MARSHALL UNIVERSITY BOARD OF GOVERNORS

Policy No. AA-22

ANNUAL EVALUATION OF FACULTY

1 General Information:

1.1   Scope: Academic policy regarding the annual evaluation of faculty -- the implementation application and internal procedures for market equity, merit processes, and planning.

1.2   Authority: W. Va. Code §18B-1-6

1.3   Passage Date: April 23, 2014

1.4   Effective Date: July 1, 2014

1.5   Controlling over: Marshall University

1.6   History: This section has been revised by the Faculty Evaluation and Compensation Committee as a result of changes to Series 9 dated January 10, 2004. (SR-04-05-(12) 69 FECAHC) Original date of passage and effective date was March 8, 2006. Amended on April 23, 2014 (upon passage of amended policy).

2 Policy:

2.1   The evaluation process

2.2   The evaluation calendar will run from January to December in order to compress the time between evaluation and awarding of promotion, tenure and merit.

2.3   Faculty in consultation with and approval of their chairs/deans will file annual planning pages in January.

2.3.1   Faculty will outline the roles in which they anticipate being evaluated. For example in a particular year a faculty member may emphasize, teaching and advising activities, professional development and university service. In another year the evaluation emphasis may shift to teaching and advising and scholarly and creative activity.

2.3.2   When the roles are determined faculty members will attach a percentage at which they want the roles to be weighted in their evaluations. The role percentages must fall within the ranges established by academic units. For example, a college set its range for teaching and advising at 25-75%. The faculty may elect to set 65% teaching and advising as their goal for activity in that role. Role percentages set by faculty must total 100%.

2.3.3   Because the work of faculty in universities is fluid and varied from college to college it is possible that under some special circumstances a faculty member may be able to negotiate evaluative criteria outside of the ranges with the mutual agreement of the faculty member, the chair and the dean.

2.3.4　If circumstances merit and with the mutual consent of faculty members and their supervisors, annual plans may be amended during the course of the evaluation year.

2.3.5　Over a number of years faculty may need to vary their activities in all roles in order to meet Greenbook and contractual obligations. That is, faculty may not repeatedly set teaching and advising at 90% and expect to meet promotion and tenure guidelines that require research and scholarly activity and service.

3　Appeals:

3.1　In the event a faculty member and a chair are unable to negotiate a mutually acceptable annual planning page, the faculty member may appeal to the Dean, and then appeal, if necessary, to the Provost. A notice of the disagreement would go in the faculty file, and then the percentages would or would not be amended when the Dean's or Provost's decision is made.

3.2　With the annual planning page in place, faculty activities in their designated roles are evaluated by appropriate sources and the results recorded. Methods of data collection may vary among the different academic units on campus, and will require different techniques for the various roles identified.

3.3　Regardless of the data collection used, the end results of evaluation must be converted to a four-point scale, if not collected as such originally, that reflects the quality of performance and that corresponds to the following labels and corresponding definitions.

3.3.1　4 = Exemplary

3.3.1.1　This rating is given to those individuals who, during the rating period, consistently exceeded the institution's standards of professional performance. Individuals receiving this rating stand as exemplars of the highest levels of professional academic performance within the institution making significant contributions to their department, college, academic field and society.

3.3.2　3 = Professional

3.3.2.1　This rating is given to those individuals who, during the rating period, consistently met the institution's standards of professional performance. The individuals receiving this rating constitute those good and valued professionals on whom the continued successful achievement of the institution's mission, goals and objectives depends.

3.3.3　2 = Needs improvement

3.3.3.1　This rating is given to those individuals who, during the rating period, did not consistently meet the institution's standards of professional performance. This rating must be given with 1) specific feedback as to which standards of professional performance were not met, 2) suggestions for improvement, and 3) a written commitment to assist the individual in accessing resources required for improvement. Improvement in performance is required within the next evaluation period provided suggestions for improvement were made and necessary resources for improvements were provided.

3.3.4.　1 = Unacceptable

3.3.4.1 This rating is given to those individuals who, during the rating period, did not meet the institution's standards of professional performance. This rating represents performance that is not acceptable and/or is inconsistent with the conditions for continued employment with the institution. Failure to meet these standards in any one of the three following ways will result in a rating of "Unacceptable."

3.3.4.1.1 Received a needs improvement rating the previous rating period but did not make the improvements required.

3.3.4.1.2 Consistently violated one or more of the institution's standards of professional performance.

3.3.4.1.3 Violated one or more of the standards of conduct as specified in the faculty handbook. (Arreola, R. A. (2000). Developing a comprehensive Faculty Evaluation System 2/e. Bolton, MA: Anker Publishing Co., Inc.)

3.3.4.1.3.1 Existing processes. Some colleges/schools have implemented well-developed evaluation criteria and methods. Those academic units may continue to use those systems as long as they include:

3.3.4.1.3.1.1 an annual plan,

3.3.4.1.3.1.2 an annual review, and

3.3.4.1.3.1.3 an end result reported on the university-wide scale of 4=exemplary, 3=professional, 2=needs improvement and 1=unacceptable.

3.3.4.1.3.1.4 If no evaluation process is in place, or if the existing process cannot be adapted to the four-point criteria a data gathering method will have to be devised.

3.4 At the end of the year (December) the ratings in each role will be collapsed into an Overall Composite Rating (OCR) with the individual role ratings being weighted according to the role percentages agreed upon in the annual plan.

3.4.1 Schools/colleges/libraries may use the OCR as a consideration in promotion if they wish and the rating can be used to track performance over time, to isolate problems and to guide faculty in areas that may need improvement.

3.4.2 Documentation of evaluations, completed ratings, matrixes and OCR calculations are the responsibility of individual faculty members, with verification by the chairs or deans.

5 The Merit Process:

5.1 The OCR calculated in the evaluation process will be used to determine merit raises.

5.2 OCRs will translate to the following values for purposes of merit raises.

5.2.1   3.51 – 4.00= Exemplary

5.2.2   2.51 – 3.50 = Professional

5.2.3   1.51 – 2.50 = Needs Improvement

5.2.4   1.00 – 1.50 = Unacceptable

5.3   All faculty members in a college/school/library who are rated 2.51 or above are eligible for merit raises. Values in the thousandths place that fall at 0.005 and above are rounded up and values below that are rounded down. For example 2.755 rounds up to 2.76, while 2.7649 rounds down to 2.76.

5.5   Years without merit raises

5.5.1   In the absence of university wide merit raises, the next available merit raises will be based on faculty ratings that include all years without merit raises. In the years that merit monies are not available, averages of OCR's for the consecutive years without merit raises will determine merit distribution within academic units. This applies only to times in which the university as a whole does not receive merit funding, not to years in which individual faculty members may be denied merit increases.

6   System Review:

6.1   The faculty evaluation and compensation process should be reviewed periodically to ensure reliability in reflecting faculty performance and fairness in awarding merit increases. Faculty Senate will convene an ad hoc evaluation and compensation review committee to examine the process and recommend any needed alterations or revisions. The first review should be completed by the end of 2006, recommendations should be submitted by the summer of 2007 and revisions implemented in 2008. Additional reviews will occur as requested by recommendation of the Faculty Senate.

7   Possible Categories and Activities of the Faculty Role:

7.1   Following is a "menu" of possible faculty roles, components of those roles and specific activities that can be observed and measured for evaluation purposes. The percentages in parentheses were generated after soliciting input from faculty regarding the types of work they perform, consolidating the data and establishing floor and ceiling ranges based on their responses. Departments and colleges will establish parameters anywhere within these ranges, and faculty will negotiate goals within the department and college bounds. Workload and evaluation percentages do not necessarily have to be the same.

7.2   Faculty may select appropriate activities from the suggested lists, and they may add, with approval of their supervisors, activities not listed.

7.3   Overview of ranges

7.3.1   Administration 0% - 50%

7.3.2   Professional Development and Recognition 0% - 20%

7.3.3   Scholarship and Creative Work 5% - 70%

7.3.4   Librarianship 0% - 70%

7.3.5   Teaching 25% - 90%

7.3.6   Service

7.3.7   University Service 5% - 50%

7.3.8   Professional Service 0% - 25%

7.3.9   Community Service Discipline specific 0% - 25%

7.3.10   Community Service Non-Discipline specific 0% - 5%

7.3.11   The combination of 7.3.9 and 7.3.10 cannot exceed 25%

8   Administration: (0 – 50%):

8.1   Definition

8.1.1   Faculty may engage in administrative (organization, planning, management and implementation of program affairs, policies, personnel, or practices) activities as part of the faculty role. Activities might include the administration of a department, division, or program, whether for reassigned time or not. There must be a letter recognizing the administrative assignment from the faculty member's supervisor, and there must be a performance evaluation that matches the numeric scale used in other role categories.

8.1.1.1 Possible components

8.1.1.1.1 Establishing and managing goals and policies

8.1.1.1.2 Budget management

8.1.1.1.3 Personnel management

8.1.1.1.4 Measurement and evaluation

8.1.1.1.5 Report writing

8.1.1.2 Possible activities that reflect the components

8.1.1.2.1 Activities in the job description for department or division head

8.1.1.2.2 Any university or college assigned activity that requires management, planning, or implementation of programs or duties (e.g. director of the WAC program, director of the Honors program)

8.1.1.2.3 Any activity managing programs, components, or services offered within a department or division (e.g. program coordinators, study abroad programs, clinic management or supervision, etc.)

8.1.1.2.4 Management of labs, equipment, supplies, and materials required for courses and other student work

9   Professional Development and Recognition (0-20%):

9.1   Definition

9.1.1   Activities that maintain or enhance the content expertise, research/creative work, or teaching abilities of the faculty member

9.1.1.1 Possible activities that reflect the components

9.1.1.1.1 Memberships in professional organizations

9.1.1.1.2 Conference attendance/participation

9.1.1.1.3 Obtaining advanced or multiple degrees

9.1.1.1.4 Continuing certification or licensure

9.1.1.1.5 Participation in faculty development programs

9.1.1.1.6 Acquiring new skills (e.g. technology, new teaching formats, new research methods, new creative abilities)

9.1.1.1.7 Participation in continuing education programs

9.1.1.1.8 Maintain private practice or business related to discipline and teaching area

9.1.1.1.9 Taking classes

9.1.1.1.10 Awards, recognitions, and prizes that recognize the faculty member's merit in any area of professional work

10 Scholarship and Creative Work (5 – 70%):

10.1 Definition

10.1.1 Activities which demonstrate a faculty member's discipline or content expertise in the discovery, acquisition, application, integration, synthesis or creation of knowledge and creative works

10.1.1.1 Possible components and activities

10.1.1.1.1 Evidence of continuing scholarly activity

10.1.1.1.1.1 On-going research activities

10.1.1.1.1.2 On going creative activities

10.1.1.1.1.3 Supervising student research (undergraduate or graduate); serving on thesis and dissertation committees

10.1.1.1.2 Performances

10.1.1.1.2.1 Performance in musical, media, or dramatic productions

10.1.1.1.2.2 Accompanist for faculty and student performances

10.1.1.1.3 Creative Productions

10.1.1.1.3.1 Created a musical, dramatic, or media work which was performed, exhibited, published, or broadcast

10.1.1.1.3.2 Designed or implemented the technical work for a musical, dramatic, or media production

10.1.1.1.3.3 Prepared official publications or newsletters, including the writing and editing of articles

10.1.1.1.3.4 Created displays, exhibits, and bulletin boards

10.1.1.1.3.5 Designed, developed, and implemented innovative programs and services to enhance library patron access

10.1.1.1.4 Publications

10.1.1.1.4.1 Published scholarly article in refereed journal or publication

10.1.1.1.4.2 Published scholarly article in non-refereed journal

10.1.1.1.4.3 Published an article, short story, essay, or poem in a non-scholarly publication

10.1.1.1.4.4 Published an article, short story, essay, or poem in a scholarly publication

10.1.1.1.4.5 Books published (edited, authored, revised editions)

10.1.1.1.4.6 Published a book chapter in an edited book

10.1.1.1.4.7 Published a comment, note, or letter to the editor in a scholarly publication

10.1.1.1.5 Editorial/Review activity

10.1.1.1.5.1 Reviewed manuscripts for publication

10.1.1.1.5.2 Served as editor for a scholarly publication

10.1.1.1.5.3 Served as reviewer for a grant or artistic commission

10.1.1.1.6 Grants

10.1.1.1.6.1 Submitted a MERC approved grant for external funding

10.1.1.1.6.2 Received and/or directed a grant or artistic commission with external funding

10.1.1.1.7 Consultations

10.1.1.1.7.1 Professional consultations related to expertise (paid or unpaid)

10.1.1.1.7.2 Service consultation

10.1.1.1.8 Conference participation

10.1.1.1.8.1 Participated in, or chaired, a symposium, panel, or other scholarly session

10.1.1.1.8.2 Gave a presentation or poster session based on scholarly or creative work at a state, regional, national, or international conference

10.1.1.1.8.3 Organized a panel, symposium, or conference (this might be considered service rather than scholarship)

11 Librarianship (0 – 70%):

11.1 This role probably will be used only by librarians.

11.2 Definition

11.2.1 Academic librarianship is the professional practice of acquiring, organizing, preserving, and making accessible the information resources that are required to fulfill the teaching, learning, and research mission of the university.

11.2.1.1 Possible components

11.2.1.1.1 Access

11.2.1.1.1.1 Acquisition

11.2.1.1.1.2 Organizational/technical

11.2.1.1.1.3 Preservation

11.2.1.1.2 Possible activities

11.2.1.1.2.1 Provide reference service

11.2.1.1.2.2 Liaison for academic departments

11.2.1.1.2.3 Provide circulation services for constituents

11.2.1.1.2.4 Catalog and classify materials

11.2.1.1.2.5 Acquire, preserve and maintain archives

11.2.1.1.2.6 Order new materials

11.2.1.1.2.7 Develop, maintain and revise library related web pages

11.2.1.1.2.8 Receive and preserve special collections

11.2.1.1.2.9 Teach courses in the Library Media Specialist program

11.2.1.1.2.10 Teach library instruction courses

11.2.1.1.2.11 Plan and set goals for the library

11.2.1.1.2.12 Present programs at conferences

12 Teaching (25 – 90%):

12.1   Definition

12.1.1   Using a variety of methods and technologies that enable students to learn a body of skills, competencies and knowledge.

12.1.1.1 Possible components

12.1.1.1.1 Content expertise

12.1.1.1.2 Instructional design

12.1.1.1.3 Instructional delivery

12.1.1.1.4 Course management

12.1.1.1.5 Course development

12.1.1.1.6 Direction of student research, creative activities, thesis and dissertations

12.1.1.2 Possible activities

12.1.1.2.1 Teaching regular course offerings

12.1.1.2.2 New courses or programs developed or implemented

12.1.1.2.3 Development of e-courses

12.1.1.2.4 Student advising

12.1.1.2.5 Direction of or service on thesis or dissertation committees

12.1.1.2.6 Development and/or incorporation of new or innovative teaching strategies, instructional technology, or library instruction into existing courses

12.1.1.2.7 Development and teaching of multicultural, international, writing intensive, or honors course

12.1.1.2.8 Teaching capstone or student research projects

12.1.1.2.9 Team teaching

12.1.1.2.10 Prepare and revise syllabi, course packs, handouts, multimedia materials, lecture materials, discussion questions, lesson plans, etc.

12.1.1.2.11 Learning new software and instructional techniques

12.1.1.2.12 Grading, maintaining grade records, submitting grades

12.1.1.2.13 Prepare and administer grades

12.1.1.2.14 Maintain office hours

12.1.1.2.15 Laboratory and clinical preparation

12.1.1.2.16 One-on-one instruction

13 Service:

13.1 Definition

13.1.1 Participation in activities that contribute to the functioning of the academic unit and/or the University, and contributions to professional/academic organizations and/or the community at large

14 University Service (5–50%):

14.1 To Students

14.1.1 Definition

14.1.1.1 Engaging in activities that promote student achievement, enhance the learning environment, and facilitate students' ability to progress academically.

14.1.1.2 Possible components

14.1.1.2.1 Advising (individuals & student groups)

14.1.1.2.2 Recruitment

14.1.1.2.3 Mentoring

14.1.1.2.4 Grants and contracts

14.1.1.2.5 Reference letters

14.1.1.2.6 Advisor to a student organization

14.2 To a Department/Division

14.2.1 Definition

14.2.2 Participation in specific activities that benefit the department/division.

14.2.3 Examples

14.2.3.1 Departmental committee work, mentoring new faculty, maintain departmental website, departmental recruitment, maintenance of art studios and equipment

14.3 To a College

14.3.1 Definition

14.3.1.1 Participation in specific activities that benefit the college

14.3.1.1.1 Examples: College level committee work, college liaison, interdisciplinary studies

14.4 To the University

14.4.1 Definition

14.4.1.1 Participation in specific activities that benefit the university

14.4.1.1.1 Examples: Faculty Senate, university level committees, Graduate Council, task forces

15 Professional Service (0 – 25%):

15.1 Definition

15.1.1 Paid or unpaid participation in activities that benefit an organization with an academic or professional orientation, regional to national and international in scope

15.1.1.1 Examples: Organization officer, panel coordinator, proceedings editor, conference organizer

16 Community Service Discipline specific (0 – 25%):

16.1 Definition

16.1.1 Paid or unpaid participation in discipline related activities that benefit the community and are related to the individual's discipline.

16.1.1.1 Examples: Art faculty member on a museum board of directors, Social Work faculty member on a childcare center board, Biology faculty participating in an environmental concerns organization

17 Community Service Non-Discipline specific (0 – 5%):

17.1 Definition

17.1.1 Paid or unpaid participation in non-discipline related activities that benefit the community but are not related to the individual's discipline

17.1.1.1 Examples: Scouting, Sunday school teaching, garden club beautification projects

18 The Combination of 16 and 17 Above Cannot Exceed 25%: