

Please check faculty status:

Tenured Faculty Member

Visiting Faculty Member

Tenure Track Faculty Member (MUST complete pg. 5)

Other (*state status*) \_\_\_\_\_

## NTID FACULTY PERFORMANCE APPRAISAL

FACULTY MEMBER	CHAIRPERSON	PERIOD	
		FROM	TO

### APPRAISAL POLICY

Faculty members who have been employed for one quarter or longer shall be formally appraised annually by their department chairperson. The person doing the appraisal shall be the faculty member's chairperson for one quarter or longer.

### RIT POLICY ON ANNUAL REVIEW OF FACULTY (E7.0)

#### A. Preamble

Rochester Institute of Technology is committed to promoting academic excellence. As stated in our mission, teaching, learning and scholarship are our central enterprises and effective teaching continues to be the hallmark of RIT.

This policy on Annual Review of Faculty establishes guidelines for the evaluation of the performance of each faculty member against established Institute criteria (B.2. below) and in accordance with the mission and goals of the department, college and Institute. The results of the review will be used to:

- A. Encourage and foster continued professional development;
- B. Provide part of the required documentation in the pre-tenure review process of tenure-track faculty;
- C. Promote the improvement of individual performance;
- D. Determine annual merit increments;

An underlying principle of this policy is that faculty evaluation and faculty development are closely related and work in concert to help faculty meet individual and institutional goals.

This policy assumes the dignity and academic freedom of individual faculty members, and its implementation shall be guided by mutual trust.

#### B. Review Process

1. All faculty at Rochester Institute of Technology will participate in an annual performance review.
2. The criteria for the review shall be consistent with the performance criteria in the Institute policies for tenure (E5.0) and promotion (E6.0); these criteria include effective teaching, professional and academic qualifications, professional activities **and scholarship**, contributions to the Institute, and community activities. The application of specific criteria under these broad headings, and their weighting, may vary among academic units and among faculty members.
3. The performance categories for evaluating all faculty members shall be: Outstanding, Very Good, Satisfactory, Needs Improvement, and Unsatisfactory.
4. The time frame for the period of review shall be December 1<sup>st</sup> through November 30<sup>th</sup> [exception NTID: September 1 through June 30].
5. Each college's or academic unit's review process must include the following elements:
  - A. The faculty member's written self-evaluation and evidence of performance in the criteria specified above (B.2.).
  - B. As part of the self-evaluation the faculty member's plan of work for the following year, and discussion on achievement of goals established in previous plans of work. The faculty member's plan of work for the following year, including how the performance criteria will be applied and weighted, shall be negotiated with the department chair and then be approved by the department chair and dean. The plan of work shall be available for inspection by members of the department. (Note: In all references to department chair an alternative administrator may be substituted as appropriate.)
  - C. Standardized student evaluations as established by college policy. For non-tenured faculty these evaluations shall be conducted in all sections taught during the period of review. For tenured faculty they shall be conducted in at least one section of each course taught during the period of review.
6. Each faculty member shall receive an annual written evaluation from the department chair. The evaluation will place the faculty member in one of the five performance categories specified above (B.3.), and discuss the objective reasons for the placement. Faculty may be evaluated as "Needs Improvement" and "Unsatisfactory" only on the basis of objective criteria as applied to their own performance, and not on the basis of their relative performance vis à vis the performance of others in their academic unit.
7. Annual merit increments shall be determined on the basis of the performance review.
8. Faculty members who believe that this policy has been unfairly or improperly implemented in their regard are referred to the policies on Faculty Grievance (E24.0), Appeal Committee on Faculty Salaries (E14.0), and Discrimination and Harassment (C6.0), in the *Institute Policies and Procedures Manual* (1997).

#### C. Development

1. Each faculty member whose approved plan of work identifies areas of development which address the Institute's educational goals, or department, college or Institute strategic plans, shall be eligible to apply for assistance from the Institute. Examples of assistance include collegial mentoring, opportunities to take courses, release time, financial assistance, tutoring, or supplies.
2. Each college will establish a Faculty Development Committee to dispense faculty development funds provided annually by the Institute.

## GENERAL INSTRUCTIONS

The appraisal process begins with the establishment of a plan of work which includes performance objectives and criteria for the coming year. In *June* the annual appraisal is completed and new performance expectations are established for the year ahead. [In *February* of the following year, progress toward the established expectations may be reviewed and a semi-annual appraisal completed at the request of either the faculty member or the chairperson.]

## APPRAISAL PROCEDURES

Procedural steps for *preparing* and *conducting* the appraisal are listed below.

### Steps:

1. Faculty member presents self-appraisal to chair or immediate supervisor. Self-appraisal should include documentation that addresses how all performance criteria have been satisfied and should address ongoing participation in learning activities/efforts to maintain and improve communication skills, development of skill in sign language and development of spoken communication strategies and techniques, and sensitivity to cultural issues related to deafness.
2. Chairperson
  - a) Completes Annual Appraisal
  - b) Completes Statement Regarding Tenure (where appropriate)
  - c) Assigns a Performance Rating
  - d) Signs and Dates Form.
3. Faculty member reviews comments and rating from Steps 2a, 2b, 2c, 2d; provides a response (at his/her option); "signs and dates."
4. Associate VP for Academic Affairs provides comments (at his/her option) and "signs and dates." In the case of non-tenured faculty in a tenure track, the Associate VP for Academic Affairs is required to provide evaluative comments.  
*Note:* If Associate VP for Academic Affairs provides no comments, the process is finished and appraisal is forward to VP/Dean's Office; if comments are provided, proceed to Step 5.
5. Faculty member reviews comments from Step 4, provides a response (at his/her option), "signs and dates."  
*Note:* Process is finished and the original appraisal booklet is forwarded to VP/Dean's office by the Associate VP for Academic Affairs.
6. Plan of work for next academic year is finalized.

### Additional Notes:

- Steps 1 and 2 **must** occur prior to the appraisal statement being shared with the faculty member.
- **Timelines:**
  - For candidates being considered by the NTID Tenure Committee during the next year, Steps 1 through 5 **must** be completed by June 30.
  - For everyone else, it is expected that Steps 1 through 5 will be completed by September 1.
  - Step 6 must be completed for all faculty by September 1.

### Guidelines for Completion – Statement Regarding Tenure

As part of the annual *NTID Faculty Performance Appraisal* procedure, chairpersons are expected to complete a *Statement Regarding Tenure* for non-tenured faculty in tenure-track positions. The statement requires the chairperson to compare the performance of the faculty member under review (in terms of *is in part similar, is similar, or is not similar*) to the performance of others which, in the past, has led to a recommendation of tenure. Evidence of communication skill development should be provided to the chairperson by the faculty member and from other sources. It is expected that a faculty member who has not made appropriate progress toward achievement of an Intermediate Plus rating on the NTID-administered SCPI will normally receive an "is in part" or "is not" rating from the chairperson. It is emphasized that tenure decisions ultimately depend on a *variety* of factors, including ongoing professional development and the outcome of peer review inherent in the tenure decision-making process (the comprehensive review conducted by the tenure committee).

Chairpersons within NTID are expected to complete this required annual *Statement Regarding Tenure* for appropriate faculty members according to the following five guidelines:

- 1) *responsibility* for completing the annual Statement Regarding Tenure rests with the judgment of the chairperson, based on an assessment of the faculty member's performance for that year in relation to the tenure criteria (see 3 below).
- 2) the *time frame* specifically focused on in completing the statement by the chairperson is the period covered by the annual review.
- 3) as noted above, the basis for *completing the statement* by the chairperson rests on an assessment of the faculty member's performance for that year in relation to the tenure criteria.
- 4) *identified areas of strength and needed improvement* regarding progress towards tenure, resulting from 3 (above), will be recorded by the chairperson in the place provided as part of the annual *Statement Regarding Tenure*. This recording needs to provide the clearest feedback possible regarding the chairperson's judgment about where the faculty member stands in relation to progress towards tenure. In developing this annual statement, the chairperson will work with the faculty member for the purpose of eliminating factual errors. Formal responses to the *Statement* by the faculty member under review will be accommodated in the place provided within the appraisal form, to be completed at the faculty member's option.
- 5) The Associate VP for Academic Affairs will review the overall annual appraisal statement (including the specific statement regarding tenure) completed by the chair and the faculty member under review and add his/her assessment of progress toward tenure and overall performance. These comments will be reviewed with the chair and the faculty member under review. Opportunity will be provided for written response by the faculty member under review prior to the overall appraisal statement being forwarded to the VP/Dean's Office.

## PLAN OF WORK

PLAN OF WORK – From September, 20\_\_\_\_\_ to June, 20\_\_\_\_\_

There must be a documented plan of work which includes an indication of how performance criteria will be applied and weighted. Since expectations vary from position to position, it would be inappropriate to give equal weight to all expected outcomes and position functions. However, communication skill development should remain a very high priority activity. This is particularly important during the pre-tenure years. The faculty member's plan of work should be mutually developed, negotiated and fully discussed by the faculty member and the chairperson. The department chair and the center director must approve all plans of work.

**INSTRUCTIONS FOR DEVELOPMENT OF PLAN OF WORK:** On a separate sheet list expected performance outcomes for the categories listed below. Include detail on how the performance criteria will be applied and weighted:

1. *Teaching or other primary responsibilities.* \_\_\_\_\_ % of effort
2. *Associated professional development and communication skill development* (growth and development of discipline skills and development of sign language skills both expressive and receptive, development of spoken communication strategies and techniques, and development of sensitivity to cultural issues related to deafness.) \_\_\_\_\_ % of effort
3. *Professional activities and scholarship* (e.g., research, creative activity, publications.) \_\_\_\_\_ % of effort
4. *Campus and community activities* (contributions to the Institute outside the primary professional responsibility as well as the use of *professional skills* for community and public service). \_\_\_\_\_ % of effort

**NOTE: EXPECTED OUTCOMES MUST INCLUDE HOW PERFORMANCE CRITERIA WILL BE APPLIED AND WEIGHTED.**

Changes in activities which occur during the year should be documented as a result of mutual understanding between the faculty member and the chairperson and confirmed with the Associate VP for Academic Affairs.

## FACULTY PERFORMANCE REVIEW

End of Appraisal Year (June)

PERIOD: FROM September, 20\_\_\_\_\_ to June, 20\_\_\_\_\_

The annual written performance evaluation provides an assessment of an individual's overall effectiveness and contributions. The summary should be supported by statements related to the individual's professional performance. The appraisal is prepared, discussed, and supported by comments from both the chairperson and faculty member on this form and must follow agreed-upon application and weighting of performance criteria as listed in the approved plan of work. Since expectations vary from position to position, it would be inappropriate to give equal weight to all expected outcomes and position functions. However, communication skill development should remain a very high priority activity. This is particularly important during the pre-tenure years.

Standardized student evaluations **must** be included as follows: (a) In the case of non-tenured faculty, student evaluations must be conducted and included for *all* sections taught during the period of review. (b) For tenured faculty, student evaluations must be conducted and included for at least *one* section of each course taught during the period of review.

The faculty member's written **self-evaluation** and **evidence of performance** in the criteria specified below are used by the chairperson in completing the annual performance review:

1. *Teaching or other primary job responsibilities.* Summarize evidence of effectiveness in teaching and those activities associated with the design and delivery of instruction or effectiveness in other areas of primary professional responsibility. This evidence includes but is not limited to student evaluations as described above.
2. *Associated professional development and communication skill development* (summarize activities and supporting documentation for professional growth and development in discipline area and development of sign language skills both expressive and receptive, development of spoken communication strategies and techniques, and development of sensitivity to cultural issues related to deafness). Evidence of communication skill development may include student evaluations of communication competencies; observations by faculty qualified to assess quality of sign language/spoken communication strategies and techniques used relative to job function, and the like.
3. *Professional activities and scholarship.* Scholarship activities should fall into one of the 4 defined RIT categories and be characterized by: documentation, peer review and dissemination. Summarize professional activities and supporting documentation, e.g., indications/examples of scholarship, creative activity, and publications.
4. *Campus and community activities.* Summarize activities and supporting documentation of contributions to the Institute outside the primary professional responsibility as well as the use of *professional skills* for community and public service.

### CHAIRPERSON EVALUATION:

Attach Chairperson Evaluation, Faculty Member's Self-Evaluation and Related Materials. Chairperson Evaluation must discuss objective reasons for placement in one of five performance categories:

<p><b>PERFORMANCE CATEGORIES</b> (Check one)</p> <p><input type="checkbox"/> Outstanding</p> <p><input type="checkbox"/> Very Good</p> <p><input type="checkbox"/> Satisfactory</p> <p><input type="checkbox"/> Needs Improvement</p> <p><input type="checkbox"/> Unsatisfactory</p>
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CHAIRPERSON'S SIGNATURE

DATE

## STATEMENT REGARDING TENURE

*Note:* This statement **MUST BE COMPLETED** by the chairperson as part of the annual appraisal for non-tenured faculty in a tenure track position.

At the start of the next academic year, you will have \_\_\_\_\_ years remaining prior to consideration by the Tenure Committee. At this stage of your professional development, your performance during the period covered by this review:

\_\_\_\_\_ is similar  
\_\_\_\_\_ is, in part similar  
\_\_\_\_\_ is not similar

to performance which has led to a recommendation of tenure. Tenure decisions depend, however, upon many factors, including your continued professional growth and development; your communication skill development including the development of sign language skills of Intermediate Plus or higher (as measured by NTID-administered SCPI) by tenure review time, development of spoken communication strategies and techniques, and the development of sensitivity to cultural issues related to deafness; and the comprehensive peer review conducted by the tenure committee.

Explain statement regarding tenure in terms of strengths and areas of needed improvement:

CHAIRPERSON'S SIGNATURE

DATE

COMMENTS BY FACULTY MEMBER: (additional pages should be attached if necessary)

I have reviewed the preceding and, at my option, have included the above response.

FACULTY MEMBER'S SIGNATURE	DATE
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COMMENTS BY ASSOCIATE VP FOR ACADEMIC AFFAIRS: (Required in the case of tenure-track faculty)

I have reviewed the preceding and, at my option, have included the above response.

ASSOCIATE VP FOR ACADEMIC AFFAIRS	DATE
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COMMENTS BY FACULTY MEMBER regarding Associate VP for Academic Affairs statements, if desired.

I have reviewed the preceding and, at my option, have included the above response.

FACULTY MEMBER'S SIGNATURE	DATE
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