

Augusta University

Policy Library

Evaluation of Faculty Policy

Policy Owner: University HR Services

POLICY STATEMENT

Augusta University faculty are reviewed annually by their department chairperson or other immediate supervisor to determine progress related to faculty development goals and performance in assigned workload. If deficiencies are noted that require further action, the chairperson will work with the faculty member to develop a faculty improvement plan to address any deficiencies.

All units are required to conduct a periodic, regularly scheduled review of tenured faculty to provide ongoing assessment of teaching, scholarly achievement, and service activities of the individuals after they have been granted tenure. A Post-Tenure Development Plan (PTDP) will be developed if any performance areas are found to be deficient.

Individual faculty member(s) shall have an avenue for appeal of decisions made from annual review or post-tenure review, or for disagreement with a PTDP or any subsequent actions resulting from the evaluation process.

Augusta University seeks to secure and maintain a faculty of the highest quality. This goal requires that Augusta University provide periodic assessment of faculty performance that is useful for faculty review and development.

AFFECTED STAKEHOLDERS

Indicate all entities and persons within the Enterprise that are affected by this policy:

- | | | | |
|---------------------------------|---|--|---|
| <input type="checkbox"/> Alumni | <input checked="" type="checkbox"/> Faculty | <input type="checkbox"/> Graduate Students | <input type="checkbox"/> Health Professional Students |
| <input type="checkbox"/> Staff | <input type="checkbox"/> Undergraduate Students | <input type="checkbox"/> Vendors/Contractors | <input type="checkbox"/> Visitors |
| <input type="checkbox"/> Other: | | | |

DEFINITIONS

Annual Review – Mandated, yearly review of faculty members under the University’s established guidelines for such review.

Chairperson – The immediate supervisor in the academic unit(s) to which the faculty member has been appointed. May include Department Chair, Section Chief, Dean, or any other administrator who fulfills the function.

Faculty Development Plan – A plan developed by the Chairperson and the evaluated faculty member to set goals and identify activities and initiatives that will aid the faculty member’s growth

Office of Compliance and Enterprise Risk Management Use Only

Policy No.: 589

Policy Sponsor: Type the title of the Executive Leader of the department.

Originally Issued: Not Set

Last Revision: 10/27/2016

Last Review: 06/16/2017

and development over the next review period. The development plan should also support preparation for promotion and tenure.

Faculty Improvement Plan – A plan developed by the Chairperson and the evaluated faculty member to set goals to address deficiencies found during the annual review. It should indicate activities for achieving those goals, timelines for meeting the goals, and criteria for measuring the faculty member’s success in meeting those goals.

Post-Tenure Development Plan – A plan developed by the Chairperson and the evaluated faculty member to set goals to address deficiencies found during post-tenure reviews. It should indicate activities for achieving those goals, set timelines for meeting the goals, and set criteria for measuring the faculty member’s success in meeting those goals.

PROCESS & PROCEDURES

1.0. General Guidelines for Annual Review

Faculty at Augusta University will be formally evaluated on an annual basis. In the case of faculty members who have appointments in more than one college, the faculty member shall be evaluated by the college in which he/she has primary appointment. Within each college, procedures will be developed that meet the following general guidelines:

1.1. Department Level review Process

1. At least annually, the Chairperson or the head of the appropriate academic unit and each individual faculty member will meet to discuss his/her faculty development goals and related progress. This performance evaluation should be scheduled to accommodate time requirements for decision-making and portfolio preparation of faculty who meet time-in-rank or time-in-service eligibility requirements, and who may wish to initiate the promotion or tenure process.
2. Workloads should be assigned so that each faculty member is able to realize individual goals related to teaching, research/scholarly achievement, patient care, service, or other academic initiatives. The division of a faculty member’s obligations between teaching, scholarship, patient care and service is left to the discretion of the Chair.
3. In instances where areas of deficiency are noted at the annual review and further action required, the chairperson is responsible, in collaboration with the faculty member, for establishing a Faculty Improvement Plan (FIP) directly related to the findings of the annual review. This includes identifying appropriate resources for such activities. The FIP shall be included with the report and forwarded to the appropriate administrative individual(s).

1.2. Faculty Improvement Plan

The Faculty Improvement Plan (FIP) will:

1. specify goals or outcomes that would help the faculty member overcome identified deficiencies;
2. outline the activities that can be undertaken to achieve the goals or outcomes;
3. set appropriate times within which the goals or outcomes should be accomplished (which should not exceed one year); such goals or outcomes should be limited enough in scope that they could be accomplished within the specified period; and,
4. indicate the criteria by which progress will be measured.

1.3. Financial Support for Faculty Improvement Plan

The Chairperson and Dean will be responsible for financial arrangements associated with the FIP, unless they are of a personal rather than a professional nature. If the nature or scope of the FIP is such that the individual cannot carry out other duties, the Chairperson and the Dean shall make other arrangements for these duties to be completed.

The FIP will be reviewed at the next annual review unless an earlier review is deemed appropriate.

2.0. General Guidelines for Post-Tenure Review

All units are required to conduct a periodic, regularly scheduled review of tenured faculty to provide ongoing assessment of teaching, scholarly achievement, and service activities of the individuals after they have been granted tenure. A Post-Tenure Development Plan (PTDP) will be developed if any performance areas are found to be deficient. Review will reside in the college. Each college within the university will develop and implement such a review process according to its organizational structure, but consistent with the policies and procedures of Augusta University and the Board of Regents.

2.1. Post-Tenure Review Process

The review process for an individual shall be conducted five years after the most recent promotion or personnel action, and reviews shall continue at five-year intervals unless interrupted by a further review for promotion. It shall be completed no later than the end of that academic year. If an individual is on leave at the time of review, he/she will be reviewed during the first academic year after his/her return.

1. All tenured faculty members will be reviewed with the following exception: tenured faculty members with a primary administrative appointment (greater than 50% time commitment) at the level of Assistant Dean and above will not be subject to post-tenure review. If such an individual leaves that administrative position and returns to a primary academic position, he/she will be placed into the post-tenure review cycle and will be evaluated under those guidelines as a faculty member in the fifth year following the return to the faculty and at subsequent five year intervals.

2. Review will be conducted by at least three tenured faculty members, all or a majority of those who are in the college of the individual being reviewed. A representative of the individual's department may be included as a non-voting member of the review committee.
3. The review will encompass teaching, research/scholarly achievement, and service. It will be based upon the faculty member's current job description, faculty evaluations, assigned faculty effort, and post-tenure review portfolio. Documentation required will be the post-tenure review portfolio, the other above named reports/forms as appropriate for determined by the college, the other above named reports/forms as appropriate for the last five years, and a Curriculum Vitae consistent with Augusta University format. The portfolio should include evidence of scholarship, teaching and service consistent with chair-assigned effort. It should be noted that competence in all three areas is expected as is excellence in the areas of primary activity. Lack of activity in an area for three years shall be deemed unsatisfactory.
4. Results and recommendations of the review committee will be communicated in writing to both the individual faculty member and the Department Chair. **The Chair and the committee will come to an agreement on the content of the review. If they cannot come to an agreement, the Dean will be consulted.**
5. The Chair will then review the findings with the individual faculty member. The individual faculty member will be provided with a written copy of the report at least five working days prior to the meeting. The faculty member and the Chair will sign the document after review. The faculty member, if he/she desires, may prepare a written response. The Chair will then transmit the report and any response to the Dean of the school. In the case of reviews of Department Chairs the results will be communicated directly to the Dean. After review by the Dean, the report and any response will be communicated to the Executive Vice President for Academic Affairs & Provost with a recommendation for further action or no further action.

2.2. Post-Tenure Development Plan

In instances where areas of deficiency are noted and further action is required, the Chair is responsible, in consultation with the faculty member and Dean, for establishing a Post-Tenure Development Plan (PTDP) directly related to the findings of the post-tenure review and identifying appropriate resources for completion of the PTDP. If a PTDP is required for a Chair, it will be developed by the Dean in consultation with the Chair. The PTDP shall be included with the report and forwarded to the Executive Vice President for Academic Affairs & Provost.

The Post-Tenure Development Plan (PTDP) will:

1. specify goals or outcomes that are required for the faculty member to overcome identified deficiencies;
2. outline specific activities that will be undertaken to achieve the goals or outcomes;
3. set appropriate times within which the goals or outcomes will be accomplished (which should not exceed three years);

4. indicate the criteria by which progress will be monitored; and
5. include a plan to monitor progress and reassess the plan annually as part of the faculty member's annual evaluation.

2.3. Financial Support for Post-Tenure Faculty Development Plan

The Dean will be responsible for financial arrangements associated with the PTDP. If the nature or scope of the PTDP is such that the individual cannot carry out other duties, the Chair and the Dean shall make other arrangements for these duties to be completed.

At the end of the PTDP the individual shall be reviewed by a three-member review committee. If possible, the committee should have the same members who completed the original review. Results of the review will be communicated in writing to the Department Chair. The Chair and the committee will come to an agreement on the content of the review. If they cannot come to an agreement, the Dean will be consulted.

1. Upon satisfactory completion of the PTDP the individual shall continue with five-year reviews, such time commencing with the next academic year after completion of the program.
2. If completion of the PTDP is deemed unsatisfactory by the review committee, the Chairperson, and the Dean, this decision with a recommendation from the Chairperson and the Dean will be referred to the President for further action.

All records of reviews will be retained by the Dean's office. At the end of each academic year the college must forward to the office of the Executive Vice President for Academic Affairs & Provost the names of the faculty members reviewed that year, the results, and the names of each member of the review committees.

3.0. Evaluation/Review Appeals

Individual faculty member(s) shall have an avenue for appeal of decisions made from annual review or post-tenure review, or for disagreement with a PTDP or any subsequent actions resulting from the evaluation process.

1. Decisions by an administrative head, Department Chairperson, or review committee may be appealed to the Dean within 10 days of written notification of a decision, action, or finalization of a PTDP.
2. Decisions by the Dean may be appealed to the Provost within 10 days of written notification from the Dean. The Provost shall refer the appeal to an ad hoc Appeals Committee composed of the Chairman of the FADPT Subcommittee of the Faculty Senate and four corps of instruction members to be named by the Provost, two of whom must be members of the Faculty Senate, one of whom must be from the College of the appellant, and in the case of post-tenure review appeals, three of whom shall hold tenure. The appellant has the right to strike for cause one member of the ad hoc Appeals Committee. The Provost shall inform the Dean and the Executive Vice President for

Academic Affairs & Provost that an appeal has been submitted and is under review. The findings and recommendations of the Appeals Committee shall be made to the President. The appellant will be notified of the President's decision with copies to the Dean and Executive Vice President for Academic Affairs & Provost.

3. Decisions by the President may be appealed in writing to the Board of Regents within 20 days of notification of the President's action.

Procedures for appeal at each level shall be available through the department and through the Dean's office

4.0. Faculty Retraining

Institutional needs assessments and concomitant programmatic changes within colleges and disciplines may at times require the reallocation of faculty positions. When this occurs, competent and productive faculty who may otherwise find their position in jeopardy may request reassignment to other responsibilities that may require a period of retraining. Such faculty retraining is a complex issue at the individual as well as at the academic unit and institutional levels. It is recommended that each college form a board or committee, as necessary, to provide recommendations to the Dean or appropriate unit director on how to facilitate such retraining should retraining become desirable.

REFERENCES & SUPPORTING DOCUMENTS

Augusta University Promotion and Tenure Policies (2013), pp. 26-28.

<http://gru.edu/universitysenate/documents/ptguidelines2013.pdf>

Augusta University Academic Leave Policy

Board of Regents Policy Manual: <http://www.usg.edu/policymanual/section8>

Section 8.3.4 Notice of Employment & Resignation

Section 8.3.5.1 Evaluation of Faculty

Section 8.3.8 Non-Tenure Track Personnel

Board of Regents Minutes, 1964-5, pp. 614-16; 1970-1, pp. 685-87; 1974-5, pp.304-13; 1980-81, p. 137; August 2007

RELATED POLICIES

Intentionally left blank.

APPROVED BY:

President, Augusta University and CEO, AU Health System Date: 06/16/2017

