

FP103 - Faculty Performance Evaluation Policy
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Approvals: Faculty Senate, President, Board of Trustees Effective: June 15, 2023

Performance Evaluation Purpose

National Louis University values its faculty and their interrelated roles as outlined in the faculty domains: Teaching Excellence, Service, and Thought Leadership. The faculty and the University collectively benefit from the individual faculty member's achievement and development. For a detailed explanation of the domains, see National Louis University Policy on Faculty Workload, FP102, and for criteria in each of the domains used for rank promotion and tenure see Awarding Promotion, Tenure, and Multi-year Appointments, FP104.

The faculty member's role will include domains as required by faculty status, role, and responsibilities. The faculty member's workload for the review period will reflect their annual priorities and will serve as a basis for evaluation.

NLU's faculty evaluations are intended to provide a rational, fair, and systematic process for facilitating professional growth and balancing individual and institutional goals. Individual faculty members benefit from the definition of performance criteria, implementation of an equitable process, and adherence to reasonable timelines.

Evaluations are an integral component of the tenure and/or promotion review process. The performance evaluations are expected to form the basis for faculty's dossiers in the tenure and promotion process. Although the promotion and tenure process and faculty performance evaluation process are aligned, satisfactory performance evaluations and annual continuation of appointments are no guarantee that tenure and/or promotion will be awarded.

There are multiple factors used to determine merit salary increases and future renewal decisions, the evaluation is one of those factors. Furthermore, performance evaluations are not designed or intended to review or remove tenure status, nor are they designed to or intended to interfere with or diminish the academic freedom of any faculty member.

Faculty Performance Evaluation Procedures

NLU's faculty evaluations lay the foundation for setting the subsequent year's goals and workload, while addressing any areas that need improvement.

The Provost has oversight of the performance evaluation process, whereas the leader of each academic unit is responsible for the evaluation of faculty performance. The academic unit leader or their designee conducts performance evaluations according to procedures specified by the University.

Annually, faculty will provide a progress update on their goals and contributions and will check-in with their supervisor; however, faculty will be evaluated formally on a cadence based on their rank as follows. Newly hired faculty will be formally evaluated during their first year, regardless of rank. Formal evaluations will cover the timespan from the faculty member's last formal evaluation.

Rank	Cadence of Evaluation
Instructor of Practice and Teaching Instructor	Annual
Assistant Professor of Practice, Assistant Teaching Professor, and Assistant Professor	Annual
Associate Professor of Practice, Associate Teaching Professor, and Associate Professor	Biennial
Professor of Practice, Teaching Professor, and Professor	Triennial

Faculty holding associate professor or professor ranks may request a formal evaluation during off years. Requests for off-year evaluations should be made in writing to the Provost Office before January 31 of the academic year the faculty is requesting to be evaluated.

If a faculty member is on a performance improvement plan, they will be evaluated annually, despite their rank. Furthermore, if a faculty member's previous performance evaluation results are not meeting expectations in one or more domains, an academic unit leader or their designee can document in the FPE instrument a request for a formal evaluation of an associate professor or professor during off-cycle years. Additionally, if there are documented and communicated performance-related concerns, an academic unit leader can request a formal evaluation of an associate professor or professor during off-years. The academic unit leader should alert the Provost Office and the faculty member as soon as possible, but no later than January 31, if requesting a formal faculty evaluation for an off-year evaluation.

For performance evaluations to be effective, it is important that academic unit leaders or their designees have ongoing conversations with faculty members regarding their

growth, development, and performance throughout the academic year. Faculty will continue to review their goals in light of any changes that have occurred and revise them accordingly in consultation with their academic unit leader or designee. If subsequent changes occur in faculty members' workload, they initiate a conversation with their academic unit leader or designee to further revise their goals.

Performance evaluations are to be considered confidential and are maintained by the Provost Office. They are unavailable beyond NLU without the written permission of the individual faculty member.

Faculty Evaluation Components

All full-time faculty will submit a self-evaluation that demonstrates what they have accomplished since their last review. The self-evaluation includes a demonstration of work in each of the domains where the workload has been assigned. This evaluation consists of four parts:

1. A self-reflective assessment of the progress on the goals set for the review period
2. Evidence from faculty supporting their assessment
3. Feedback by the academic unit leader or their designee on the progress toward goals and accomplishments
4. Draft goals that facilitate professional growth and support the college/university mission and strategic priorities.

Faculty Evaluation Reviewer Assignment

Reviewers, who are either the academic unit leader or their designee, are assigned based upon their knowledge of the work of the faculty member being reviewed. If a faculty member believes there are specific circumstances that warrant the selection of a different reviewer, they may request that a substitution be made. The decision of the Provost in these cases is final.

Faculty Evaluation Steps

1. Faculty member submits their self-assessment documentation.
2. The academic unit leader or designee is responsible for providing the faculty member with draft feedback prior to their meeting.
3. The academic unit leader or designee and the faculty member discuss the faculty member's self-evaluation, goals, and plans for long-term development, and the draft reviewer's feedback.
4. Changes are made to the draft evaluation based on the discussion and any additional evidence is provided.
5. A final supervisor evaluation is signed by both parties.

Faculty Grievances or Complaints

A faculty member's signature on the reviewer evaluation form does not imply agreement or admission to any portion of this document. It serves only to confirm the delivery of the document to the employee. The faculty member may submit corrections of fact and/or written rebuttal to any portion of the final supervisor evaluation form to Human Resources (hr@nl.edu) within 10 business days upon receipt. The comments and/or corrections of fact should be recorded on a separate document with the title "Comments

and/or Corrections to Performance Evaluation for (faculty name)”. Additionally, indicate “elements of the review are disputed” after the signature line on the final supervisor evaluation form. Perceived deviation from due process may be appealed to the designated Senate committee with jurisdiction of the faculty performance evaluation process but subjective performance evaluations and decisions may not. These concerns are submitted as part of the rebuttal process to Human Resources. Upon receipt of a correction of fact or rebuttal from Human Resources, the Provost Office will attach the document to the supervisor evaluation.

Training and Preparation

Acknowledging that performance evaluations are important for faculty growth and development, the tenure and promotion evaluation process, and informing merit increases, training of faculty in how to put together a solid, convincing self-evaluation with documentation representative of their work is provided on an annual basis.

Recognizing that reviewers may change every year, continual training of reviewers is critical. An annual training of reviewers is conducted by the Provost Office and anyone designated to review must attend the training.

This training is two-fold: training on how to conduct performance evaluations in a consultative manner; and training on how to apply the criteria in a consistent and equitable way.

Continuous Improvement of the Faculty Performance Evaluation Process

Upon completion of each year’s performance process, an evaluation of the process by the Provost’s Office occurs to ensure continual improvement. The designated Senate Committee shall regularly review the faculty evaluation policy and procedures to ensure it is current and appropriate.

Timeline & Instruments

The Provost Office will announce the general timeline by February 15 and release the instruments to support faculty performance evaluations by March 1.