



CAS Guidelines of Annual Performance Evaluation for Academic Faculty

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Importance of conducting annual performance evaluation

Thorough performance annual evaluations are a critical component of effectively supervising employees and are required under collective bargaining agreements with employee unions. Performance evaluations enable a supervisor to determine if an employee is successful in their job, provide an opportunity for corrective action if they are not, inform decisions about salary increases or nominate an employee for an award, or suggest professional development opportunities. When issues with an employee are elevated to the College or University level, it is difficult to hold an employee responsible for problematic behaviors or lack of skills if they have not been evaluated and informed of deficiencies and provided an opportunity for improvement or professional development.

OSU has different systems for conducting performance evaluations depending on the type of employee. Classified employees and professional faculty are evaluated using [EvalS](#). Ranked academic faculty are evaluated using unit-specific processes that adhere to [guidelines](#) established by the OSU Office of Faculty Affairs. Postdoctoral Scholars and Fellows should follow the OSU [Office of Postdoctoral Program's guidelines](#) to submit an Individual Development Plan when hired and an Annual Report before reappointment. Each Department in the College has processes for evaluating graduate students that assess their performance as an employee (i.e., Graduate Research or Teaching Assistant) and their progress towards degree completion. *This guideline document is intended for ranked academic faculty at CAS.*

General guidelines for conducting annual performance evaluation

- Faculty performance evaluation should be conducted annually for all classified employees, professional faculty, and academic faculty at all ranks, including tenure-track, tenured, Extension, Professor of Practice, Sr. Research Professor, Research Associate, Faculty Research Assistant, Lectures, and Instructors.
- Immediate supervisors should conduct an annual performance evaluation for their Research Associate(s) and Faculty Research Assistant(s), then report back to unit leaders.
- Review period for annual performance evaluation is suggested for the calendar year, i.e., January 1 to December 31.
- Annual performance evaluation should be conducted in the winter term and ***be completed by March 31*** to comply with the university's July 1 cycle for faculty fixed term renewals, salary increases, and consideration for faculty's promotion and tenure evaluation starting in June for most CAS academic departments.

- The annual performance evaluation should be summarized in a written document, signed and dated by faculty and supervisor. The signed and dated document should be deposited at a secured place following HR practices and are allowed access by the CAS Dean's office per request.
- [Faculty Success](#) (formally Digital Measures) will be required to generate the faculty report of annual accomplishment starting in 2024. For 2023, [Faculty Success](#) is strongly recommended to collect faculty performance data, such as grants, publications, Student Learning Experience (SLE) scores, Citizen Evaluation of Teaching (CET) scores, student advising, Diversity, Equity, and Inclusion (DEI) activities, service, award, and honors, etc. Note that a faculty member's Faculty Success profile can be linked to their OSU web presence, which will automatically update whenever the profile is edited. Faculty Success allows a faculty member to enter information once and use it multiple times.
- Templates of the annual performance evaluation form and goal setting for implementing the 2023 academic faculty performance evaluation are provided for your reference. ***The Unit may modify this form to best fit the unit and individual faculty's conditions based on the faculty member's job duties, but it should contain the key components described below.***

Components in annual performance evaluation

All annual performance evaluations have common components, and some may be unique to certain positions. Common components include position description, employee report of accomplishments, goals for the coming evaluation period, professional development plan, and the supervisor's assessment of performance. If an employee works with other employees or stakeholders, a performance evaluation may also include input from those employees or stakeholders. Employees have the right to review materials collected for these evaluations unless they sign a confidentiality waiver. Anytime you collect such input, you should ask the employee to sign a [waiver of access](#) to the materials, and potential reviewers should be told if the information they provide will be confidential or not. Here are specific guidelines on the common components of annual performance evaluation.

- **Position Description (PD)** - A review of the employee's position description should be conducted during the annual performance evaluation with the employee. Is the position description still accurate for the position? Is the faculty member still doing each of the assigned duties? Is the proportion of time correctly assigned to each of the assigned duties? Are there duties that are no longer relevant to the job? And ensure that funding indexes align with PD percentages each year (AES vs. AGES vs. E&G). Ultimately, the supervisor is the one who will assign the duties, but the duties should be appropriate for the position and should accurately reflect the job the supervisor wants the employee to do.
- **Report of Accomplishments** - An employee's report of annual accomplishments forms the basis for the performance evaluation. The employee's report of annual accomplishment should detail their activities for each of the assigned duties in their position description and DEI activities.

- **Goals for Coming Year** - Employees should submit goals for the coming evaluation period. Goals often include specific activities (e.g., special projects, DEI, service, etc.) and measurable targets (e.g., publications, grants, teaching, student advising, etc.) to be completed for the coming year. Where appropriate, the annual performance evaluation should include an assessment or prioritization of these goals and a review of the previous year's goals to determine if they were achieved, and if not, to establish an understanding of why they were not achieved.
- **Professional Development Plan** - During the performance evaluation, a faculty member's professional development needs should be discussed. All faculty need professional development to stay current in their jobs or to advance in their careers. *CAS recommends each faculty member should participate in at least 2 professional development programs (college or university workshops, seminars, and other events) annually* for filling in knowledge gaps and for career goals, and document in the annual accomplishment report. Refer to [CAS Professional Development](#) (4.7 PROFESSIONAL DEVELOPMENT) for specific opportunities, policies, and procedures, and see current programming for the [CAS Faculty Professional Development Series](#).
- **Supervisor's Assessment of Performance** – The supervisor's assessment of performance is the most critical part of an employee's performance evaluation. Be objective, honest and specific in the assessment. If a faculty's performance in any of the job duties is unsatisfactory, be as specific as possible (e.g., lack of attention to detail, technical skill(s) [what are they] need to be improved, unprofessional email communications, etc.), and suggest professional development for improvement. For academic faculty, assessment should be based on the [criteria](#) for promotion and tenure and assigned duties stated in the employee's position description.
- **Diversity, Equity, and Inclusiveness (DEI) Effort** - DEI efforts should be documented in the annual performance evaluation. Reporting of DEI efforts can be accessed [here](#).
- **Overall Supervisor Evaluation** – Overall supervisor evaluation should be provided and used as the basis for merit raise. An example is “**Exceptional, Strong and Positive, Satisfactory, Fair, Unsatisfactory**” with the following suggested criteria:
 - **Exceptional** - Consistently exceeds goals and objectives and documented long-term overarching impacts on goals and objectives.
 - **Strong and Positive** – Regularly exceeds performance standards, with outstanding contributions as appropriate in job duties. Individual exercises leadership in one or more areas of work responsibility.
 - **Satisfactory** - Meets performance standards in most areas. Performance is sufficient to meet the stated job duties and quality expectations of the position description.
 - **Fair** - The satisfactory standard is met in some areas, but not in others. Performance is not fully satisfactory.
 - **Unsatisfactory*** - Does not meet standards of performance. Performance of job duties is unacceptable and insufficient to meet the requirements of the position description. Significant improvement is needed to meet job duties and maintain employment.
** If an employee's performance is “Unsatisfactory”, the HR Strategic Partner should be contacted. They will partner with the supervisor to develop a structured Performance*

Improvement Plan (PIP) for areas needing improvement. The PIP will be presented to the employee and it will be signed and dated by both supervisor and the employee. Performance feedback, performance improvement, or lack thereof should be given routinely to ensure the employee has all opportunities to learn and improve.

- **Signatures** - The supervisor and employee should sign and date the performance evaluation. The employee can also provide a rebuttal to a negative assessment.