair.

**V. The expectations of School Directors/Department Chair are to:**

- A. Assure that the work of the School/Department is completed with an equitable distribution of tasks across faculty members over the annual evaluation period.
- B. Act as a resource to faculty members in developing goals and objectives.
- C. Consider requested resources necessary to accomplish faculty objectives.
- D. Assess the individual's annual performance in terms of goals and objective accomplishment with respect to the mission, goals, and priorities of the University, College and Schools/Department.

**VI. Process for the Annual Review:**

- A. The period of review is the immediately preceding calendar year.
- B. There are two components to the annual review process: i) prospective goal-setting for the coming year; and ii) retrospective evaluation of the past calendar year. The timeline for the process will be determined by the needs of each School/Department but shall be consistent with any timelines established by the University Faculty Handbook. Schools/Department will establish the schedule for the two components as long as the February 1 deadline for faculty evaluation letters is met.
- C. The prospective process includes:
  1. Faculty submission of goals and objectives for the coming calendar year to the Director/Chair and the Committee conducting the annual review.
  2. The Committee's review of the goals and objectives, the requested resources, and the expected outcomes. The Chair of the Committee will forward recommendations and suggestions to the Director/Chair.
  3. A formal agreement and approval of expectations of work will exist in writing between the faculty member and the Director/Chair that reflects those terms negotiated in the letter of hire or renegotiated in the annual review process as well as the current year goals and objectives. Once approved, individual faculty members will use the goals,

- objectives, and action plans as a framework for the upcoming year.
- C. The retrospective review process includes:
1. Documentation submitted by faculty that summarizes progress toward meeting goals and objectives to the Committee on or before the predetermined and published deadline date. The exact format of this documentation is at the discretion of the Schools/Department.
  2. Assessment of the accomplishments that includes the expected work as negotiated in the letter of hire or renegotiated in the annual review process by the committee who will forward comments to the Director/ Chair.
  3. Evaluation of attainment of goals and objectives will also be used as the basis for the determination of possible annual merit salary increases.
  4. A performance review session that includes the faculty member, the Chair of the Committee conducting the annual review, and the Director/Chair of the School/Department.

**VII. Revision of a faculty member's performance plan:**

- A. Faculty members are encouraged to seek additional opportunities for professional growth throughout the year even if these opportunities do not specifically address their stated objectives. However, these opportunities should enhance the accomplishment of their broad goals. Faculty will document these new opportunities during the retrospective component of the review process.
- B. Faculty should consult with the Chair of the Committee conducting the annual review Director/Chair, and Chair of the unit's Promotion and Tenure Committee regarding changes to the plan to determine the potential effects on the promotion and tenure process.

**VIII. Arbitration of performance evaluation plan:**

In the event that a personality conflict or an issue of trust arises, faculty members have the right to have their prospective and retrospective processes of the annual review reviewed by the Dean of the College of Health Sciences and Professions or a representative of the Dean's office. The faculty member may request this prior to the onset of the review by the Committee conducting the annual review or after the review. In the case that a review is requested, the Dean or the representative of the Dean's office will serve as an arbitrator. The review will result in a written final decision about actions to be taken, distributed to the faculty member, Chair/Director, and Chair of the Committee conducting the annual review.

**IX. Review, and possible revision, of the Annual Faculty Performance Evaluation Policy:**

This policy will be formally reviewed and/or revised every five years, although periodic reviews and revisions may occur as needed. The first review of this document will occur in academic year 2017-18, with subsequent reviews occurring every five years. It will be reviewed and/or revised by an ad hoc committee consisting of four representatives (one tenured Group I faculty member, one probationary Group I faculty member, one Group II, and one Clinical Faculty member) from each School/Department within the College of Health Sciences and Professions. A representative of the Dean's office will serve on the committee in a consultative nonvoting status. Any changes must be approved by a majority of Group I and Group II faculty.

**X. Specific format of the Annual Performance Plan:**

The chair/director of the school/department, in consultation with the Chair of Annual Review Committee may establish their own annual goal-setting and review forms. Whatever process

is used, the performance plan and the appraisal are to be in writing.

The Annual Faculty Performance Evaluation Policy originated in April 2013, and replaced the former policies AP0005 and AP0006 pertaining to the annual Performance Evaluation Plan. This new policy was approved by a majority of faculty voting {INSERT DATE}. Next review: Academic year 2017-18.