

**Policy Name: CIAS Annual Review and Development of Faculty
(RIT policy E7.0)**

I. Scope

The College of Imaging Arts and Sciences is committed to promoting academic excellence. As stated in the University and College's mission statements, teaching, scholarship, and service are core enterprises, and effective teaching continues to be the hallmark of RIT. This policy, consistent with University policy E4.0, supports the dignity and academic freedom of individual faculty members and its implementation is guided by mutual trust based on the shared promotion of academic excellence.

II. Policy Statement

The policy on Annual Review and Development of Faculty establishes guidelines for the evaluation of the performance of full-time faculty in compliance with established University and College criteria as to faculty performance and expectations. An underlying principle of the policy is that faculty review and development are closely related and work in concert to help faculty meet individual, School, College and University goals. The goals of the Annual Review are to:

1. Encourage and foster continued professional development;
2. Provide requisite parts of required documentation as specified in University and College policies;
3. Promote the improvement of individual faculty performance;
4. Inform annual merit increments.

III. Annual Review Process

- A. The immediate supervisor of each full-time faculty member shall ensure that an annual written evaluation is placed in the employee's record. Those who are eligible for contract renewal shall participate in the annual performance review process as described below.
- B. All fulltime faculty members in the College of Imaging Arts and Sciences are required to participate in the annual performance review. This includes faculty who participate in leadership roles or maintain lecturer positions. Visiting faculty members are not required to participate in the Annual Review. The four classifications of faculty roles are: Faculty, Administrative Faculty, Program Chair and/or Graduate Director Faculty, and Lecturer (including Principal and Senior Lecturer). Self-evaluation templates specific to the Annual Review for

each of these categories have been developed for faculty use (see appendices A, B, C, D).

- C. The expectations for a faculty member shall be reflected in the faculty member's Plan of Work; and the Plan of Work is an important element of the annual evaluation (see section G.1 below).
- D. A faculty member receives a performance evaluation for each area of activity as appropriate to his/her faculty role, as well as a recommended overall evaluation rating from their direct report. The performance ratings for evaluating all faculty members with respect to their annual plans of work shall be: *Outstanding*, *Exceeds Expectations*, *Meets Expectations*, *Does Not Meet Expectations*, and *Unsatisfactory*.

The performance ratings in a given area are:

- *Outstanding* - performance that represents a truly exceptional level of accomplishment.
- *Exceeds Expectations* - performance level that exceeds the level of accomplishment in relation to the expectations for a given faculty member.
- *Meets Expectations* - performance that meets the level of accomplishment in relation to the expectation for a given faculty member.
- *Does Not Meet Expectations* - performance that does not meet the level of accomplishment in relation to the expectations for a given faculty member. This rating indicates a deficiency beyond what can be considered the normal range of year-to-year variation in performance.
- *Unsatisfactory* - performance that repeatedly fails to meet the level of accomplishment in relation to the expectations for a given faculty member in a way that reflects disregard of previous reviews or other efforts to provide correction or assistance.

Faculty receiving a rating of *Does Not Meet Expectations* or *Unsatisfactory* should work with his/her Administrative Chair to actively seek assistance to improve her/his job performance.

- E. The criteria for the Annual Review are in compliance with the performance criteria outlined in the University policies for tenure (E5.0) and promotion (E6.0), as well as corresponding CIAS policies and guidelines. The application of specific criteria and their weight may vary due to the particular expectations of academic units and particular faculty classifications (E1.0) and rank (E6.0) expectations. For questions about performance criteria, faculty members should consult with their direct report. The Provost will oversee the consistent application of the performance criteria and the annual increment associated with the performance criteria.

1. Faculty - evaluation criteria includes teaching, scholarship, and service.
 2. Administrative Faculty - evaluation criteria includes teaching, scholarship, service, and leadership/administration.
 3. Faculty fulfilling role of Program Chair and/or Graduate Director - evaluation criteria includes teaching, scholarship, service, and academic program management.
 4. Lecturer (including Principal and Senior) - evaluation criteria includes teaching and service.
- F. The timeline of the Annual Review is January 1 through December 31. Dates for submission, review and approval are:
1. All self-evaluation materials must be submitted to faculty member's Administrative chair (or Dean, if administrative faculty) by the first Friday of the first week of Intersession classes.
 2. Administrative Chairs (or the Dean for administrative faculty) provide written evaluations and ratings for each area of performance as well as a recommended overall rating (as per RIT policy E7, section II.F.3) to the Dean's office by March 15 or the next business day (see Appendix F for template).
 3. The Dean reviews and signs the administrative chair's evaluations and faculty plans of work by April 15 or the next business day. She/he includes a brief statement and a final overall rating regarding faculty member's performance during the evaluation period.
- G. In CIAS, the Annual Review Process includes the following elements:
1. Plan of Work

Fundamental to the self-evaluation process is the annual plan of work. It serves as the primary supporting document for each faculty member's self-evaluation of her/his performance during the review period. The plan of work is a document that faculty prepare in the spring of each academic year outlining the faculty member's expected work activities, anticipated outcomes, and specific performance expectations in the areas of teaching, scholarship, and service for the following academic year's contract period. The plan of work should explicitly address any items of concern that emerge from the annual review process. The plan of work may also describe how

work activities will fit with the faculty member's longer-term performance or promotion aspirations.

- a. A plan of work must explicitly define a balanced set of goals for the self-evaluation review period in terms of "activities" and "evidence".
- b. Each faculty member's plan of work, including how performance criteria will be applied and weighted, will be negotiated and approved by the faculty member's direct report, i.e. Administrative Chair or Dean.
- c. At a minimum, the plan of work must be approved and signed by the faculty member, Administrative Chair, and Dean. An approved plan of work shall be finalized after the annual review is complete, but no later than the beginning of the faculty member's contract period for the upcoming academic year. For faculty in their first year at RIT, their initial contract letters shall serve as their plans of work, unless superseded by an agreed upon plan of work.

2. Faculty Self-Evaluation

The faculty member's written self-evaluation and evidence of performance against the criteria specified above (III.E) and the elements of the plan of work that overlap with the review period. Evidence of performance should include at a minimum the following:

- a. Results from the core and college questions on the university-wide student rating of instruction survey for all sections assigned in the plan of work will be accessible through the RIT Student Rating System at a disaggregated level. If course sections are assigned to a faculty member for an academic term for which the RIT Student Rating System is not available as a tool to conduct a student rating of instruction survey, the college shall implement an equivalent instruction survey for students to complete and the results of which will be maintained in the faculty member's file in the Dean's Office. Student ratings shall not be the sole source of data used to evaluate teaching effectiveness. Response rates should be taken into consideration when reviewing student ratings. Other possible teaching effectiveness data may include alumni ratings; peer ratings; self-assessment statements; syllabi and other course documents; examples of student work; and teaching portfolios.
- b. Evidence of scholarly achievement and quality as defined by the faculty member's College and School for the review period.

c. Written confirmation of participation on School, College and University committees and self-assessment of performance on those committees and professional service activities.

Faculty members are required to use the template appropriate to her/his faculty role (appendices A, B, C, D) in submission of the self-evaluation. Each template sets down a well-defined description of self-evaluation needs, including a thoughtful narrative of individual performance in terms of activity and evidence in the three core areas of teaching effectiveness, scholarship/creative activity and service.

3. A written evaluation provided by faculty member's direct report, i.e. Administrative Chair or Dean, rating the faculty member's performance in each area of activity as well as a recommended overall performance rating.

The written evaluation will be based on objective criteria as applied to the performance of the particular faculty member in the core areas of teaching effectiveness, scholarship/creative activity, and service. The criteria include performance expectations as established by the College, School or academic unit and established standards of performance in the faculty member's particular academic and scholarly field. Faculty will not be evaluated on her/his performance relative to other faculty in her/his School or academic unit. The written evaluation also includes a performance rating (see II.C) in the key areas of teaching effectiveness, scholarship/creative activity, and service. At the end of the evaluation a comprehensive rating will be applied as a summation of ratings individually applied in the three key areas of evaluation. Where applicable, the direct report's written evaluation of the self-evaluation should include an indication of progress for the tenure-track faculty member as well as for faculty members seeking promotion in faculty rank.

- H. A meeting between faculty member and her/his direct report, i.e. Administrative Chair or Dean, to discuss the results of the evaluation process and the plan of work for the subsequent Annual Review period.

Outcomes of this meeting may include modification of Plan of Work, amendment of direct report's evaluation, etc. Faculty members may submit a written response to her/his direct report's annual evaluation. In this event, a written response is submitted along with the direct report's evaluation for the Dean's review and official response. It becomes part of the official documentation.

- I. Faculty will sign and date the final annual review including amendments, when applicable, and proposed Plan of Work. This signature does not represent faculty approval of the content of the annual evaluation but that that review and its amendments have been received and read in compliance with University and College policies. The original documents shall be retained on file in the Office of the Dean and in accordance with C22.0 - Records Management Policy. A copy of the final documents shall be provided to the faculty member immediately upon completion of the process.

- J. Faculty members who believe that this policy has been unfairly or improperly implemented are referred to the policies on Faculty Grievance (RIT E24.0), Appeal Committee on Faculty Salaries (RIT E14.0), and Discrimination and Harassment (RIT C6.0).

IV. Faculty Development Process

- A. Tenure-track faculty who are rated as *Does Not Meet Expectations* or *Unsatisfactory* in either teaching or scholarship must work with their Administrative Chair to develop and implement an appropriate plan of improvement. To facilitate improvement, faculty may be eligible for a Faculty Improvement Fund (FIF) grant to support the plan. These funds are distributed by the Dean.

- B. Each faculty member's approved plan of work identifies areas of development which address the University's educational goals or department, College or University strategic plans. They shall be eligible to apply for professional development assistance from the University. Examples of assistance include but are not limited to collegial mentoring, opportunities to take courses, release time, financial assistance, tutoring, or supplies. Requests for such development assistance should follow the process outlined below in C.

- C. Tenure-track faculty, senior lecturers, principal lecturers, and lecturers with multiple year contracts, are eligible for funds from the Faculty Education and Development (FEAD) fund. These funds shall be appropriated by the University to each college in proportion to the number of tenure-track faculty, senior and principal lecturers, and lecturers with multiple year contracts. Disbursement of these funds shall proceed as follows:
 - 1. Each college shall establish a FEAD Committee to consist of no fewer than three members, elected from and by the tenure-track faculty of the college. If a College has another committee whose membership complies with these specifications, the faculty of the College may designate it as the FEAD Committee.

2. The FEAD Committee shall initiate a request for proposals from eligible faculty members. Proposals will be due by a date to be established CIAS.
3. Proposals for FEAD funding must include a statement from the Administrative Chair indicating support for the proposal.
4. The FEAD Committee shall review proposals and make funding recommendations to the Dean. If he/she does not concur with the recommendations made by the College's FEAD Committee, the Dean shall communicate this objection to the committee and an informal resolution shall be pursued. In situations where the Dean and the committee cannot reach a resolution regarding a FEAD award, the provost shall be the final arbiter.
5. The Dean shall be responsible for the disbursement of faculty development awards.

Responsible Office: Dean's office

Effective Date: August, 2014

Policy History:

Appendix A

CIAS TENURED AND TENURE-TRACK FACULTY
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ December 31st, 20__

Name:

Academic Unit:

Highest Degree & Date:

Date of First Appointment to RIT:

Current Rank & Date Achieved:

CIAS Tenured & Tenure-Track Faculty
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ December 31st, 20__

1. Teaching

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of teaching/advising. **Be sure to include an analysis of student evaluations indicating areas of strengths and weaknesses as well as actions taken to address concerns.** Original documentation should not be submitted, but it should be available upon request. (Depending on what your Plan of Work called for, examples of such documentation could include one or more of the following: student performance data, student evaluations, curricula/syllabi for new or revised courses, advising logs/evaluation.) The following information is required:

- a. Course names, credit hours/contact hours, number of students, format (lecture/lab/studio), presence of an NTID section, and GA/TA support
- b. A summary of student evaluation ratings.
- c. Names of students with whom you worked this academic year with specific projects (name of research program; independent study, thesis, etc.
- d. Other

2. Scholarship/Creative Activity

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of scholarship/creative activity. Such activities may include; exhibitions or displays, curatorial projects, publications, presentations, citations or bibliographies, media coverage, research/creative activity in progress. Original documentation should not be submitted, but should be available upon request. (Examples of such documentation include summaries of one or more of the following: exhibition and displays, published articles, editor's response to unpublished material, exhibition reviews, reviewer's response to submitted grant proposals, consulting outcomes.)

3. Service

Given your previous Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of service. Service activities are those taken on in order to benefit one's community at any level within or external to the institute. Examples include participation on or leadership of a school, college, or institute committee, recruitment efforts, development efforts, or participation or leadership role in a professional organization, etc.. Original documentation should not be submitted, but it should be available upon request.

4. Other

If your previous Plan of Work called for any special activity outside of the above three categories, please provide an appropriate review of the evidence that such plans have been achieved.

APPENDIX B

**CIAS ADMINISTRATIVE FACULTY
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ December 31st, 20__**

Name:

Academic Unit:

Highest Degree & Date:

Date of First Appointment to RIT:

Current Rank & Date Achieved:

CIAS Administrative Faculty
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ December 31st, 20__

1. Leadership/Administration

Given your most recent Plan of Work, provide a thoughtful review of your achievements in the areas of leadership and administration as it relates to your role as an administrative faculty (e.g. Associate Dean, Administrative Chair). Original documentation should not be submitted, but it should be available upon request. (Examples of such documentation may include one or more of the following: faculty mentoring data, faculty recruitment plans, policy creation, strategic plans, student recruitment and promotion, facility development, budgeting, organizational development and fundraising.)

2. Teaching

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of teaching/advising. **Be sure to include an analysis of student evaluations indicating areas of strengths and weaknesses as well as actions taken to address concerns.** Original documentation should not be submitted, but it should be available upon request. (Examples of such documentation may include one or more of the following: student performance data, student evaluations, curricula/syllabi for new or revised courses, advising logs/evaluation.) The following information is required:

- a. Course names, credit hours/contact hours, number of students, format (lecture/lab/studio), presence of an NTID section, and GA/TA support
- b. A summary of student evaluation ratings.
- c. Names of students with whom you worked this academic year with specific projects (name of research program; independent study, thesis, etc)
- d. Other

3. Scholarship

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of scholarship/creative activity. Such activities may include; exhibitions or displays, curatorial projects, publications, presentations, citations or bibliographies, media coverage, research/creative activity in

progress. Original documentation should not be submitted, but should be available upon request. (Examples of such documentation include summaries of one or more of the following: exhibition and displays, published articles, editor's response to unpublished material, exhibition reviews, reviewer's response to submitted grant proposals, consulting outcomes.)

4. Service

Given your previous Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of service. Service activities are those taken on in order to benefit one's community at any level within or external to the institute. Examples include participation on or leadership of a school, college, or institute committee, recruitment efforts, development efforts, or participation or leadership role in a professional organization, etc.. Original documentation should not be submitted, but it should be available upon request.

5. Other

If your most recent Plan of Work called for any special activity outside of the above three categories, please provide an appropriate review of the evidence that such plans have been achieved.

APPENDIX C

**CIAS Faculty - Graduate Directors Or Program Chairs
Annual Self-Evaluation for January 1st, 20__ to December 31st,20__
Plan of Work for January 1st, 20__ to December 31st,20__**

Name:

Academic Unit:

Highest Degree & Date:

Date of First Appointment to RIT:

Current Rank & Date Achieved:

CIAS Faculty - Graduate Directors or Program Chairs
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ to December 31st, 20__

1. Academic Program Management

Given your most recent Plan of Work provide a thoughtful review of why you have achieved in the areas of academic program management relative to your role as a Graduate Director or as a Program Chair/Coordinator. Original documentation should not be submitted, but it should be available upon request. (Depending on what your Plan of Work called for, examples of such documentation may include one or more of the following: course scheduling, new curriculum development, faculty development and recruitment, student recruitment and promotion, etc.)

2. Teaching

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of teaching/advising. **Be sure to include an analysis of student evaluations indicating areas of strengths and weaknesses as well as actions taken to address concerns.** Original documentation should not be submitted, but it should be available upon request. (Depending on what your Plan of Work called for, examples of such documentation could include one or more of the following: student performance data, student evaluations, curricula/syllabi for new or revised courses, advising logs/evaluation.) The following information is required:

- a. Course names, credit hours/contact hours, number of students, format (lecture/lab/studio), presence of an NTID section, and GA/TA support
- b. A summary of student evaluation ratings.
- c. Names of students with whom you worked this academic year with specific projects (name of research program; independent study, thesis, etc.)
- d. Other

3. Scholarship

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of scholarship/creative activity. Such activities may include; exhibitions or displays, curatorial projects, publications, presentations, citations or bibliographies, media coverage, research/creative activity in progress. Original documentation should not be submitted, but should be available upon request. (Examples of such documentation include summaries of one or more of the following: exhibition and displays, published articles, editor's response to unpublished material, exhibition reviews, reviewer's response to submitted grant proposals, consulting outcomes.)

4. Service

Given your previous Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of service. Service activities are those taken on in order to benefit one's community at any level within or external to the institute. Examples include participation on or leadership of a school, college, or institute committee, recruitment efforts, development efforts, or participation or leadership role in a professional organization, etc.. Original documentation should not be submitted, but it should be available upon request.

5. Other

If your most recent Plan of Work called for any special activity outside of the above three categories, please provide an appropriate review of the evidence that such plans have been achieved.

Appendix D

CIAS Faculty - Lecturers
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ December 31st, 20__

Name:

Academic Unit:

Highest Degree & Date:

Date of First Appointment to RIT:

Current Rank & Date Achieved:

CIAS Faculty - Lecturers
Annual Self-Evaluation for January 1st, 20__ to December 31st, 20__
Plan of Work for January 1st, 20__ December 31st, 20__

1. Teaching

Given your most recent Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of teaching/advising. Be sure to include an analysis of student evaluations indicating areas of strengths and weaknesses as well as actions taken to address concerns. Original documentation should not be submitted, but it should be available upon request. (Depending on what your Plan of Work called for, examples of such documentation could include one or more of the following: student performance data, student evaluations, curricula/syllabi for new or revised courses, advising logs/evaluation.) The following information is required:

- a. Course names, credit hours/contact hours, number of students, format (lecture/lab/studio), presence of an NTID section, and GA/TA support
- b. A summary of student evaluation ratings.
- c. Names of students with whom you worked this academic year with specific projects (name of research program; independent study, thesis, etc.)
- d. Other

2. Service

Given your previous Plan of Work, provide a thoughtful review of what you have achieved relative to what you planned to do in the area of service. Service activities are those taken on in order to benefit one's community at any level within or external to the institute. Examples include participation on or leadership of a school, college, or institute committee, recruitment efforts, development efforts, or participation or leadership role in a professional organization, etc.. Original documentation should not be submitted, but it should be available upon request.

3. Other

If your most recent Plan of Work called for any special activity outside of the above three categories, please provide an appropriate review of the evidence that such plans have been achieved.

Appendix E

Plan of Work Template

1. Teaching/Advising

- A. Activity
- B. Evidence

II. Scholarship/Creative Activity (Not applicable if Faculty is a Lecturer)

- A. Activity
- B. Evidence

III. Service

- A. Activity
- B. Evidence

IX. Leadership/Administration if Administrative Faculty.

-or-

Academic Program Management if fulfilling the role of Program Chair or
Graduate Director

- A. Activity
- B. Evidence

Faculty Member _____ date: _____

Administrative Chair _____ date: _____

Dean _____ date: _____

Appendix F

Administrative Chair Review Template

NAME OF SCHOOL — CIAS

Chairperson's report: Faculty Annual Review

Based on Faculty Self-Evaluation per Plan of Work, January 1, 201X — Dec. 31, 201X

Proposed Plan of Work, January 1, 201X — December 31st, 20__

Faculty Name:

Chair and date:

Faculty and date:

Dean and date:

Overall Rating:

This signature does not represent faculty approval of the content of the annual evaluation but that that review and its amendments have been received and read in compliance with University and College policies. Original documents shall be retained on file in the Office of the Dean and in accordance with C22.0 - Records Management Policy. A copy of the final documents shall be provided to the faculty member immediately upon completion of the annual review process.