



Policy and Procedures Manual Application: Full Time Faculty Section F1.11 Evaluations

F1.11 Evaluations

F1.11.1 Annual Faculty Performance Evaluation

Annual evaluation is a formative and summative process to be used by all full-time faculty to:

1. Gauge and assess performance
2. Provide constructive and informative feedback on goals and activities
3. Develop future plans and provide guidance for improvement.

Performance is primarily based on (1) teaching; (2) scholarly and creative achievements; (3) service contributions to the institution and profession; and (4) relevant non-teaching or administrative duties (if applicable). Positively contributing to ECU's mission, vision, strategic goals and living out the core values shall be evident. The annual Faculty Performance Evaluation (FPE) document is a part of all other forms of evaluation and is therefore a part of, but not the exclusive basis for, the evaluation for reappointment. The FPE will be included in the tenure and promotion and three-year tenure review portfolios. Any suggested improvements regarding faculty performance will be accompanied by specific recommendations, mentoring, and a timeline.

F1.11.2 Definitions

1. **FPE:** Faculty Performance Evaluation
2. **Evaluation Year:** July 1 to June 30. Summer semester classes concluding after July 1 should be included for the following year. (See Section 1.11.4 Implementation Timeline for first year FPE exception to Evaluation Year)
3. **Faculty Responses:** faculty who have concerns about their evaluation may provide a written response that will be included with the FPE. Faculty who wish to meet with the dean may request these meetings as outlined.
4. **Immediate Supervisor:** ECU employee most familiar with the faculty member's field and the day-to-day performance of the faculty member being evaluated (Examples found at ECU in different programs and departments include chairs, site coordinators, and program coordinators). Deans will evaluate all chairs and program coordinators in their college. The director of the library will evaluate librarians and the Provost/VPAA will serve as the next level supervisor in place of a dean.
5. **Performance Ratings:** This will be assigned by the immediate supervisor, with input from the dean and the Provost/VPAA as appropriate. One overall rating will be assigned on the FPE.
 - **Meets Expectations:** the performance rating given to faculty who are fully successful in meeting all the job standards of the current rank by performing up to job standards as stated in their job description and delineated in the faculty handbook.
 - **Meets Expectations with Qualification:** the performance rating given to faculty who are falling just short in one or more of the areas in job standards as stated in the job description and delineated in the faculty handbook. Note: Tenure-track faculty and faculty considering promotion to full professor receiving this rating are not fulfilling expectations in one or more areas.
 - **Does not Meet Expectations:** the performance rating given to faculty who are falling significantly short in more than one area as stated in job description and delineated in the faculty handbook. Note: Tenure-track faculty and faculty considering promotion to full professor should understand that they are not on track and should work with their supervisor and dean to make plans for mentoring and improvement.

6. **Signatures:** Signatures affixed to this document by all parties indicate that they have received a complete evaluation. If there are disagreements, written responses may be included with the evaluation materials as outlined under faculty responses. Faculty should check “Agree” or “Does not Agree” next to their signature.
7. **Additional materials:** Deans may request additional documentation and evidence of activities necessary for institutional reporting purposes to be submitted with the FPE. These documents will be considered independent of the FPE and the annual review process.

F1.11.3 Timeline

Items will be turned in on or before:

1. **First Friday of September:** Faculty turn in electronic copy of FPE to immediate supervisor and any additional materials required by the dean for institutional reporting.
2. **Last Friday of September:** Initial review completed and returned to faculty electronically
3. **Last Friday of October:** Faculty meetings with supervisor completed and all documents with signatures submitted to the dean.
4. **Third Friday of November:** Dean review completed and submitted to Provost/VPAA
5. **Last Friday of January:** Provost/VPAA review completed and returned complete copies to faculty

F1.11.4 Implementation Timeline

The evaluation year will correspond with the fiscal year calendar covering activities concluding between July 1 and June 30 of the preceding academic year.

In 2019 ECU will transition from an evaluation model based on the calendar year (January-December) to one set on the academic year (July-June). In the interest of efficiency and to avoid evaluating one semester alone, for the first year this FPE is used faculty will include information from three semesters (Spring 2019, Fall 2019, and Spring 2020; (initial faculty deadline is September 2020).

Faculty members **hired for the summer or fall semester** will not complete the FPE but will undergo an abbreviated evaluation for the purpose of reappointment.

Faculty members **hired during the spring semester** will complete the FPE with work completed during the spring and summer as appropriate.

Faculty members up for tenure and promotion and/or pre and post tenure review in the spring will complete the FPE in the fall, as it will be used as an artifact in those processes.

F1.11.5 Instructions for Submission of Faculty Performance Evaluation

All regular faculty will submit yearly FPEs. Faculty are responsible for adhering to the set timeline (Section 1.11.3).

1. **Non tenure-track faculty** will submit parts 1, 3, and 5, (non tenure-track faculty complete parts 2 and/or 4 if applicable). Non tenure-track faculty should communicate annually with their immediate supervisor regarding yearly expectations for service, which will be clearly outlined in advance by department and college—with an emphasis on the teaching portion of performance evaluation for instructional faculty, and an emphasis on professional service for librarians and other non-instructional faculty.
2. **Tenure-track and tenured faculty** will complete parts 1-3, and 5 (complete part 4, if applicable). Tenure track faculty submitting either three-year pre-tenure reviews or tenure and promotion portfolios will also complete the performance evaluation, as the FPE will be part of the review/portfolio. (See section 1.5 of Faculty Handbook for more details on the promotion process).

The narrative/summary portions (section A in parts 1, 2, 3, and 4 if applicable) should highlight the most significant contributions and accomplishments in those fields for that evaluation year.

The other examples portions (section B in parts 1, 2, 3, and 4, if applicable) should list achievements (with necessary bibliographic information, if applicable) organized in order of importance based on guidance provided by the supervisor/dean.

Part 5 is the SMART objectives portion. In section A, discuss achievement of and/or progress toward SMART objectives from the previous evaluation. In section B, propose SMART objectives for the upcoming year. Supervisor will comment on these in the initial evaluation. During the evaluation meeting, faculty and supervisor will consult and finalize SMART objectives.

Situations exist where faculty activities span multiple academic years. Summer classes should be included in the following academic year. Projects spanning more than one academic year (for example multi-year grants), should be mentioned by faculty in all years the activity occurred. It is the responsibility of immediate supervisors to ensure recognition of grant activity occurs in the year the grant was initially awarded (and should be noted in section 6).

F1.11.6 Initial Evaluation

Immediate supervisors will initially complete and submit part 6 to the faculty member. Part 6 narratives should endeavor to note accolades and significant achievements, areas where the faculty member is performing as expected in relation to rank/position, and any potential areas of improvement.

If additional information/documentation is needed from the faculty member, this should be noted in the initial evaluation. If the supervisor requests more information/documentation in the initial evaluation, it is the faculty member's responsibility to fulfill the request at least three days prior to the evaluation meeting. Once part 6 has been sent, the supervisor will schedule a meeting with the faculty member.

F1.11.7 Evaluation Meeting

During the evaluation meeting, the supervisor and faculty will discuss the initial evaluation. If at the end of the evaluation portion of the meeting a faculty receives "Meets Expectations with Qualification" or "Does not Meet Expectations" a faculty remediation plan utilizing the SMART objectives must be developed. The plan will be a joint effort of the faculty member and immediate supervisor, outlining specific professional development activities, plans for future scholarly and/or creative activities, and/or plans for increased service to the university. It is also the responsibility of the faculty member's immediate supervisor to find one or more additional appropriate mentors to help the faculty member carry out the remediation plan.

F1.11.8 Signatures

After the meeting, the supervisor will finalize the evaluation, sign it, and send it to the faculty for signing. When received, the faculty will read and sign, checking either "Agree" or "Does not Agree" by signature before returning document to supervisor. If "Does not Agree" is checked, see next paragraph.

If the faculty member has **items of concern** about their evaluation and wishes to **give a faculty response**, the faculty member must respond within the allotted time according to the timeline (1.11.3) to do the following:

1. Sign the evaluation and check "Does not Agree";
2. Document the items of concern and gather any other documentation; and
3. Send the signed evaluation and other documentation to supervisor and dean.
4. Note: The faculty member also has the option to schedule a meeting with the dean and supervisor. The documented concerns will be appended to the signed evaluation.

Once supervisor receives signed evaluation from faculty (and additional documentation if "Does not Agree" is marked), the supervisor will send the completed/signed evaluation and any additional documentation to the dean. Any documented faculty response will be appended to the evaluation.

F1.11.9 Immediate Supervisor Responsibilities

Immediate supervisors are responsible for adhering to the deadlines set for supervisors to respond/return items. See Section 1.11.3 Timeline for due dates.

Immediate supervisors will be formally trained to use the faculty performance evaluation tool before using it to evaluate faculty (see Section 1.11.11 Institutional Responsibilities).

F1.11.9.1 Develop/Organize Indicators Appropriate to the Discipline

As described in Section 1.5.17 Indicators of Effectiveness Lists.

F1.11.10 Dean and PROVOST/VPAA Responsibilities

Deans should review the evaluation and send it to the Provost/VPAA based on the established timeline in Section 1.11.3.

In the event a faculty member has items of concern with the evaluation, they will document their concerns, send them to the supervisor and dean, and may set up a meeting with the supervisor and dean within the allotted time given (see Section 1.11.8). Reasonable attempts will be made at this meeting to address the faculty member's items of concern. Once the meeting concludes, the dean will write a narrative/summary in the dean's comments section. At the outcome of the meeting, the faculty member's documented items of concern will be appended to the finalized evaluation and will become part of the faculty member's permanent file.

The Provost/VPAA should review the evaluation and send an electronic copy of the completed document to the faculty member, supervisor, and dean by the date given in Timeline (1.11.3).

F1.11.10.1 Annual Teaching Observations

The dean's office is responsible for facilitating the scheduling of teaching observations as part of the mentoring process for new and tenure-track faculty. The dean's office will ensure tenure-track faculty as well as faculty up for promotion have a minimum of two classroom observation reports per academic year. At least one observation will be completed for new faculty in the first semester. Teaching observations can be conducted by the immediate supervisor or other faculty; the dean's office will nominate two observers from which the faculty member will choose one as an observer, and the faculty member will choose a second observer.

If a scheduled observation is missed for any reason, the faculty member must notify the dean's office in order to reschedule the teaching observation. Teaching observations will be conducted utilizing the most current teaching observation rubric(s) developed and approved by faculty senate and the office of academic affairs; all faculty, regardless of rank, are expected to participate as observers. Observers will be formally trained to use the rubric(s) (see Section 1.11.11 Institutional Responsibilities). Any exception(s) to this policy must be approved by the Provost/VPAA.

F1.11.11 Institutional Responsibilities (ECU Academic Affairs & Colleges)

The completed and fully signed document will be returned via email to the individual faculty member yearly at the end of the evaluation process. Faculty should retain this completed document for their tenure and promotion documentation. A copy will also be retained by ECU Academic Affairs office.

The Office of Academic Affairs is responsible for providing training to immediate supervisors on the use of the faculty performance evaluation tool, as well as training on the use of the teaching observation rubric(s) to all faculty observers. Faculty will have the opportunity to evaluate deans and department chairs every year in April through the survey process, as scheduled on the ECU Academic Affairs calendar.

If Handbook Policy on FPE changes, it will not be retroactively applied.

Yearly expectations for non-tenure-track faculty will be clearly outlined in advance by departments and colleges—with an emphasis on the teaching portion of performance evaluation for instructional faculty and an emphasis on professional service for librarians and non-instructional faculty. (Service and scholarship potentially noted as optional categories based on job description.)

F1.11.12 Faculty Senate Responsibilities

At the beginning of each academic year, Senate will consider convening an ad hoc to revisit/review faculty evaluation. Substantive changes will be made in the fall and finalized in the spring semester for the following academic year. Faculty will have the evaluation criteria for a full year before they must report on it (for example, changes made and announced to faculty-at-large in Spring 2020 will be applied for the evaluation due September 2021).