

Faculty Performance Evaluation Policy & Procedures

1.0 Purpose

- 1.1 The objective of this policy is to detail faculty member success in teaching; scholarly activity and creative endeavors, service contributions, and administrative duties related to the aforementioned. It also includes procedural information related to faculty appeal of the performance evaluation.

2.0 Scope

- 2.1 The policy applies to all full-time faculty employed in undergraduate and/or graduate activity at AUIB.

3.0 Definitions

- 3.1 Performance - The execution of teaching, scholarly activity and creative endeavors, service contributions, and related administrative duties of the aforementioned by the faculty member.
- 3.2 Evaluation - The retrospective review and judgement of the faculty member's achievement in teaching, service, scholarly activity and creative endeavors, and administrative duties related to the aforementioned.
- 3.3 Rating - The determination of competence to be stated as 'exceeded expectations' or 'needs improvement' for each evaluated category as well as the final, single overall performance evaluation inclusive of the evaluated categories resulting in the 'recommendation for continued employment' or 'termination of employment'.

4.0 Policy

- 4.1 Annually each faculty member will be evaluated in writing by the line supervisor/ manager in the college of employment in the areas of teaching, scholarly activity, and creative endeavors, service, and administrative duties related to the aforementioned, unless the faculty member is on a contract or secondment that modifies these stipulations. The evaluation will conclude with evidence as to whether the faculty member has met expectation vis-à-vis the requirements as set by the College or not resulting in 'recommendation for continued employment' or 'termination of employment'. See Faculty Handbook for more information.



Performance Framework

- 4.2. Full-time faculty are evaluated as per the terms of the offer of employment letter/and as detailed by the College of employment. This may include teaching, service, scholarly activity and creative endeavors, and administrative duties related to the aforementioned. All evaluations must be supportable with evidence. AUIB acknowledges that not all tasks and deliverables are equal in effort and/or impact. As such, tasks and deliverables will be evaluated equitably as appropriate to the academic field; the audience and impact; and the effort required to complete.

Evidence Guidelines

- 4.3. Teaching - Sources of evidence to inform the evaluation of teaching performance usually include but are not limited to line supervisor classroom observation(s), course binders, and student end-of-course evaluations (indirect measure), LMS content, and other activities and products listed in the appendix.
- 4.4. Scholarly activity and creative endeavors - Sources of evidence to inform the evaluation of scholarly activity and creative endeavors performance are guided by expectations of the academic and/or professional field including accrediting bodies and organizations and usually include but are not limited to the activities and products listed in the appendix.
- 4.5. Service - Sources of evidence to inform the evaluation of service performance usually include but are not limited to reports, minutes of meetings, and documented active participation in university sanctioned initiatives and other activities and products listed in the appendix.
- 4.6. In instances when a product or activity can fit into more than one of category, after discussion with the faculty member, the dean will determine the categorization of the product or activity.
- 4.7. AUIB acknowledges that not all products and activities are equal in effort and/or impact. As such, products and activities will be evaluated equitably as appropriate to the academic field, the audience and impact; and the effort required to complete. The relative 'weighting' of each product and activity will be determined by the dean after discussion with the faculty member and in accordance with any standards recognized by the College, accrediting organizations, and/or other academic field-specific authorities.

Performance Evaluation Rating

- 4.8. Faculty will be evaluated as 'exceeded expectations' or 'needs improvement' in each of the categories in which they are evaluated. All evaluations must be supportable with evidence.
- 4.9. Faculty will have grounds for appeal of the performance evaluation rating under the following conditions, the appeal must be clearly supported by evidence: (a) a calculation error occurred, (b) omission or misallocation of a product or activity, and/or (c) bias.



Record Keeping

- 4.10 All documents related to annual performance evaluations are to be kept on file in the College for the duration of the faculty member's employment at AUIB. Original files must be maintained by HR and kept on file for no less than five years after the faculty member's conclusion of employment with AUIB.
- 4.11 All documents pertaining to performance evaluations shall be securely stored within locked cabinets to maintain the confidentiality of sensitive information.

5.0 Procedures

- 5.1 In accordance with the by-laws of the college and the university, the oversight body within the college conducting the faculty performance evaluation (e.g., department, school) shall establish procedures and appropriate evaluation tools for each of the areas to be evaluated such as teaching, scholarly activity and creative endeavors, service contributions, and administrative duties related to the aforementioned. The evaluation process and tools shall be in accordance with any standards recognized by the College, accrediting organizations, and/or other academic field-specific authorities when not established and deployed university-wide by the Office of the Vice President of Academic Affairs (VPAA).
- 5.2 The oversight body/bodies within the college conducting the faculty performance evaluation (e.g., department, school) shall seek the approval of the college dean and the Office of the VPAA prior to deployment of any newly utilized performance evaluation procedure and/or tools.
- 5.4 The line supervisor is responsible for directing and managing the faculty performance evaluation schedule, process, write-up of findings, and feedback to the faculty member. All schedules, tasks, and deliverables expected of faculty must be announced to the faculty to be evaluated no later than 01 May of the academic year for which the faculty member is to be evaluated.
- 5.5 Faculty will have access to resources to facilitate the feedback process. This includes the development of a rubric to provide professors with structured feedback on their performance.
- 5.6 All faculty are required to complete the annual faculty self-evaluation report and submit it along with supporting evidence to the line supervisor as per the announced schedule.
- 5.7 The annual faculty self-evaluation report and accompanying evidence of the contents of the self-evaluation report shall serve as the basis for performance evaluation by the line supervisor. A copy of the signed evaluation should be given to the employee.



- 5.8 The line supervisor shall complete a report evaluating the faculty member in each of the areas reviewed (usually teaching, scholarly activity and creative endeavors, service contributions, and administrative duties related to the aforementioned) with a conclusion of 'exceeded expectations' or 'needs improvement' and a recommendation of 'continue employment' or 'terminate employment'. In cases in which the faculty member elects to submit for promotion, the annual performance evaluations will be submitted as part of the faculty member's promotion review file.
- 5.9 The completed faculty performance evaluation, the faculty self-evaluation, and supporting evidence for each, shall be forwarded to the college dean for review and comment and housed in the employee personnel file.
- 5.10 A copy of the evaluation report shall be forwarded to the Office of VPAA.
- 5.11 Faculty who wish to appeal their performance evaluation, may do so to the line supervisor provided one or more of the following conditions are met and are clearly supported by evidence: (a) a calculation error occurred, (b) omission or misallocation of a product or activity, and/or (c) bias. Requests for appeal must be made in writing to the line supervisor and copied to the dean of the college within 30 working days of receipt of the evaluation report from the line supervisor.
- 5.12 All information (e.g., procedures, timelines, tools) related to faculty performance evaluation must be included in the Faculty Handbook and their availability communicated to all internal and external stakeholders as well those applying for faculty employment with the university.

Evaluation of Teaching Effectiveness

- 5.13 In the annual faculty self-evaluation report, faculty engage in self-reflection. The department shall decide what to include in the teaching portfolio. The Chair shall inform faculty when hired about the procedure and forms/criteria of evaluation and clarify all queries they may have.
- 5.14 A designated unit/department (for instance enrollment management, office of institutional research and evaluation) will take responsibility of deploying end of term online students' course and instructor evaluations, and providing feedback to faculty, with copies to concerned HODs and college deans, for integrating students' suggestions for improvement.
- 5.15 Students' response rate, recurrent patterns of feedback and students' comments shall be considered when evaluating faculty teaching performance.
- 5.16 Peer observations should be conducted every semester during the initial appointment (first 3 years of employment at the university, and then once a year thereafter).). At all times, the office of the chair shall keep a record of all completed forms from observers and provide feedback to the faculty being observed.



Evaluation of Scholarly/ Research Output (where applicable)

- 5.17 The research record includes peer-reviewed publications, presentations in pertinent academic conferences, editorial work, and refereeing journal articles relevant to the discipline, research grants submitted and awarded, or any other peer-validated scholarly/ creative activity appropriate to the discipline.
- 5.18 Faculty may use grant funds to buy out teaching load if there are sufficient resources in place, and the program is not negatively affected. This must be approved by the VPAA.

Evaluation of Service

- 5.19 The service record includes membership in departmental, college, and university standing and ad-hoc committees; serving on the university council; assisting in students' registration and advising, and/ or supervision of students' extracurricular activities or clubs, special departmental/ college/ university assignment (for instance, lab supervision, translation/ editorship of university documents/ publications), organization of academic events, professional development activities (seminars, workshops, conferences, etc.), participation in academic outreach activities outside the university, etc.
- 5.20 The percentage of faculty workload devoted to service may vary in relation to the faculty appointment track, rank, and departmental and college needs particularly if the department is newly established. The outcomes and impact of services and their relevance to the departmental requirements and norms of the discipline take pre-eminence over the list of service activities.

Procedure for Appeal

- 5.21 Faculty who wish to appeal their performance evaluation, may do so to the line supervisor provided one or more of the following conditions are met and are clearly supported by evidence: (a) a calculation error occurred, (b) omission or misallocation of a product or activity, and/or (c) bias. Requests for appeal must be made in writing to the line supervisor and copied to the dean of the college within 30 working days of receipt of the evaluation report from the line supervisor.
- 5.22 The line supervisor must send a memo to faculty confirming that the request has been received and is in process.
- 5.23 If the appeal is accepted, the line manager must send a memo to the VPAA, and also forward a copy to HR, confirming the appeal.
- 5.24 If re-evaluation is recommended by the college dean and approved by the VPAA, an appeal hearing will be held before an ad hoc committee of three academic administrators, the director of Human Resources, and the university's external legal counsel. Provided the conditions for appeal are met by the faculty member, the request for a review panel must be made by the dean of the college to the Appeals



Committee within 15 working days of receiving the written request from the faculty member. The committee should not include any of the original evaluators.

- 5.25 The Appeal Committee will schedule a hearing with the faculty member within 20 business days of receiving the notification of appeal. The faculty will be provided to state her/his case orally and in writing.
- 5.26 The Appeal Committee will make a decision and communicate this in writing with justification to the faculty member, the line supervisor, the dean of the college, and the Office of the VPAA within 15 business days of the appeal hearing. The findings of the committee are limited to upholding the original evaluation, modifying the evaluation, or ordering a new evaluation. The findings of the Appeal Committee cannot be contested.

Related Policies and Documents

- Faculty Appointments
- Faculty Promotion
- Faculty Duties and Responsibilities
- Performance Management Plan
- Teaching Portfolio
- Faculty Observations Policy
- Peer Class Observation Form

Appendices

- Appendix A- Examples of Evidence
- Appendix B- Faculty Evaluation Form- Teaching
- Appendix C- Faculty Evaluation Form- Service
- Appendix D- Faculty Evaluation Form- Research
- Appendix E- Faculty Self Evaluation Form
- Appendix F- Evaluation Appeal Form

Appendix A- Examples of Evidence

Granted fellowships and awards.	Developing a standardized test
Disclosure of research results, including licensing and new intellectual property via patent acquisition.	Developing new teaching materials (syllabi, courses, case studies, curriculum)
Publication of textbooks or teaching materials; Publication on a new or innovative teaching method	Innovative teaching strategies; Developing new teaching methods
Advising student leaders, thereby fostering professional growth; Mentoring students	Quality improvement projects related to teaching and learning; Techniques to evaluate the effectiveness of teaching
Published or unpublished manuscripts of basic research	Designing and implementing a program level evaluation system



Report to a funding organization the outcomes of a research study	Development of new or substantially revised courses, curricula
Publishing, producing and/or performing creative work within established field	Technical, procedural or practical innovations made clinically or professionally
Advising or providing peer-reviewing	Lecture given to a broad audience
Peer-reviewed, academic research paper, literature review, or meta-analysis	Projects funded by external or internal grants to support instructional activities
Publishing in peer-reviewed forums; Critical book review	Professional development workshops
Peer-reviewed or edited, academic book or chapter	Development of a center for study or service
Presentations at reputable conferences, seminars, and symposia.	Support or development of community activities in the field or industry that link with academic discipline
Publication in a professional organization magazine	Supervision of Senior or Graduate Theses.
Publishing a white paper for a local organization	Active member on an interdisciplinary team
Working papers; Authoring white papers, articles, and monographs	Subject matter guest on a show
Non-academic publications that address discipline-related concerns	Consulting on an interdisciplinary subject
Media articles discussing link between academic and practical problem	Serve as an industry or education consultant linked to the faculty's academic discipline
Consulting activities in field or industry that directly relate to the intellectual work of the faculty member; Serving industry or government as an external consultant; Policy analysis; Program evaluation	Support or formal development/oversight of a program that connects the university (or students) to the field; Formal development and /or oversight of practica/partnerships on behalf of the University that connect students with the field/industry
Funded or unfunded research project; Grantsmanship (list the awarding agency and funded allocations)	

Sources: [PowerPoint Presentation \(northeastern.edu\)](#), [FGB 3rdEdrevD.indd \(facultyguidebook.com\)](#), [Unified Standards and Criter.pdf \(ymaws.com\)](#), [research.phoenix.edu](#)

- Administrative service to the university.
- Departmental, college, or university committee or task force member or chair.
- Organization of national or international conferences, workshops, or other academic meetings organizing role.
- Industry, government, or community organizations consultations.



- National, regional, and international agencies, task forces, boards, and commissions services.
- Local, regional, or national civic activities that foster positive relationships between the community and university.
- National, regional, or international professional association officer.
- Non-academic service (e.g. mentoring student clubs).
- Deliverables and assigned tasks related to teaching (e.g., syllabi, office hours), service (e.g., reviews, reports), scholarly activity (e.g., reports, budgets) and other assigned duties that are completed accurately, thoroughly, adhering to formatting requirements and directions/guidelines, and submitted on time