

**Performance Evaluation Plan
(Group II and IV Faculty)
College of Health and Human Services**

The Performance Evaluation Plan (also referred to as the Plan) is created by each faculty member to articulate annual goals and to document annual accomplishments. The purposes of the Plan are: (1) to assure accountability that core responsibilities have been achieved each year, and (2) to assess and document performance that goes “above and beyond” core responsibilities as evidence of meritorious performance. As such, the Plan is both formative (self-directed and developmental) and summative (evaluative) in nature.

Specific written objectives and expected outcomes provide a document approved by the Program Coordinator¹ and School Director, regarding (1) core job responsibilities for which the faculty member is accountable, and (2) elective, meritorious activities.

Accomplishment of specific written objectives, both core and meritorious, serve as criteria for annual performance evaluation. Although the Plan is oriented toward the individual faculty member, the process provides an opportunity to coordinate or integrate faculty objectives with the mission, goals, and priorities of the University, College, and School. The end result is a system designed to meet individual and collective needs. If the faculty member does not achieve the mutually agreed upon objectives, and has not re-negotiated changes to the objectives, then the faculty member should understand that these conditions might negatively affect his/her annual evaluation.

Group II and IV faculty often have different work expectations than Group I in the areas of teaching, scholarly endeavors, and service as they do not stand for tenure and promotion. For some, teaching is emphasized, service is limited, and there is no expectation of scholarly endeavors; for others, teaching and service are emphasized equally. Service, for Group II and IV faculty, may include administrative responsibilities to which they have been assigned.

Core work expectations provide the foundation on which faculty members write their objectives. For newly hired Group II and IV faculty, Directors are responsible for providing descriptions of core work expectations at the time they are hired. For existing faculty members, any changes to core work expectations must be provided to them by the first Monday in June so they will have sufficient time to plan their next year’s objectives.

I. The Plan should:

- A. Articulate annual objectives consistent with core responsibilities by mutual agreement with the School Director.
- B. State outcomes in measurable terms.
- C. Describe acceptable quality of performance.

¹ If a School does not have program coordinators, then the Chair of the School’s Promotion and Tenure Committee will serve in this role.

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- II. Commensurate with the level of experience of the faculty member, the formative objectives of the Performance Evaluation Plan should:**
 - A. Articulate areas for professional growth.
 - B. Identify the resources needed to accomplish formative (developmental) objectives.
 - C. State methods and activities designed to assure achievement of formative (developmental) objectives.

- III. The summative objectives of the Performance Evaluation Plan should:**
 - A. Articulate role expectations of faculty members (i.e., teaching, scholarly endeavors, and service, as appropriate for position) to assure that the faculty member, the Program Coordinator, and the School Director agree as to how performance will be reviewed on an annual basis.
 - B. Describe mutually agreed upon objectives, action plans, and outcomes.
 - C. Provide an objective basis for annual review and salary adjustments that reflect the strengths and unique contributions of each faculty member.

- IV. The expectations of faculty are to:**
 - A. Annually prepare a Performance Evaluation Plan that addresses teaching, scholarship endeavors, and service, as appropriate for the position. Objectives, action plans, needed resources, and outcomes expected should be stated for each area.
 - B. Develop specific and measurable objectives in conjunction with action plans that describe how they will be met. As a general guideline, most faculty members will have two to three objectives in each category for which they have work expectations, but may have more or fewer based upon the annual needs of the School and with consideration of individuals' professional growth strategies.
 - C. Provide documentation to support the achievement of specific objectives. Include a brief summary statement (no more than 1 page) describing the meaning or impact of accomplishing these objectives in terms of University, College, School, or professional goals. A rationale for incomplete objectives should also be provided.

- V. The expectations of the Program Coordinator(s) are to:**
 - A. Act as a resource to faculty members in your program area in developing objectives that demonstrate progress in teaching, scholarly endeavors, and service, as appropriate for the position.
 - B. Evaluate proposed objectives with respect to School and College needs and goals. Make recommendations to School Director.
 - C. Assess the individual's annual performance in terms of objective accomplishment. Make recommendations to School Director.

- VI. The expectations of School Directors are to:**
 - A. Assure that the work of the School is completed with an equitable distribution of tasks across faculty members over the annual evaluation period.

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- B. Act as a resource to faculty members in developing objectives that demonstrate progress in teaching, scholarly endeavors, and service, as appropriate for the position.
- C. Consider requested resources necessary to accomplish faculty objectives.
- D. Assess the individual's annual performance in terms of objective accomplishment with respect to the mission, goals, and priorities of the University, College, and School.

VII. Process for annual development of a new Performance Evaluation Plan:

- A. By the first Monday of October, each faculty member will submit a new Performance Evaluation Plan to be implemented in the next calendar year. The Plan is sent to the School Director and the appropriate Program Coordinator.
- B. The School Director and the Program Coordinator will review the new Plan focusing on the objectives, the requested resources, and the expected outcomes.
- C. By December 15th, a formal agreement and approval of the Plan for the next calendar year will be obtained, as evidenced by signatures of the faculty member, Program Coordinator, and the School Director. The specific mechanism used to obtain this agreement or consensus is at the discretion of the individual School.
- D. Once all parties sign the Plan, it becomes part of the School's planning framework and is available for reference by the faculty.

VIII. Process for annual review of the Performance Evaluation Plan:

- A. *By the first day of Winter Quarter*, each faculty member will submit the documentation and outcomes to support the prior year's Performance Evaluation Plan. Submission is to the School Director and the appropriate Program Coordinator.
- B. The faculty member will receive one of the following ratings for each objective: (0) failed to meet objective or (1) met objective.
 - 1. By February 1, the School Director, in consultation with the Program Coordinator, will have assigned all ratings.
 - 2. Objective attainment and ratings will be used as the basis for the determination of annual merit salary increases.
- C. *By the last day of Winter Quarter*, a performance review session will be held that will include the faculty member, the appropriate Program Coordinator, and the School Director.
 - 1. At this meeting, objectives from the prior year will be compared with the submitted documentation and outcomes.
 - a. The prior year's Plan will be reviewed and discussed in light of the attainment of previously proposed objectives.

IX. Revision of a faculty member's Performance Evaluation Plan:

- A. If, under exceptional circumstances, a faculty member finds that it is necessary to revise his/her Plan based on unforeseen changes or opportunities in teaching, scholarly endeavors, and service, as appropriate for that position, changes may be implemented if all of the following guidelines are met:

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1. The change(s) requested should be of exceptional opportunity.
 2. The value of the change(s) should be equal to or greater than the existing objective(s).
 3. The School Director, in consultation with the faculty member's Program Coordinator, must approve any change in the Plan.
 4. A written addendum must be added to the Plan containing a rationale for change(s) and an outline of the objective(s) in the Plan format. Examples of changes may include, but are not limited to, unforeseen grant opportunities, collaborative research projects, and significant service commitments.
- B. The Plan should not be revised to simply reduce the number of objectives originally specified except for unpredictable or extraordinary circumstances (for example, if a faculty member develops serious health problems). In these unusual situations, the Plan can be renegotiated to accommodate the individual faculty member.

X. Mediation of Performance Evaluation Plan:

In the event that a disagreement arises regarding a formative or summative objective or assessment, or if a personality conflict or an issue of trust arises, faculty members have the right to have their plans reviewed by the Dean of the College of Health and Human Services or a representative of the Dean's office. In the case that a review is requested, the Dean or the representative of the Dean's office will serve as a mediator who is satisfactory to all parties. The review will result in a written decision distributed to the faculty member, School Director, and Chair of the School's Promotion and Tenure Committee about the resolution of the dispute (i.e., all actions taken or planned).

XI. Review, and possible revision, of the Performance Evaluation Plan document:

- A. This document will be reviewed and/or revised in a time interval that is consistent with the College's Promotion and Tenure and the Performance Evaluation Plan for Group I Faculty documents which are on a five year cycle, although spaced apart so that the revisions do not occur in the same year. The first review of this document will occur in academic year 2007-2008, with subsequent reviews occurring every five years. It will be reviewed and/or revised by an Ad Hoc Performance Evaluation Plan for Group II and IV Faculty Committee consisting of a representative from each School within the College of Health and Human Services that has a Group II or IV faculty line, plus one school director. A representative of the Dean's office will also be a participating member on this committee. Any changes must be approved by a majority of those Group II and IV faculty voting.
- B. Where there is Group II/IV faculty, each School Director, in consultation with Program Coordinators, is to establish specific procedures to make this document operational for the School. These procedures are to be in writing and distributed to the faculty as an addendum to this document. Schools are to review and/or revise their procedures at least every five years, ideally the year after the College document is reviewed.

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Form AP0005, Performance Evaluation Plan Form, is available at the following URL:
http://www.hhs.ohiou.edu/chhs/faculty_staff_policies_forms.aspx

Approved by majority vote of Group II and IV faculty 5/30/03

May 9, 2008: final PEP II/IV Committee document; track changes done May 27, 2008 for distribution to School Directors.

January 21, 2009: Discussion between Jason White and School Directors.

February 10, 2009: Meeting of PEP II/IV Committee to draft two additional changes;

March 18, 2009: Final changes and review.

April 17, 2009: Approved by the majority of Group II/IV faculty members voting.

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