

# Oklahoma State University Policy and Procedures

## **ANNUAL FACULTY APPRAISAL AND DEVELOPMENT PROGRAM**

**2-0112  
ACADEMIC AFFAIRS  
October 2016**

### **POLICY**

1.01 A review of faculty activities and accomplishments for the preceding calendar year shall be conducted by the unit administrator every spring for every continuing faculty member with an appointment of .75 FTE or greater for the academic year, regardless of rank or tenure status. A written report of activities and accomplishments shall be submitted by the faculty member. This report shall include a work and professional development plan. Unit administrators are expected to encourage the professional development of each faculty member.

1.02 Unit administrators shall make available to each faculty member the written Academic Unit Standards established by the faculty members as prescribed in the OSU Policy and Procedures Letter 2-0902, "Reappointment, Promotion and Tenure Process for Ranked Faculty." These standards should be provided to all faculty members electronically. New faculty members should be provided an electronic copy at the time of their appointment. These standards serve as the basis for the evaluation at all levels of review and must be consistent with university and college policies, but may exceed them. The unit administrator shall endeavor to provide an environment conducive to the achievement of expected performance. The unit administrator shall submit a written evaluation that provides detailed descriptions of the faculty member's accomplishments and/or deficiencies specifically as they relate to the written Academic Unit Standards. The faculty member's written report, together with the unit administrator's evaluation, shall serve as the supporting documentation for any merit pay raise or other salary adjustment. The completed annual review documentation shall be placed into the permanent record of the faculty member and shall be added to an accumulation of performance documents that shall be used in any further review. A complete set of annual review documents shall be available for any peer committee evaluation, particularly evaluations at the times of reappointment, tenure and promotion.

### **PROCEDURE**

2.01 The faculty of each academic unit shall use the written Academic Unit Standards established by the faculty members of the unit as prescribed in the OSU Policy and Procedures Letter 2-0902, "Reappointment, Promotion and Tenure Process for Ranked Faculty" as the basis for the annual faculty appraisal and development. As delineated in Policy 2-0902, Academic Unit Standards serve as the basis for the evaluation at all levels of review and must be consistent with university and college policies, but may exceed them. The standards must be approved by a vote of all tenured and tenure track faculty within the unit, by the appropriate college dean, and by the Provost and Senior Vice President, Academic Affairs.

2.02 Each spring semester, unit administrators shall initiate the appraisal and development process by distributing the Annual Faculty Appraisal and Development Program Form and clearly communicating to each faculty member the procedures, guidelines, timetable, and performance standards to be used.

Academic units may choose to adapt the Annual Faculty Appraisal and Development Program Form to maximize relevancy of the form to unit faculty. Any changes to the form must be reviewed and approved by the Dean of the college in which the academic unit resides. Furthermore, any changes to the names of any of the reporting categories (e.g., Teaching Activities) and any changes to, or additions to, the names of assignment areas must be submitted to the Division of Academic Affairs for review and approval prior to use.

2.03 Upon receipt of the form and information listed in Section 2.02, each faculty member shall provide to the appropriate administrator(s) a written report of his/her activities and accomplishments for the preceding calendar year, and future objectives. Reports should be submitted to the unit head on or about January 31. Faculty members with split appointments shall submit their report to the unit administrators of all the units in which they have assigned responsibilities. Faculty members should be aware that the University Ombudsperson (<http://president.okstate.edu/ombudsman>; [ombuds@okstate.edu](mailto:ombuds@okstate.edu)) is available for consultation throughout the annual appraisal and development process. In preparing this report, the faculty member shall adhere to the following:

- a. All significant activities and accomplishments for the current appraisal period shall be listed as specified in the Annual Faculty Appraisal and Development Program Form.
- b. Outside professional activities listed should follow OSU Policy and Procedures Letter 2-0111, "Procedures to Govern Overload Assignments, Outside Professional Activities, and Other Outside Activities of Faculty Members."
- c. Documentation of activities in each assigned area should be provided.
- d. An updated curriculum vitae shall be included to provide an historical context for activities in the current appraisal period.
- e. A listing of objectives and planned professional development activities for the coming year shall be included.

2.04 After receiving the written report described in Section 2.03, the unit administrator shall evaluate the professional performance of the faculty member and develop an initial draft of a written statement which describes and supports his/her appraisal. Unit administrators should prioritize the evaluation of tenure-track faculty throughout the review process. In preparing this draft statement, the unit administrator shall be guided by the following:

- a. The Academic Unit Standards, described in Section 2.01, shall reflect the goals of the unit and the professional standards of excellence common to the unit's academic discipline. These standards shall detail the academic qualification standards for each rank, function or specialty within the unit, and must be consistent with university and college policies, but may exceed them. The unit administrator must base the evaluation on these standards and the faculty member's assigned role in the unit.
- b. The appraisal must be a definitive statement of the faculty member's progress, accomplishments, and/or deficiencies related to objectives and activities during the appraisal period. A restatement of the faculty member's activities is not adequate. As appropriate, the draft appraisal should include comments on the quality and quantity of

performance in the faculty member's assigned areas of responsibility with respect to the Academic Unit Standards. Performance deficiencies with respect to a faculty member's professional assignment are part of this appraisal, even if these deficiencies have previously resulted in an admonition. Deficiencies that have resulted in a sanction should be handled as discussed below in Section 2.04c. This appraisal is meant to address professional performance and should not be used as a means to document or evaluate personal misconduct. Such actions are to be addressed as prescribed in the *Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University* (1.13. Disciplinary Actions).

- c. The appraisal shall state the existence of a sanction that was imposed during the appraisal period that is not under appeal or the transfer of a sanction record, as described in *Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University* (1.13 Disciplinary Actions). The appraisal should not restate the action(s) that lead to the sanction but instead rely on the sanction report for corrective actions on the part of the faculty member and procedures for appeal, review, modification, and removal of the sanction.
- d. The unit administrator shall ensure that each faculty member has recommended major objectives for the next appraisal period. The unit administrator may recommend additional objectives and planned development activities to be discussed during the appraisal interview. If a major element of professional performance is judged to be unsatisfactory by the unit administrator, a detailed written plan for corrective action shall be specified by the unit administrator.
- e. For tenure-track faculty who are not tenured, the unit administrator shall make a specific statement regarding the faculty member's progress toward tenure based on the written Academic Unit Standards. Furthermore, the unit administrator should recommend specific modifications in activities, when necessary, that will contribute to a positive tenure decision.
- f. If the faculty member has a split appointment, the draft appraisal statement shall be prepared by the unit administrator of the faculty member's home department after consulting with unit administrators of other units in which the faculty member has assigned responsibilities. If the involved unit administrators disagree significantly on the evaluation, the matter shall be brought to the attention of the dean of the home department for resolution before the draft is finalized and sent to the faculty member.

2.05 After completion of the initial draft of the written appraisal statement, the unit administrator is to schedule an individual conference to be held in person with each faculty member appraised. The purpose of the conference is to discuss the appraisal and to attempt to resolve any differences between the faculty member and the unit administrator regarding the content and meaning of the written appraisal statement. As stated above (2.04), tenure-track faculty should receive priority in scheduling of individual conferences. In scheduling and conducting the conference, the unit administrator and faculty member are to be guided by the following:

- a. The unit administrator should provide the faculty member with a copy of the draft of the written appraisal statement at least three (3) working days before the conference is scheduled.
- b. If the faculty member wishes to clarify or change any part of the draft statement, he/she should provide the unit administrator with a written statement specifying the requested clarifications or changes at least one (1) working day before the conference is scheduled.
- c. During the conference, the unit administrator and faculty member should attempt to make changes in the draft appraisal statement that will make it satisfactory to both parties.
- d. Unit administrators shall make special provisions for faculty on leave or otherwise unable to meet in person.

2.06 Following the conference, the faculty member, unit administrator, and dean are to sign the final written appraisal statement containing the final written appraisal of the faculty member's professional performance for the preceding calendar year, including any changes they agreed to make. The faculty member's signature simply acknowledges that he/she has seen the written appraisal statement and has participated in the conference. Unit administrator review of all faculty members should be complete on or about March 31.

2.07 If there is a disagreement between the faculty member and the unit administrator over the appraisal statement that is not resolved during the individual conference described in Section 2.05, the faculty member has ten (10) working days after the conference in which to present a written response. The written response shall be included as part of the permanent record of the annual review.

If requested by the faculty member, the unit administrator shall obtain appropriate faculty counsel from the unit's personnel committee or equivalent. This committee will determine whether the appraisal is justified, and if so, what measures to improve performance are warranted. The committee shall obtain input from both the faculty member and the unit administrator. When deemed necessary, this committee may seek other external assistance to aid in their evaluation. The opinion shall be delivered in writing to the unit administrator and faculty member within ten (10) working days of the initial request from the faculty member. The unit administrator shall provide a written response within five (5) working days to the faculty member that addresses the counsel provided by the unit's personnel committee or equivalent. This report should include the rationale for any disagreement with counsel provided by the unit's personnel committee or equivalent unless that requires inappropriate disclosure of confidential information.

If a disagreement between the faculty member and the unit administrator is not resolved subsequent to the faculty member's written response and/or faculty counsel, the unit administrator must alert the dean within five (5) working days. The dean must resolve the matter and respond in writing within 20 working days to the unit administrator with a copy to the faculty member. If disagreement exists between the resolution by the dean and the written faculty counsel, the faculty member can bring the matter to the provost for final resolution.

2.08 The faculty member's written reports of activities and accomplishments together with the written reports, as described in Section 2.03, from the unit administrator shall serve as the supporting documentation for any merit pay raise or other salary adjustment.

2.09 All documents and records relating to each faculty member's annual review are to be placed in that faculty member's personnel file. These records shall be available to faculty charged with the responsibility of providing appropriate faculty counsel related to reappointment of untenured faculty, promotion of untenured and tenured faculty, granting of tenure, and cumulative review of tenured faculty. The full annual review process should be completed on or about April 30.

Summary of Timeline (on or about)

- December – Reminder is sent out to colleges regarding the appraisal and development timeline.
- January 31 – Faculty submit materials to their unit administrator.
- March 31 – Unit administrator review of all faculty members should be complete.
- April 30 – The full annual review process should be complete.

Approved:

Faculty Council, December 12, 2006

Council of Deans, January 11, 2007

Executive Team, December 2007

Form Modified, November 2008

Revisions Approved:

Faculty Council, May 13, 2014 and February 10, 2015

Council of Deans, May 14, 2015

Executive Team, September 2015

Revisions Approved:

Faculty Council, May 10, 2016

Council of Deans, June 9, 2016

Executive Team, October 2016

**OKLAHOMA STATE UNIVERSITY**  
**[UNIT OR COLLEGE NAME]**  
**ANNUAL FACULTY APPRAISAL AND DEVELOPMENT PROGRAM FORM**

<b>Name</b>	
<b>Faculty Rank</b>	
<b>Academic Unit</b>	
<b>Period of Evaluation</b>	

In consultation with the unit head, list below the areas of assignment along with the percent effort for each area of assignment (Teaching, Research/Scholarship, Outreach and Engagement, Clinical, Administrative, Librarianship) during the current appraisal period.

<b>Area of Assignment for Appraisal Period</b>					
Category	Percent	Category	Percent	Category	Percent

For each relevant area below describe activities and accomplishments for the appraisal period. In addition, provide a description of evidence of quality and/or impact of effort. Areas of work that are not part of an assignment may be left blank. List awards and honors in the area of greatest relevance.

**TEACHING ACTIVITIES:**

(e.g., courses taught, advising students, instructional materials developed, assessment of student learning outcomes)

**RESEARCH, SCHOLARLY, AND OTHER CREATIVE ACTIVITIES:**

(e.g., publications, professional presentations, advisor for graduate theses or dissertations, undergraduate research supervised, performances, productions, curated works, patents and intellectual property)

**GRANTS AND CONTRACTS:**

(e.g., proposals submitted, proposals funded, contracts received)

**EXTENSION, OUTREACH, AND ENGAGEMENT ACTIVITIES:**

(e.g., programs developed or revised, extension grants, extension publications [fact sheets, etc.], courses or conferences organized)

**PROFESSIONAL ACTIVITIES (SERVICE):**

(e.g., committees, professional offices or committees, editorial boards, papers reviewed)

**CLINICAL ACTIVITIES:**

Outline primary activities and accomplishments

**ADMINISTRATIVE ACTIVITIES:**

Outline primary activities and accomplishments

**OTHER:**

Outline primary activities and accomplishments

**GOALS AND OBJECTIVES**

List past year’s goals and objectives for areas of assignment, describe accomplishments relative to those goals, and list goals for the next appraisal period (add or delete rows depending on need).

Last Year’s Goals	Outcome	Next Year’s Goals
[Identify Area of Assignment] 1. 2.	1. 2.	1. 2.
[Identify Area of Assignment] 1. 2.	1. 2.	1. 2.
[Identify Area of Assignment] 1. 2.	1. 2.	1. 2.

Area of Assignment for Next Appraisal Period					
Category	Percent	Category	Percent	Category	Percent

*A current curriculum vitae should be attached to this document.*

*In consultation with unit head and after review of the Academic Unit Standards, I verify this supporting documentation for this appraisal period is complete.*

\_\_\_\_\_  
*Signature of Faculty Member*

\_\_\_\_\_  
*Date*