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SEAS POLICY AND PROCEDURE # 2013.4

Title: Annual Performance Evaluation Process for Engineering Faculty Members

<u>Contact office</u>
Office of the Dean
School of Engineering and Applied Science
PO Box 400246
University of Virginia
Charlottesville, VA 22904-4246
p.434.924.3593
f. 434.924.3555
email. engrdean@virginia.edu

Applies to
All faculty members in the School of Engineering and Applied Science: tenured and tenure-track faculty (TTTF) and non-tenure track faculty (NTTF) with professorial title.

Reason for policy
Performance evaluation is required of all University of Virginia faculty members on an annual basis. This document specifies the procedure for annual performance evaluation within SEAS. In the absence of an annual performance evaluation, faculty members are not eligible for merit-based salary increases.

Policy Statement
The teaching, research, and service activities and accomplishments of each faculty member, as appropriate for their professorial track and rank, are assessed annually by the department and the dean. The annual evaluation includes submission of the 1) Faculty Annual Performance Planning and Review (FAPPR) form and 2) the Faculty Annual Performance Information Documents (FAPID). Completion of the Planning and Review form is guided by the SEAS Performance Benchmarking Guide corresponding to the faculty member's professorial track and rank. The two items are received in the department chair's office by February 13. Faculty members with joint appointments submit their documents to both departments.

Peer assessment is included as part of the performance evaluation process. Each department establishes a Peer Review Committee (PRC) whose responsibilities include reviewing the FAPPR and FAPID of all departmental faculty members and providing an assessment of the faculty member's contributions in teaching, research, and service as adjusted to the allocation of responsibilities for professorial track and rank. The assessments of the PRC are intended to support the faculty member's professional development so as to promote the potential for high professional impact both internal

and external to SEAS. These assessments will also inform chairs when they prepare the annual performance review and make merit-raise recommendations.

The FAPPR, FAPID and the advisory comments of the PRC are used by the department chair to complete the Faculty Annual Performance Review Feedback (FAPRF) form for each faculty member. Each faculty member receives the written FAPRF form and the PRC assessment and discusses these documents with the department chair no later than April 15. A copy of the FAPRF form signed by the faculty member is forwarded to the Dean's Office by May 1.

Peer Review Committees (PRCs)
1. Formation and Composition
Each department will form one Peer Review Committee (PRC) of at least three senior faculty members, including at least two faculty members who are members of the department (hereafter called *internal PRC members*) and one SEAS faculty member from another SEAS department (the *external PRC member*), with the following two exceptions: (a) for purposes of improving a PRC's diversity, a PRC may include a second external member and (b) if a department cannot staff a PRC with two internal members (faculty members at the rank of full or associate professor, excluding the chair), its PRC may have one internal and two or more external members. In departments with four or more full-time non-tenure-track faculty (NTTF) members, one of the internal PRC members shall be NTT, provided the department has at least one NTT faculty member at the rank of associate or full professor.

Each department's PRC members will be chosen by mutual agreement of (a) the department's representative on the SEAS Faculty Council, (b) the department chair, and (c) the faculty member selected to serve on the committee. In the case of a department that has no representative on the Faculty Council, or if this representative is unavailable to approve or disapprove of a candidate for a PRC, the chair of the Faculty Council will serve in place of the representative for this purpose. In the case of an external PRC member, the chair of the external department must also agree to the selection. In the selection of committee members, diversity will be an important consideration. In any given year, no faculty member will serve on more than one PRC.

For the purposes of PRC composition, "senior faculty" generally means full professors (regardless of tenure eligibility), but with the agreement of the department's representative on the SEAS Faculty Council (or the Council chair in the absence of such a representative) and the department chair, associate professors may serve on PRCs. Department chairs and deans are ineligible to serve on PRCs. Members of PRCs will ordinarily serve three-year terms, except that in the first year members will serve one-, two-, or three-year terms to promote a regular annual rotation in membership. At the conclusion of their terms, PRC members may be reappointed.

PRCs will be named each fall semester. The selection of PRCs will be complete by

November 1. It will be the department chair's responsibility to insure that PRCs are formed by that date.

By November 1, the department chair will contact the faculty members selected for the PRC of her or his department to inform them of their selection and to brief them on the assignment. Faculty members continuing on the PRC after service on the committee in the previous year will be included in this message. The briefing will include the circulation of this policy.

Members of each PRC will agree upon one member to serve as coordinator. The coordinator will be an internal PRC member.

2. Documentation

Each department will create a Collab or similar website for PRC use. Such websites will include FAPPR and FAPID items only. The websites will not include evaluations of faculty members. Evaluations remain confidential.

Departments will upload all faculty submitted annual reporting documents to the PRC website: (a) FAPPR form, (b) FAPID items. The PRC website will be open to all members of a faculty member's department once the evaluation process is completed and the FAPPR document is removed.

3. Process

In the fall semester, the department chair and the department Faculty Council representative will explain the peer review process to the department's faculty members, and distribute this policy to them. The Faculty Council representative will invite comments from faculty members (including the department chair); comments collected will be considered in annual reviews of the policy. In November, department chairs will ask faculty members to begin preparing materials for the PRC. Chairs will ask faculty members to submit materials by the end of the first week of January.

Before PRCs prepare their assessments, the PRC coordinator may (and is encouraged to) confer in general terms (a) with the department's Faculty Council representative and (b) with the department chair about benchmark standards and about the nature of the written comments in peer assessments. Such discussions should not extend to the performance of individual faculty members.

Individually or together, PRC members will review the materials from all full-time faculty members in the department, including the department chair. Internal PRC members are reviewed by the other members of the PRC plus the department chair.

In January, PRC members will meet to confer about each faculty member reviewed, and write one peer review assessment of each faculty member. In late January or in February, the coordinators of the PRCs, the department's Faculty Council

representative, and the department chair will meet to discuss the peer review process and to consider any recommendations for changes to it. Council representatives will report comments and recommendations to the full Council.

4. Assessments

Each peer review assessment will include brief written commentary on (a) teaching, (b) research, and (c) service, adjusted as appropriate to the allocation of the particular faculty member's responsibilities. The written commentary will note particular strengths and weaknesses; as appropriate, it may also make recommendations intended to strengthen a faculty member's performance, or offer career development advice. Besides statements that reflect a consensus of the PRC, assessments may also include dissenting statements. Nothing in the assessment will be attributed to any individual member or members of the PRC. Each peer review assessment may be no longer than one page; it may be much briefer.

PRC assessments will include recommended benchmark numbers for the faculty member's teaching, research, and service, based on the SEAS benchmarks appropriate to the faculty member's rank, tenure eligibility, and responsibilities.

Committees may distribute the task of writing peer review assessments to individual faculty members (so that, for example, if a committee reviews 18 faculty members, each committee member writes 6 assessments), but the assessment writers must be informed by the comments of other PRC members. The resulting assessment must then be circulated to the full committee and all committee members must review and approve all assessments (allowing for dissenting comments). It shall be the responsibility of the coordinator of the PRC to insure that final assessments are consistent in tone and in the standards applied. No full-time faculty member will be reviewed by fewer than three faculty colleagues.

By the middle of February, peer assessments approved by the PRC will be forwarded by the PRC coordinator to the department chair and to the faculty member reviewed, except that the peer assessment of the coordinator will be sent by a different member of the PRC. At his or her discretion, the faculty member reviewed may offer a written comment on the assessment, to be addressed to the PRC and the department chair.

The department chair will include the assessment, plus any comment submitted by the faculty member reviewed, in the faculty member's file, and use it to inform the assigning of benchmark numbers, annual performance reviews, and merit raise decisions. When appropriate, the department chair should also use the assessment to support recommendations intended to strengthen a faculty member's performance or to support advice on career development. As components of a faculty member's annual performance review, assessments will be included in dossiers forwarded to promotion and tenure committees.

The PRC coordinator will send PRC-approved peer assessments of department chairs to the department chair (as the faculty member reviewed) and to the dean. At his or her discretion, the department chair may offer a written comment on the assessment, to be addressed to the PRC and the dean.

5. Exhibits

An exhibit is intended to help faculty members learn about work in which their colleagues are engaged, so as to foster an academic community, promote collegiality, and reveal opportunities for collaboration. Exhibits are not to be evaluated and are not components in the annual evaluation process, except that the failure to submit an exhibit at least once in a two-year period may be worthy of note in peer evaluation or in a department chair's evaluation.

Each year, typically in January, department chairs will request exhibits from approximately half of the faculty members in the chair's department, so that every faculty member will be asked to submit one exhibit every two years. Department chairs may submit exhibits as well. These exhibits will be posted on a publicly available website, such as a department website. Departments that already present faculty members' work on their websites may use such work as exhibits. They need only insure that faculty members contribute exhibits to the website at least once in any two-year period. Faculty members who already exhibit their work on department websites, or on websites linked to department websites, need only insure that they add an exhibit at least once in two years. If asked to submit an exhibit, such faculty members need only send a link to the website where their work is already presented.

Exhibits may take many forms, and can be used to illustrate a faculty member's research, teaching, or service, broadly defined. However, an exhibit must be "user friendly:" something that offers others a fairly quick grasp of the larger project of which it is a part.

The following list of exhibit examples is illustrative, not exhaustive: A presentation to a department seminar, to a professional conference, or to another audience may be an exhibit; in this case a digital poster, electronic slides, or an electronic audio or video file may be posted on the website. As an exhibit, an abstract, supplemented by additional explanatory text for non-specialists, may stand in for an article. An exhibit might also take the form of a brief description of a classroom teaching innovation, of a grant application, or of a research project. It might be a collection of pictures illustrating a class project. It could be a link to a web page, to a webinar, or to a class web site.