

Faculty Performance Review Policy

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Approved: Faculty Senate

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Performance Review, Promotion and Tenure Philosophy Statement

National-Louis University values the interrelated faculty roles of teaching, service to the profession, service to the institution, and scholarship.

Teaching (or “instruction”) shall include the planning, development, facilitation, implementation, dissemination, and evaluation of experiences, activities, or resources that foster learning for NLU students and clients.

Service to the profession shall include participation and leadership in demonstrably relevant professional organizations, participation in emerging scholarly or professional organizations which cross traditional boundaries, and public service which is sponsored by or contributes to the development of the profession.

Service to the institution shall include a wide range of activities which support specific programs, academic units, faculty governance, and/or institutional advancement. Specific roles include those which are generally expected of all faculty (e.g., academic advising, meetings, and promotional activities) and others which are entered into through the faculty governance system or by administrative appointment.

Scholarship shall be broadly interpreted as including the discovery, integration, application, criticism, and communication of knowledge as recognized within and across the domains of traditional and emerging academic disciplines and professions.

The degree to which any one faculty role is emphasized in an academic year depends on the mission and purposes of NLU, the academic unit, the faculty member’s current assignment and upon the professional development goals jointly developed by the faculty member and dean. It is understood that over time a faculty member will perform each role to some degree.

Faculty Evaluation System

An effective faculty evaluation system evaluates the interrelated faculty roles of teaching, service to the profession, service to the institution, and scholarship through a combination of both summative and formative evaluations. These evaluations should be performed in a timely manner and should be a balance of evaluations by administrators, peers, and self; objective and subjective judgment; timely personnel actions; and extended opportunity for growth and development.

Summative evaluations are intended to provide a rational and fair basis for effective and timely employment decisions. They primarily benefit the University and the collective faculty. Individual faculty members benefit from the definition of performance criteria, implementation of an equitable process, and adherence to reasonable time lines. The University through designated administrators has primary responsibility for summative evaluation processes and decisions. Individual faculty members are responsible for submitting the required documentation.

Formative evaluations are intended to provide a systematic process for assisting faculty in balancing individual and institutional goals and for promoting professional growth and development. They primarily benefit the individual faculty member by providing reasonable support for achieving employment standards and professional growth and development. The University also collectively benefits from the individual faculty member's achievement and development.

The following outlines the faculty evaluation system at National-Louis University. Satisfactory performance reviews and annual continuations of contracts are no guarantee that tenure will be awarded. Perceived deviation from process may be appealed to the Faculty Appeals Committee, but subjective performance evaluations and decisions may not.

Search and Initial Appointment

Faculty searches will be conducted in accordance with University and College policies.

During the interview, the candidate is given a job description of the position and is informed of the performance review process.

When hired, the faculty member will receive an initial appointment letter that includes the faculty member's job responsibility and key elements of the faculty evaluation system including the following provisions:

- a) Reappointment is contingent upon satisfactory performance of faculty responsibilities.
- b) Tenure-track appointment does not guarantee employment for a fixed probationary period.
- c) Administrative reviews associated with tenure and promotion are based on standards which exceed the minimum standards for annual reappointment.

- d) Reappointment (even without stated deficiencies) is not sufficient basis for tenure and promotion.

Part I - Administrative Performance Review

Year One

For purposes of this document, the dean or his/her designee shall service as primary evaluator.

September

New faculty will be given a faculty handbook which includes a statement of NLU faculty roles and responsibilities, a description of the evaluation, tenure, and promotion systems and criteria for tenure and promotion. In addition, he/she will be given specific information about job expectations including a job description, unit specific definitions of faculty expectations, and fall quarter assignment.

The faculty member, in consultation with his/her primary evaluator, will develop a professional development plan with objectives consistent with the demands of adjustment to a new professional assignment.

Fall Quarter

The primary evaluator will offer instruction and assistance in the development of documents required for the performance review process.

Informal feedback and assistance by colleagues will be encouraged. Any significant, potentially adverse information about faculty performance that is received by the dean or primary evaluator will be promptly shared with the faculty member and documented to provide timely clarification of the information and maximum opportunity for early corrective action and professional growth.

By March 1

The faculty member will prepare a progress report in a form specified by the primary evaluator including information about initial performance. The primary evaluator will review the report, add other available documentation of performance and meet with the faculty member. Feedback will be given about the expected compilation of documentation as well as qualitative and quantitative assessments of performance.

By April 1

The Dean will review significant information about initial job performance in relation to the following criteria:

1. Is there evidence that essential university-wide and assignment-specific faculty responsibilities as reflected in their current job description are being substantially fulfilled?
2. Is there evidence that the education, experience, qualifications and professional skills identified in the employment documentation are appropriately reflected in current performance?

3. Is there evidence that the objective in the professional development plan are being met?

Based on these assessments, the Dean will recommend one of the following options to the chief academic officer for action.

1. Notify the faculty member in writing that, based on a preliminary assessment of initial faculty performance and barring unforeseen economic exigency or disciplinary action, the University intends to renew his/her contract for another year. Specific conditions or recommendations may be included.
2. Notify the faculty member in writing that he/she will not be rehired for another year.

By June 30

In the case of renewal of the contract, the faculty member will prepare a performance review document. The primary evaluator will review the document, add other available documentation of performance, and meet with the faculty member. The primary evaluator will provide the faculty member with a written response to the performance review document noting strengths, weaknesses and suggestions for improvement. The faculty member may respond in writing to the performance review.

The faculty member and primary evaluator will outline the assignment (including teaching, institutional service, etc.) and operational objectives for the subsequent academic year.

The faculty member and the primary evaluator will review the faculty member's performance and design a plan of developmental goals, objectives and/or activities that will assist the faculty member in meeting individually defined professional expectations. Professional development plans should be consistent with the criteria for university decisions including tenure and promotion.

Year Two

Fall Quarter

The dean and primary evaluator will meet with the faculty member to discuss the faculty member's previous performance review and developmental plan for the next year and offer guidance and assistance as indicated.

Informal feedback and assistance by colleagues will be encouraged. The faculty member and primary evaluator will formalize the professional development plan by mutual agreement.

Any significant, potentially adverse information about faculty performance that is received by the dean or primary evaluator will be promptly shared with the faculty member and documented to provide timely clarification of the information and maximum opportunity for early corrective action and professional growth.

By March 1

The faculty member will prepare a progress report in a form specified by the primary evaluator. The primary evaluator will review the report, add other available documentation of performance and meet with the faculty members. Feedback will be given about the expected compilation of documentation as well as qualitative and quantitative assessments of performance.

By April 1

The dean will review significant information about job performance in relation to the following criteria:

1. Is there evidence that essential university-wide and assignment specific faculty responsibilities as reflected in their current job description are being substantially fulfilled?
2. Is there evidence that the education, experience, qualifications and professional skills are appropriately reflected in current performance and current job responsibilities?
3. Is there evidence that the objectives in the professional development plan are being met?

If the administrative evaluation indicates that there are serious concerns about the faculty member's performance, the Dean, the primary evaluator (if not the Dean), and the faculty member shall meet to discuss the evaluation.

Based on these assessments, the Dean will recommend one of the following options to the chief academic officer for action.

1. Notify the faculty member in writing that based on a preliminary assessment of initial faculty performance and barring unforeseen economic exigency or disciplinary action, the university intends to renew his/her contract for another year. Specific conditions or recommendations may be included.
2. Notify the faculty member in writing that he/she will not be rehired for another year.

By June 30

In the case of renewal of the contract, the faculty member will prepare a performance review document. The primary evaluator will review the document, add other available documentation of performance and meet with the faculty member. The primary evaluator will provide the faculty member with a written response to the performance review document noting strengths, weaknesses and suggestions for improvement. The faculty member may respond in writing to the performance review.

The faculty member and primary evaluator will outline the assignment (including teaching, institutional service, etc.) and operational objectives for the subsequent academic year.

The faculty member and the primary evaluator will review the faculty member's performance and design a plan of developmental goals, objectives and/or activities that will assist the faculty member in meeting individually defined professional expectations. Professional development plans should be consistent with the criteria for university decisions including tenure and promotion.

Year Three**Fall Quarter**

The faculty member and primary evaluator will formalize the professional development plan by mutual agreement.

Informal feedback and assistance by colleagues will be encouraged. Any significant, potentially adverse information about faculty performance that is received by the dean or primary evaluator will be promptly shared with the faculty member and documented to provide timely clarification of the information and maximum opportunity for early corrective action and professional growth.

By March 1

The faculty member will prepare a progress report in a form specified by the primary evaluator. The primary evaluator will review the report, add other available documentation of performance and meet with the faculty member. Feedback will be given about the expected compilation of documentation as well as qualitative and quantitative assessments of performance.

By April 1

The dean will review significant information about job performance in relation to the following criteria:

1. Is there evidence that essential university-wide and assignment specific faculty responsibilities as reflected in their current job description are being substantially fulfilled?

2. Is there evidence that the education, experience, qualifications and professional skills are appropriately reflected in current performance and current job responsibilities?
3. Is there evidence that the objectives in the professional development plan are being met?

Based on these assessments, the Dean will recommend one of the following options to the chief academic officer for action.

1. Notify the faculty member in writing that based on preliminary assessment of initial faculty performance and barring unforeseen economic exigency or disciplinary action, the university intends to review his/her contract for another year. Specific conditions or recommendations may be included.
2. Notify the faculty member in writing that he/she will be issued a one-year terminal appointment.

By June 30

In the case of renewal of the contract, the faculty member will prepare a performance review document. The primary evaluator will review the document, add other available documentation of performance and meet with the faculty member. The primary evaluator will provide the faculty member with a written response to the performance review document noting strengths, weaknesses and suggestions for improvement. The faculty member may respond in writing to the performance review.

The faculty member and primary evaluator will outline the assignment (including teaching, institutional service, etc.) and operational objectives for the subsequent academic year.

The faculty member and the primary evaluator will review the faculty member's performance and design a plan of developmental goals, objectives and/or activities that will assist the faculty member in meeting individually defined professional expectations. Professional development plans should be consistent with the criteria for university decisions including tenure and promotion.

Year Four

Fall Quarter

The dean and primary evaluator will meet with the faculty member to discuss the faculty member's previous performance reviews and developmental plan for the next year and offer guidance and assistance as indicated. Informal feedback and assistance by other colleagues are also encouraged.

The faculty member and primary evaluator will formalize the professional development plan by mutual agreement.

Informal feedback and assistance by colleagues will be encouraged. Any significant, potentially adverse information about faculty performance that is received by the

dean or primary evaluator will be promptly shared with the faculty member and documented to provide timely clarification of the information and maximum opportunity for early corrective action and professional growth.

By April 1

The dean will review significant information about job performance in relation to the following criteria:

1. Is there evidence that essential university-wide and assignment specific faculty responsibilities as reflected in their current job description are being substantially fulfilled?
2. Is there evidence that the education, experience, qualifications and professional skills are appropriately reflected in current performance and current job responsibilities?
3. Is there evidence that the objectives in the professional development plan are being met?

If the administrative evaluation indicates that there are serious concerns about the faculty member's performance, the Dean, the primary evaluator (if not the Dean), and the faculty member shall meet to discuss the evaluation.

Based on these assessments, the Dean will recommend one of the following options to the chief academic officer for action.

1. Notify the faculty member in writing that based on preliminary assessment of initial faculty performance and barring unforeseen economic exigency or disciplinary action, the university intends to review his/her contract for another year. Specific conditions or recommendations may be included.
2. Notify the faculty member in writing that he/she will be issued a one-year terminal appointment.

By June 30

In the case of renewal of the contract, the faculty member will prepare a performance review document. The primary evaluator will review the document, add other available documentation of performance and meet with the faculty member. The primary evaluator will provide the faculty member with a written response to the performance review document noting strengths, weaknesses and suggestions for improvement. The faculty member may respond in writing to the performance review.

The faculty member and primary evaluator will outline the assignment (including teaching, institutional service, etc.) and operational objectives for the subsequent academic year.

The faculty member and the primary evaluator will review the faculty member's performance and design a plan of developmental goals, objectives and/or activities that will assist the faculty member in meeting individually defined professional

expectations. Professional development plans should be consistent with the criteria for university decisions including tenure and promotion.

Year Five

Fall Quarter

The faculty member and primary evaluator will formalize the professional development plan by mutual agreement.

Informal feedback and assistance by colleagues will be encouraged. Any significant, potentially adverse information about faculty performance that is received by the dean or primary evaluator will be promptly shared with the faculty member and documented to provide timely clarification of the information and maximum opportunity for early corrective action and professional growth.

By April 1

The dean will review significant information about job performance in relation to the following criteria:

1. Is there evidence that essential university-wide and assignment specific faculty responsibilities as reflected in their current job description are being substantially fulfilled?
2. Is there evidence that the education, experience, qualifications and professional skills are appropriately reflected in current performance and current job responsibilities?
3. Is there evidence that the objectives in the professional development plan are being met?

If the administrative evaluation indicates that there are serious concerns about the faculty member's performance, the Dean, the primary evaluator (if not the Dean), and the faculty member shall meet to discuss the evaluation.

Based on these assessments, the Dean will recommend one of the following options to the chief academic officer for action.

1. Notify the faculty member in writing that based on preliminary assessment of initial faculty performance and barring unforeseen economic exigency or disciplinary action, the university intends to review his/her contract for another year. Specific conditions or recommendations may be included.
2. Notify the faculty member in writing that he/she will be issued a one-year terminal appointment.

By May 1

The faculty member shall be notified of the procedures and deadlines pertaining to promotion and tenure.

By June 30

In the case of renewal of the contract, the faculty member will prepare a performance review document. The primary evaluator will review the document, add other available documentation of performance and meet with the faculty member. The primary evaluator will provide the faculty member with a written response to the performance review document noting strengths, weaknesses and suggestions for improvement. The faculty member may respond in writing to the performance review.

The faculty member and primary evaluator will outline the assignment (including teaching, institutional service, etc.) and operational objectives for the subsequent academic year.

The faculty member and the primary evaluator will review the faculty member's performance and design a plan of developmental goals, objectives and/or activities that will assist the faculty member in meeting individually defined professional expectations. Professional development plans should be consistent with the criteria for university decisions including tenure and promotion.

Year Six

Fall Quarter

The faculty member on a nonterminal appointment will submit the tenure/promotion dossier to the promotion and tenure committees in accordance with the University's stated policy on promotion and tenure.

YEAR ONE

Fall Quarter	Information about evaluation, promotion and tenure processes and criteria, and job expectations, including a job description, will be given to new faculty. Faculty member and primary evaluator develop a professional development plan by mutual agreement.
March 1	Faculty member prepares a progress report. Primary evaluator reviews progress report, meets with faculty member and gives feedback.
April 1	Dean makes reappointment recommendation and notification.
June	Continuing faculty member prepares a performance review document. Primary evaluator reviews the document, meets with faculty member, and provides the faculty member a written response to the performance review document. Faculty member and primary evaluator outline a professional development plan.

YEAR TWO

Fall Quarter	Faculty member, dean, and primary evaluator meet and discuss the faculty member's first year performance review and second year developmental plan. Faculty member and primary evaluator formalize the professional
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	development plan by mutual agreement.
By March 1	Faculty member prepares a progress report. Primary evaluator reviews progress report, meets with faculty member and provides feedback.
By April 1	If necessary, meeting of Dean, primary evaluator, and faculty member is held. Dean makes reappointment recommendation and notification.
June	Continuing faculty member prepares a performance review document. Primary evaluator reviews the document, meets with faculty member, and provides the faculty member with a written response to the performance review document. Faculty member and primary evaluator outline a professional development plan.

YEAR THREE

Fall Quarter	Faculty member and primary evaluator formalize the professional development plan by mutual agreement.
By March 1	Faculty member prepares a progress report. Primary evaluator reviews progress report, meets with faculty member and provides feedback.
By April 1	Dean makes reappointment recommendation and notification.
June	Continuing faculty member prepares a performance review document. Primary evaluator reviews the document, meets with faculty member, and provides the faculty member with a written response to the performance review document. Faculty member and primary evaluator outline a professional development plan.

YEAR FOUR

Fall Quarter	<p>Faculty member, dean, and primary evaluator meet and discuss the faculty member's previous performance reviews and the fourth year professional development plan.</p> <p>Faculty member and primary evaluator formalize the professional development plan by mutual agreement.</p>
By April 1	<p>If necessary, meeting of Dean, primary evaluator, and faculty member is held.</p> <p>Dean makes reappointment recommendation and notification.</p>
June	<p>Continuing faculty member prepares a performance review document. Primary evaluator reviews the document, meets with faculty member, and provides the faculty member with a written response to the performance review document. Faculty member and primary evaluator outline developmental goals.</p>

YEAR FIVE

Fall Quarter	Faculty member and primary evaluator formalize the professional development plan by mutual agreement.
By April 1	Dean makes reappointment recommendation and notification.
By May 1	Faculty member receives promotion and tenure information.
June	Continuing faculty member prepares a performance review document. Primary evaluator reviews the document, meets with faculty member, and provides the faculty member with a written response to the performance document. Faculty member and primary evaluator outline a professional development plan.

YEAR SIX

Fall Quarter	Faculty member on a nonterminal appointment submits the tenure/promotion dossier in accordance with the University's stated policy on promotion and tenure.
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