Agenda

- Effective faculty evaluations & reviews
  - Annual evaluations
  - Third year faculty reviews
- Addressing unsatisfactory performance
  - Documentation
  - Action plans for performance improvement
- HR reminders for department chairs
Conducting Effective Faculty Evaluations

Eureka! An evaluation culture has finally been grown in the lab!

Now if only we could figure out how to grow it in the real world.

Hey look, these guys are forming a subcommittee!
No, wait, they're just disputing the results.

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Effective Faculty Evaluations & Reviews

The system of academic tenure at Iowa State University emphasizes

(1) recruitment of the most highly qualified candidates available,
(2) creation of an opportunity for scholarly performance in teaching, research/creative activity, and extension/professional practice,
(3) continuing evaluation of performance on the basis of areas of responsibilities in the employment agreement, and
(4) the positive evaluation of performance resulting in the award of tenure.

*Faculty Handbook, Section 5.2.1, General Policies on Tenure*
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Annual Performance Evaluation Policy (5.1.1.2)

- Overall performance shall be evaluated as either satisfactory or unsatisfactory based on PRS
- Include evaluation of each area of PRS as well as an overall summary assessment.
- Review PRS and any action plans as part of evaluation
- Follow process outlined in department governance document
- Faculty failure to comply with process may result in unsatisfactory evaluation
- Two consecutive unsatisfactory evals trigger PTR
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Common Pitfalls

- Avoid permanent halo or doghouse effects, but note trends over time
- Single aspect of performance should not determine entire rating: should be rare for any evaluation to be all positive or all negative
- All judgments must be supported by evidence.
- Evaluation requires more than description: analysis of the relevant data and recommendations are critical
- Remain focused on the performance of the individual
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Best Practices

1. Give honest and constructive feedback
2. Offer specific and descriptive comments
3. Include real and recent examples
4. Avoid surprises
5. Be reasonable and fair
6. Evaluate the entire year

"Your entire performance review is based on what you do in the next thirty seconds ... go!"
Case Study: Professor Pam Lehrer

- Joined ISU 2 years ago.
- Strong credentials.
- Good fit in department.

Review and discuss the sample annual evaluation at your table:

• What is good about the evaluation?
• What is missing?
• What else can you include to improve this evaluation?
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Third Year Review

• Should be accurate forecast of trajectory for successful tenure review
• Contract renewal decision
• Internal review only
• Entails both peer and chair evaluation
• Dean is final decision-maker
• If recommendation positive, include formative constructive feedback, review/revise PRS, clarify expectations, criteria and standards

"Behind one door is tenure - behind the other is flipping burgers at McDonald's."
Addressing Unsatisfactory Performance

“I think you should be more explicit here in step two.”
Addressing Unsatisfactory Performance

- Address, as needed, throughout the year
- Do not ignore
- Document efforts to coach performance during the year
- Document explicitly in annual performance evaluation
- Use “Action Plan” (FH 5.1.1.2.1) to address unsatisfactory performance as a result of annual evaluation or PTR
Action Plan for Unsatisfactory Performance

- Addresses unsatisfactory performance in either annual review (5.1.1.2.1.) or PTR
- Must include:
  - list of action items to be accomplished that are detailed, clear, and aligned with a timeline;
  - specified date for a mid-term evaluation;
  - description of consequences if the action items are not completed by the designated timeline.
Addressing Unsatisfactory Performance

Case Study

Professor Snape is a tenure-track faculty member. Evaluations of his teaching demonstrate that he is an effective and engaging professor. His research on a groundbreaking physics theorem has been published by several reputable journals and he is often asked to speak at prestigious conferences. He serves on several institutional committees.

But there is a problem: Professor Snape is a bully. A big one.
Addressing Unsatisfactory Performance

DISCUSSION of case study:

- How would you address the behavior of Professor Snape when it comes up periodically during the year?
- How would you address this behavior in an annual evaluation?
HR “Need to Know” Reminders
Medical Issues: Where do they fit?

- Is someone covering for a staff member who needs time for a medical issue for him/herself or a family member?
- Are you getting complaints from students about a professor missing classes?
- During a meeting a faculty member attributed their performance or conduct to anxiety and depression?
- Don’t wait! Call UHR 294-3753 for assistance
- Do not include in annual evaluation
ADA & FMLA: Is there a connection to performance evaluation?

• Do not reference ADA / medical issues in an evaluation, for example:
  
  • *Professor X missed the last two weeks of the semester due to necessary cancer treatment*
  
  • *Professor Y’s attitude and ability to get along with other faculty members improved tremendously after seeking EAP and getting on anti-depressants*
  
  • *Professor Z was distracted by an ailing parent and, consequently, did not spend sufficient time/energy on research the past year.*
ADA & FMLA: Is there a connection to performance evaluation?

- Do not penalize a faculty (or staff) member for having a disability, medical issues, family obligations
- Do not penalize a faculty (or staff) member for exercising their rights for leave or accommodations
- Focus on performance
- ADA: accommodations must be reasonable. Employee still must be able to perform key job functions with a reasonable accommodation.
ADA & FMLA: What is the Chair’s Role?

Be receptive to requests for leave or accommodation

- Do not make promises
- Do not confuse requests for leave/accommodation with performance issues
- Treat similarly-situated employees equally
- Keep information confidential
- Document your efforts
ADA & FMLA: What is the Chair’s Role?

Be receptive to requests for leave or accommodation

• Know the policies and processes in play
• Be patient as the process plays out
• Reach out immediately to the key players (College, UHR, SVPP)
• FMLA should not be punitively reflected in the annual evaluation
• For FMLA, communicate with the employee and track leave usage
Conclusions

• Performance management is a year-round effort
• Chairs and supervisors must:
  • provide clear expectations
  • hold faculty/ staff accountable
• Support, tools, and resources are available through University Human Resources, Provost’s Office, and University Counsel
• When in doubt, contact us for assistance!