

PROFESSORIAL FACULTY REVIEWS **College of Forestry**

Formal reviews of faculty job performance by peers and supervisors can be useful communication tools to aid in faculty development and career stimulation, and to promote long-term productivity. These reviews can also serve to validate and reinforce success and to recognize and foster excellence. This policy memo outlines the procedures for annual, interim and post-tenure faculty review that are to be used in the College of Forestry. They complement the Promotion and Tenure Guidelines described in Admin Memo 4 and the Peer Teaching Evaluations described in Admin Memo 32. These review procedures are consistent with the University and Faculty Senate Guidelines on Promotion and Tenure, and on Post-Tenure Review. These guidelines in no way supersede the University Post-Tenure Review Guidelines.

Several different types of faculty reviews are prescribed:

Professional Review of Faculty (PROF) is an annual review of all professorial faculty conducted by the Department Head or unit leader,

Interim reviews for untenured professorial faculty on fixed-term or annual tenure (tenure-track) appointment will normally occur during the third year of the initial appointment, but not later than the fourth year.

Interim reviews for newly-tenured or fixed-term Associate Professors will normally occur between the third and sixth year after promotion or indefinite tenure has been granted.

Post-tenure review of tenured professorial faculty will occur at intervals of five years or less, unless otherwise prescribed by University or Faculty Senate Guidelines.

All written reviews, attachments and professional development plans developed as a result of these reviews are to be regarded as confidential under the OSU policy on faculty employment records. Appeal and grievance procedures are specified in the *OSU Faculty Handbook*.

Annual PROF

Each professorial faculty member will submit an annual report of accomplishments and goals for the next year to his or her supervisor as soon as is practical after the end of the calendar year. The format of the annual report and any accompanying material will be identified in departmental or other unit guidelines. The Department Head, Staff Chair or other unit leader is responsible for conducting the annual review. PROF is a review of a faculty member's growth and accomplishments, documents accomplishments, provides constructive evaluation and feedback to faculty, and is a means of ensuring that individual, unit and institutional goals are realized. The PROF sets acceptable standards of work quality and productivity.

The PROF will:

1. affirm the goals and expectations set by the faculty member and supervisor in a signed written document;
2. list and evaluate the scholarly and other accomplishments of the faculty member in light of the position description and the goals and expectations identified in previous PROF'S;
3. include a narrative statement by the faculty member of his/her progress on meeting those identified personal, professional, and unit goals;
4. identify the work/professional growth planned for the period between PROF'S;
5. identify obstacles to the accomplishment of set goals and explore how these obstacles may be surmounted;
6. review the position description and revise, if needed.

Written summary of the PROF's will be consistent with, and contribute to, any evaluation made as a part of pre-tenure review or evaluation for tenure or promotion. The unit leader will meet with each faculty member, discuss accomplishments and goals, review the position description, and provide a written performance evaluation.

After receiving and signing a copy of the written review, a faculty member may attach comments, explanations or rebuttal. The Department Head or unit leader will meet annually with the Dean to discuss any specific significant matters arising during the PROF process.

Interim Reviews

The purpose of these College-level reviews is to assess each faculty member's progress toward indefinite tenure or promotion so that timely guidance can be extended to the faculty member to aid in preparing for formal evaluation. Interim reviews are supplemental to annual PROF evaluations and to a subsequent formal promotion and/or tenure evaluation. The Interim Review provides opportunity for the Department faculty, Department Head, Dean and other supervisors to observe and comment upon an individual faculty member's performance relative to University and College P&T guidelines and to offer, if needed, appropriate advice and counsel on improving performance to meet promotion and tenure requirements. It also provides a forum for the faculty member being reviewed to ask questions about the process and criteria for granting indefinite tenure or promotion.

Procedure:

1. Interim Review is discussed with each eligible faculty member by the Department Head during the winter or spring of the academic year prior to a planned review.

2. The faculty member prepares a dossier for review under specifications and time guidelines provided by the Department Head. External reviews and evaluation letters are not normally sought for this dossier. Formal student or client input, based on the faculty member's position description, may be sought at the discretion of the Department Head or the Faculty Review Committee.
3. The dossier is reviewed by the Department Head (and the Extension Program Leader in the case of Extension faculty) and the Departmental Faculty Review Committee. Their written evaluations are appended to the dossier and are provided to the faculty member, who may attach comments, explanations, or rebuttal before signing to indicate that the document is complete.
4. The Department Head forwards the dossier and any attachments to the Dean's Office and schedules a meeting to be attended by the faculty member, the Department Head, the Dean, and Associate Deans, and other administrators and supervisors, as appropriate.
5. At the meeting, the performance of the faculty member relative to University and College P&T guidelines is discussed in the form of a dialogue among all parties present. P&T guidelines and procedures are reviewed to ensure that the faculty member has been informed about the process and criteria for evaluating faculty for granting of indefinite tenure, or promotion.
6. After the meeting, the Dean sends written comments to the faculty member on the performance of the individual relative to P&T guidelines. If appropriate, suggestions for performance enhancement will be included. The Dean's letter is sent through the Department Head to the faculty member for signature and response, if desired. The letter is then placed in the individual's personnel file.
7. The Department Head, in consultation with any other direct supervisors, reviews the results of the Interim Review with the faculty member and discusses any issues or concerns raised during the review. A written plan for any needed improvements will be jointly developed by the faculty member, the Department Head, and any other appropriate supervisors and placed in the individual's personnel file.

Post-Tenure Reviews

The purpose of post-tenure review of faculty is to *"...recognize and foster excellence, to help good faculty become better, and to identify and help underachieving faculty fulfill the potential that was recognized upon hiring and reaffirmed on the awarding of tenure."* (OSU Faculty Senate Guidelines). Post-tenure reviews are supplemental to annual PROF evaluations by the Department Head and to any subsequent formal promotion evaluation.

The Post-Tenure Review is normally a Department-level process that occurs every five years for each tenured faculty member after reaching the Associate Professor rank. Instructors and fixed-term faculty are not included, as a general policy, but Department Heads are encouraged at their discretion to call for periodic reviews of those on continuing appointments if their position

description warrants. In the case of tenured Associate Professors, a College-level Interim Review or a formal evaluation for promotion may be substituted for the normal post-tenure review if conducted within the five-year span. The Department Head or unit leader, or the faculty member may also request a peer committee post-tenure evaluation at any time if it is considered to be beneficial to the professional development of the faculty member. The five-year clock for post tenure review begins at promotion or interim review.

Process

The Post Tenure review will consist of the following steps:

1. The Department Head is responsible for developing and maintaining a multi-year plan for post-tenure review to maximize effective use of faculty and staff resources. The Department head will discuss the post-tenure review process with each eligible faculty member during the winter or spring of the academic year prior to a planned review.
2. The faculty member will prepare a dossier in accordance with the OSU Promotion and Tenure Guidelines, with the exception that outside review letters will not be required, and will not ordinarily be requested. If a faculty member or unit head requests outside review, up to five reviewers will be selected, following the process used in promotion and tenure procedures.
3. A unit review committee of faculty peers, appointed by the department head, will review the dossier. The peer committee also may include faculty outside the unit; this option might be especially appropriate for faculty whose work has a significant interdisciplinary component that involves other OSU units. The peer committee's evaluation will be provided to the faculty member, who may attach comments, explanations or rebuttal, prior to being forwarded to the Department Head.
4. The Department Head, after reviewing the dossier and peer committee's evaluation and recommendation, will prepare a written evaluation of the faculty member's performance in each of the assigned areas of responsibility, as well as an overall performance rating. The overall performance will be expressed as *Extraordinary Performance*, *Strong and Positive Performance*, or *Unsatisfactory Performance*.
5. The final dossier and evaluations will be kept in the faculty member's personnel file, and a copy will be submitted to the Dean.

Outcomes

An overall performance rating for the five-year review period will be determined using the following three levels: *Extraordinary Performance*, *Strong and Positive Performance*, or *Unsatisfactory Performance*. It is expected that only five-year performance records that stand out from the rank group and which are conspicuously marked by distinction will be considered "Extraordinary." This rating would require high levels of sustained performance per faculty

member's position description. Similarly, faculty performance that shows a sustained record of deficient performance per faculty member's job description will be considered "Unsatisfactory."

"Extraordinary" Performance: The Department and College will publicly acknowledge faculty whose performance is deemed Extraordinary and will consider the post-tenure review outcome in awarding merit raises at the next available opportunity for such raises. In addition, faculty receiving a rating of Extraordinary will receive a one-time monetary supplement of \$5,000. The ultimate decision to fund an award will come from the Forestry Executive Committee to ensure that equivalent standards are being applied across the College.

"Strong and Positive" Performance: The Department and College will consider the post-tenure review outcome in awarding merit and fully satisfactory performance raises at the next available opportunity.

"Unsatisfactory" Performance: Should the peer committee and the Department Head agree that the results of a five-year review indicate that a faculty member's record is unsatisfactory, the Department Head in consultation with the peer committee and the faculty member under review, will draft a professional development plan. This plan will include definite steps to be taken to remedy the specific deficiencies and to provide realistic support for accomplishing the goals of the development plan. The plan shall be approved by the Dean. A timetable of no longer than three years will be provided to accomplish the goals of the plan, with annual monitoring by the unit head and peer review committee to measure progress.

Discipline or dismissal for cause, are not part of the post-tenure review. The consequences of continued unsatisfactory performance are outlined in *The Faculty Handbook*. The Department Head and the Dean bear the responsibility for documenting a case of continued unsatisfactory performance and/or failure to achieve the goals of the development plan resulting from a post-tenure review.