

Oklahoma State University Policy and Procedures

ANNUAL FACULTY APPRAISAL AND DEVELOPMENT PROGRAM

2-0112
ACADEMIC
AFFAIRS
November 2008

POLICY

- 1.01 A review of faculty activities and accomplishments for the preceding calendar year shall be conducted by the unit administrator every spring for every faculty member, regardless of rank or tenure status. A written report of activities and accomplishments shall be submitted by the faculty member. This report shall include a work and professional development plan. Unit administrators are expected to encourage the professional development of each faculty member.
- 1.02 Unit administrators shall familiarize each faculty member with the performance standards established by the faculty members of the unit. The unit administrator shall endeavor to provide an environment conducive to the achievement of expected performance. The unit administrator shall submit a written evaluation that gives detailed descriptions of the faculty member's accomplishments or deficiencies. The faculty member's written report, together with the unit administrator's evaluation, shall serve as the supporting documentation for any merit pay raise or other salary adjustment. The completed annual review documentation shall be placed into the permanent record of the faculty member and shall be added to an accumulation of performance documents that shall be used in any further review. A complete set of annual review documents shall be available for any peer committee evaluation, particularly evaluations at the times of reappointment, tenure and promotion. If a major element of performance is judged to be unsatisfactory by the unit administrator, the following steps shall be taken:
- a. A detailed written plan for corrective action shall be specified by the unit administrator.
 - b. If requested by the faculty member, the unit administrator shall obtain appropriate faculty counsel to determine whether the appraisal is justified, and if so, what measures to improve performance are warranted. If the judgment of unsatisfactory performance is not supported by the faculty group, the matter shall be forwarded to the dean for resolution.

PROCEDURE

- 2.01 The faculty of each academic unit shall develop and formally approve written performance standards that shall be used as the basis for the annual faculty appraisal and development.

- 2.02 Each spring semester, unit administrators shall initiate the appraisal and development process by distributing the Annual Faculty Appraisal and Development Program Form and clearly communicating to each faculty member the procedures, guidelines, timetable, and performance standards to be used.
- 2.03 Upon receipt of the form and information listed in Section 2.02, each faculty member shall provide to the appropriate administrator(s) a written report of his/her activities and accomplishments for the preceding calendar year, and future objectives. Faculty members with split appointments shall submit their report to the unit administrators of all the units in which they have assigned responsibilities. In preparing this report, the faculty member shall adhere to the following:
- a. All significant activities and accomplishments for the current appraisal period shall be listed as specified in the Annual Faculty Appraisal and Development Program Form.
 - b. Consulting service listed should be consulting as defined in the OSU policy on outside consulting.
 - c. Documentation of activities in each assigned area should be provided.
 - d. An updated curriculum vitae shall be included to provide an historical context for activities in the current appraisal period.
 - e. A listing of objectives and planned professional development activities for the coming year shall be included.
- 2.04 After receiving the written report described in Section 2.03, the unit administrator shall evaluate the professional performance of the faculty member and develop an initial draft of a written statement which describes and supports his/her appraisal. In preparing this draft statement, the unit administrator shall be guided by the following:
- a. Each academic unit must have standards against which performance is to be measured. The standards shall reflect the goals of the unit and the professional standards of excellence common to the unit's academic discipline. The standards also shall be related to the detailed academic qualification standards for each rank, function or specialty within the unit. The unit administrator must base his/her evaluation on these standards and the faculty member's assigned role in the unit.
 - b. The appraisal must be a definitive statement of the faculty member's progress, accomplishments, and/or deficiencies related to objectives and activities during the appraisal period. A restatement of the faculty member's activities is not adequate. As appropriate, the draft appraisal should include comments on the quality and quantity of performance in the faculty member's assigned areas of responsibility.

- c. The unit administrator shall ensure that each faculty member has recommended major objectives for the next appraisal period. The unit administrator may recommend additional objectives and planned development activities to be discussed during the appraisal interview.
- d. For tenure-track faculty who are not tenured, the unit administrator shall make a specific statement regarding the faculty member's progress toward tenure. Furthermore, the unit administrator should recommend specific modifications in activities that will contribute to a positive tenure decision.
- e. If a major element of performance is judged to be unsatisfactory by the unit administrator, a detailed written plan for corrective action shall be provided by the unit administrator.
- f. If the faculty member has a split appointment, the draft appraisal statement shall be prepared by the unit administrator of the faculty member's home department after consulting with unit administrators of other units in which the faculty member has assigned responsibilities. All unit administrators involved shall sign the draft appraisal document. If the involved unit administrators disagree significantly on the evaluation, the matter shall be brought to the attention of an appropriate reviewing official for resolution before the draft is finalized and sent to the faculty member.

2.05 After completion of the initial draft of the written appraisal statement, the unit administrator is to schedule an individual conference to be held in person with each faculty member appraised. The purpose of the conference is to attempt to resolve differences between the faculty member and the unit administrator regarding the content and meaning of the written appraisal statement. In scheduling and conducting the conference, the unit administrator and faculty member are to be guided by the following:

- a. The unit administrator should provide the faculty member with a copy of the draft of the written appraisal statement at least three (3) working days before the conference is scheduled.
- b. If the faculty member wishes to clarify or change any part of the draft statement, he/she should provide the unit administrator with a written statement specifying the requested clarifications or changes at least one (1) working day before the conference is scheduled.
- c. During the conference, the unit administrator and faculty member should attempt to make changes in the draft appraisal statement that will make it satisfactory to both parties.
- d. Unit administrators shall make special provisions for faculty on leave or otherwise unable to meet in person.

- 2.06 Following the conference, both the faculty member and unit administrator are to sign the final written appraisal statement including any changes they agreed to make. The faculty member's signature simply acknowledges that he/she has seen the written statement and has participated in the conference.
- 2.07 If there is a disagreement between the faculty member and the unit administrator over the appraisal statement that is not resolved during the individual conference described in Section 2.05, the faculty member has ten (10) working days after the conference in which to present a written response. The written response shall be included as part of the permanent record of the annual review.

If requested by the faculty member, the unit administrator shall obtain appropriate faculty counsel, as defined in footnote 4 of the *Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University*; to determine whether the appraisal is justified, and if so, what measures to improve performance are warranted.

If a disagreement between the faculty member and the unit administrator is not resolved subsequent to the faculty member's written response and/or faculty counsel, the unit administrator must alert the dean within five (5) working days. The dean must resolve the matter and respond in writing within 20 working days to the unit administrator with a copy to the faculty member.

- 2.08 The faculty member's written report of activities and accomplishments together with the final written evaluation shall serve as the supporting documentation for any merit pay raise or other salary adjustment.
- 2.09 All documents and records relating to each faculty member's annual review are to be placed in that faculty member's personnel file. These records shall be available to faculty charged with the responsibility of providing appropriate faculty counsel related to reappointment of untenured faculty, promotion of untenured and tenured faculty, granting of tenure, and cumulative review of tenured faculty.

Approved:
Faculty Council, December 12, 2006
Council of Deans, January 11, 2007
Executive Team, December 2007

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