

October 20, 2020

To: Faculty Senate

From: Rick Holz

Re: Faculty Annual Performance Evaluation Process

In response to concerns raised by faculty and administrators about the cumbersome nature of the annual faculty evaluation process, the office of Academic Affairs initiated a review process with several goals:

- To increase the efficiency and timeliness of the evaluation process, and facilitate a streamlined handover throughout the evaluation review and approvals chain (document workflow).
- To alleviate the reporting and administrative burden on faculty, particularly in regard to reproducing information readily available on Mines systems.
- To focus effort on professional development, goal setting, and assessment of impact and deemphasize mere tabulation of productivity indicators.

AA appointed a small workgroup in summer 2020 to review this annual evaluation process and to provide recommendations for implementation in the next review cycle. The faculty members of this group represent multiple departments and have prior or current administrative experience at Mines: Peter Aaen (EENG), Dan Knauss (CHGN), Dean Nieusma (EDNS), and Paul Sava (GPGN). Non-faculty members of the group include Jennie Kenney and Melanie Barnhart (representing AA) and Morgan Cassimus (representing IR).

The charge to this workgroup was to review current practices surrounding the annual faculty evaluation process and to identify improvements to work flow and quality of evaluations content without modifying the underlying substance of the assessment, including the evaluation categories and criteria that are described in the Faculty Handbook.

The workgroup made the following recommendations:

1. Move the entire evaluation process online in order
 - a. To prepare it for eventual integration with other Mines systems providing key teaching and research statistical info.
 - b. To streamline workflow of the document through submission, review, and approvals.
2. Focus the annual evaluation faculty narratives on the interpretation of recent activity in connection with goals stated during the prior-year evaluation, thereby aligning better with the evaluation process specified in the Faculty Handbook.
3. Reduce administrative burden on faculty by incorporating existing documentation of professional achievements (e.g., the CV) as attachments, thereby avoiding the need to copy and compress that information to fit into the existing form.
4. Reorganize the form completion and submission process according to the following structure:
 - a. For the Teaching, Scholarship, and Service sections

- i. Prior-year goals are automatically recalled and included in the form.
 - ii. Faculty provides a concise self-assessment relative to the prior-year goals.
 - iii. Faculty provides self-rating as per current practice.
 - iv. Faculty attaches CV (and/or other support documents) highlighting current-year productivity indicators.
 - v. Performance data reports created by Institutional Research are automatically linked to the relevant sections.
 - vi. Faculty drafts revised goals for the upcoming year to be reviewed by supervisor.
- b. Faculty completes additional sections on Awards, Start-Up Funds.
- c. Faculty provides overall self-assessment with overall self-rating.
- d. Faculty submits the completed document to the online workflow.
5. The online workflow automatically routes the document for feedback, revisions, and approvals.
 - a. Based on the submitted documentation, the DH/supervisor provides a concise assessment of Teaching, Scholarship, and Service contributions as well as overall comments and an overall assessment rating and submits the completed document into the online workflow.
 - b. Deans provide feedback on evaluations to DHs/supervisors.
 - c. DHs/supervisors meet with faculty to review the assessment and finalize document content.
 - d. The workflow collects relevant electronic signatures: faculty, DH/supervisor, and dean.

The revised evaluation form and process satisfies each of the original goals identified.

- It streamlines each step of the evaluation process: form completion and submission, review and feedback, and document routing. These improvements should greatly reduce the overall time from original draft submission by faculty to final approval by dean.
- It alleviates the administrative burden on faculty associated with transcribing productivity data from elsewhere into the form, especially by allowing incorporation of institute data and attachments (e.g., CV) via links to the form. This avoids the need for faculty to revise and reformat existing data to squeeze it into the form text boxes, while at the same time providing to the DH/supervisor all the quantitative data needed to evaluate productivity (SCHs, advisees, grants, proposals and expenditures, etc.) as well as performance (classroom evaluations, publication volume/quality, service contributions, etc.).
- It redirects the efforts of faculty and DHs/supervisors toward goals setting, evaluation of performance relative to goals, and overall ratings rather than tabulating performance data. Besides emphasizing impact over sheer output, this change also enables better alignment among university goals, departmental goals, and individual goals setting and evaluation.

The revised evaluation form and workflow process is currently under development by ITS and will be available for testing by a larger group of faculty in November 2020. The intent is to validate this revised evaluation infrastructure before its official roll-out in December 2020.

The workgroup seeks feedback from campus constituents on the revised evaluation form and process. A mockup of the revised form is attached to this memo. ITS is currently developing the basic infrastructure, but all the wording and the instructions provided with the form can be revised in parallel with their work.



Faculty Annual Performance Evaluation Form version 2020 08 17

Faculty Information

Auto-populated from Banner

Review Dates

Auto-populated

Faculty Member Instructions

This form provides a revised framework for Mines' faculty annual performance evaluation. Faculty members are to complete their sections of the form, including providing self-assessment ratings and justifications for those ratings. Faculty members must also append their annual FDR (corrected as needed) and a CV with current assessment cycle achievements highlighted. Faculty members may choose to append additional information under the categories of teaching, scholarship, and service to supplement their assessment ratings and justifications.

NOTE: Most narrative content from the prior performance evaluation form is now included as supplementary material, allowing this document to focus on goal setting, assessment ratings, and their justifications. For many faculty, this change will allow a standard CV to convey most productivity activities without the need to copy-paste that content into this form. Faculty member goals established in the prior assessment cycle will automatically populate this form.

Faculty Supervisor/DHDD Instructions

After reviewing this form and its associated supplementary material, complete the appropriate sections, including your performance ratings and associated comments. Return the form to the faculty member before scheduling a meeting to review and sign the form.

<<Auto-populate or Upload FDR>>

<<Upload Optional CV>> highlighting current year activity

TEACHING

Teaching objectives for this assessment cycle

Auto-populated content from prior annual performance evaluation cycle.

Teaching objectives self-assessment rating:

<<Upload Optional Support Doc>>

Teaching objectives justification

Use the text box below to justify and support your self-assessment rating above. Do not simply delineate your teaching contributions here. Instead, focus your attention on evidence of impact that corresponds to your self-assessment rating.

Teaching objectives for the following assessment cycle

Use the text box below to specify your teaching goals for the next assessment cycle.

Supervisor assessment rating for teaching:

Supervisor comments on teaching



SCHOLARSHIP

Scholarship objectives for this assessment cycle

Auto-populated content from prior annual performance evaluation cycle.

Scholarship objectives self-assessment rating:

<<Upload Optional Support Doc>>

Scholarship objectives justification

Use the text box below to justify and support your self-assessment rating above. Do not simply delineate your scholarship contributions here. Instead, focus your attention on evidence of impact that corresponds to your self-assessment rating.

Scholarship objectives for the following assessment cycle

Use the text box below to specify your scholarship goals for the next assessment cycle.

Supervisor assessment rating for scholarship:

Supervisor comments on scholarship

SERVICE

Service objectives for this assessment cycle

Auto-populated content from prior annual performance evaluation cycle.

Service objectives self-assessment rating:

<<Upload Optional Support Doc>>

Service objectives justification

Use the text box below to justify and support your self-assessment rating above. Do not simply delineate your service contributions here. Instead, focus your attention on evidence of impact that corresponds to your self-assessment rating.

Service objectives for the following assessment cycle

Use the text box below to specify your service goals for the next assessment cycle.

Supervisor assessment rating for service:

Supervisor comments on service



ADDITIONAL INFORMATION TO SUPPORT OVERALL ASSESSMENT

Honors and Awards

Include any honors and awards received during the assessment cycle

Start-Up Funds (as applicable)

Describe how start-up funds were used during the assessment cycle; project how and when remaining funds will be used.

Supplementary Documents

If you have included supplementary documents, they will be listed here.

Auto-populated list of supplementary docs: FDR; CV; teaching support, scholarship support, service support

OVERALL ASSESSMENT

Progress Toward Overall Professional Development Goals/Promotion/Tenure

Assess your overall professional/career development progress. Notable strengths? Specific deficiencies?

Overall self-assessment rating:

Supervisor overall assessment rating:

Supervisor Comments

Evaluate the faculty member's overall annual performance according to individual, departmental, university, and professional goals and standards.

Electronic Signatures

<<Optional Rebuttal Checkbox and Upload>>

Conflict of Interest statement and electronic signature