

Recommendations for

Best Practices:

Annual Performance Reviews for

Faculty Members

and Academic Unit Heads

As approved by the AAUP-UC Chapter Executive Council

and

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Recommendations for Best Practices: Annual Performance Reviews for Faculty Members and Academic Unit Heads

Over the next year Chapter leadership will be evaluating a variety of strategies for the next round of contract negotiations. It is, therefore, important that we remain on the cutting edge of faculty development and improvement. The theme of “faculty excellence” involves, in part, faculty development and the faculty’s responsibilities to the University’s success. Annual performance reviews are one of many ways that faculty development and success can be measured. Unfortunately, Annual Performance Reviews are often misunderstood. The Chapter’s leadership decided at its Fall 2008 planning retreat to commission this White Paper to help clarify the role of Annual Performance Reviews in facilitating faculty excellence and career development.

It is generally acknowledged that there are wide variations in the practice of Annual Performance Review across the University of Cincinnati. Some departments have detailed procedures and conduct Annual Performance Reviews consistently; other departments are more haphazard in their procedures, and a few seem to carry them out only sporadically. Many faculty and department heads seem unaware that state law mandates Annual Performance Reviews. Furthermore, many faculty and unit heads seem unsure as to the legal nature of these documents under Ohio law, and who may have access to them.

The charge to the committee by the Chapter’s leadership was to craft a White Paper that will assist departments with Annual Performance Review procedures and practices and clarify areas of confusion. This White Paper, therefore, begins by examining the history of the statutory basis of the Annual Performance Review, before moving to a definition of Terms and Responsibilities, and then provides a brief discussion of the required Procedures under Ohio law.

The White Paper also provides guidelines for best practices that would streamline the review process and make it a positive and productive experience for both the academic unit head and the individual faculty member. It was the consensus of the Committee that while there was no single template for Annual Performance Reviews that would serve each academic unit, nonetheless, it should be possible to set standards whereby the process can be productive in terms of promoting faculty development.

This White Paper hopes to promote best practices for the Annual Review Process that emphasizes both reflection—what has the faculty member accomplished over the previous year—and planning for the coming year. If done properly, the document can serve as an important tool to gauge faculty accomplishments and to promote unit cohesion. In addition to procedural suggestions, the White Paper contains a flow chart to provide a visual dimension to the process, emphasizing the relationship of the Annual Performance Review to the individual faculty member’s academic unit, RPT guidelines, and faculty development.

The Committee was mindful of the difficulties inherent in the process of crafting Annual Performance Reviews, and therefore provides five specific suggestions on how to make the process informative, consistent with state law and university guidelines, and useful to both the academic unit and the individuals involved. The emphasis is on **educational opportunities** for academic unit heads on how to conduct performance reviews and on the **transparency** of the process. The White Paper concludes with recommendations for the annual evaluation of academic unit heads.

The History of Annual Performance Reviews for Faculty in Ohio

In 1993, when Ohio's 1993-95 biennial budget was being considered, the State Legislature attached several sections to Amended Substitute House Bill 152 that dealt with higher education faculty.

The most significant of these attachments was the "Workload Legislation" which mandated a 10% recovery in the amount of undergraduate instruction provided by faculty members. In response to studies showing that Ohio faculty members were doing more research and graduate teaching, and less undergraduate teaching, the legislation mandated that the Board of Regents adopt workload guidelines for faculty, and that the individual state universities then develop their own workload documents which adhered to the Regents' guidelines and which required Regents' approval. One of the goals was to cut down on the amount of undergraduate teaching being done by graduate students and adjuncts. As did the other state universities, UC (and the individual colleges at UC) developed workload documents which were submitted to the Regents for approval. Those approved documents are the basis for faculty workload policy at UC.

Another attachment, in Section 84.14, was titled "Employee Performance Review Procedures." This attachment mandated that "The Ohio Board of Regents shall work with the state-assisted colleges and universities to ensure that each institution has in place, by no later than June 30, 1994, specific procedures for the Annual Performance Review of all members of the faculty and all administrative employees."

In response to this mandate, UC developed and published a general document, dated June 1, 1994, entitled the "University of Cincinnati Policy and Procedures for Annual Performance Review of Faculty." This document provided some general guidelines for Annual Performance Review (APR), but left specific details up to the academic unit faculty, subject to the approval of the dean and provost. The general guidelines included:

1. APRs must be done for each faculty member each year.
2. The APR should be a review of the performance of the past year and planning for success for the coming year.
3. Either the academic unit head or the faculty member could write the review, but the other individual had the opportunity to write and attach a response to any content with which they disagreed.

4. The APR would become part of the personnel file of the faculty member housed in the academic unit.
5. The academic unit head would annually certify to the dean that all of the APRs in the unit had been done.

This University Policy was then further codified by incorporation into Article 33 of the AAUP-UC Collective Bargaining Agreement. Annual Performance Review of every faculty member is thus required by State law, University policy, and the UC/AAUP Contract. Failure to conduct or to participate in Annual Performance Review is a violation of all three.

Definition of Terms, Responsibilities and Purpose under H.B. 1521

Following the directive of H.B. 1521, the “Annual Performance Review” is a yearly evaluation of each faculty member’s work performance in relation to the unit’s mission statement and goals as well as its established workload policy. Developmental and reflective in nature, the annual review is used “to promote professional growth” (see Appendix A, *UC Policy and Procedures for Annual Performance Review of Faculty*, Faculty Affairs Office, Provost’s Office, June 1, 1994), and guide faculty members in their subsequent work responsibilities, interests, and activities.

It is the responsibility of the academic unit head to arrange and complete an Annual Performance Review for each faculty member in the unit. Academic unit heads may be known as the “department chair,” “division chair,” “school director,” or other appropriate title, and can include in this context other appropriate administrators such as a librarian’s immediate supervisor or the dean in colleges without academic units. The review serves as an opportunity for the academic unit head and the faculty member to determine the faculty member’s work responsibilities *in relation to* the faculty member’s interests and activities.

The review is further used as a venue for the academic unit head and faculty member to discuss “changes in the interests and skills of the faculty member” and serves as an opportunity to make adjustments to faculty members’ contributions to the unit. It is also used to prompt “discussion of the resources needed by faculty members to develop or maintain skills, interests, research, scholarship, and the like ...” while also presenting accomplishments from the year prior. Thus, the Annual Performance Review “is both a setting for anticipating the next year and a review of the past.” It also allows for “the accumulation of evidence for the performance of the faculty member who may be tenured but has not achieved all promotions available” (ibid., all citations this paragraph).

Ideally, the review should provide an opportunity for the faculty member and academic unit head to reflect on the past and plan for the future. If done effectively, the review should make the faculty member and the academic unit stronger, which will increase the productivity and cohesiveness of the unit.

The Annual Performance Review is an official document that “works best when it is an instrument for faculty and unit development” (ibid.) and thus is prepared in tandem between

the faculty member and the academic unit head. Either the academic unit head or the faculty member may write the review. The party who did *not* compose the review must have the opportunity to write and attach a response to any content with which she or he disagrees. When the faculty member and the academic unit head hold differing opinions about the content of the review, these opinions are included in the summary statement, a copy of which is given to the faculty member while the original is placed in the faculty member's personnel file.

There is no format that best serves all units, but "whatever format the unit devises, it must address teaching, advising, educational innovation, research and creative activity; university, professional, and public service, and other accomplishments pertinent to the mission of the unit ..." (ibid.).

Required Procedures under Ohio Law

The law establishing Annual Performance Reviews for faculty is not specific about procedures or processes for completing these reviews. Likewise, the UC Provost's Office statement gives great leeway to each unit in establishing those procedures.

Each academic unit must establish procedures for the Annual Performance Review of all faculty members. These procedures shall be established with the full participation and approval of the members of the faculty within each academic unit and library jurisdiction in the Bargaining Unit, but are subject to written approval by the appropriate dean or library administrator and by the appropriate provost. (*UC Policy and Procedures for Annual Performance Review of Faculty*, Faculty Affairs Office, Provost's Office, June 1, 1994)

The Provost's statement did establish topics that must be included in any Annual Performance Review.

Whatever format the unit devises, it must address teaching, advising, education innovation, research and creative activity, university, professional, and public service, and other accomplishments pertinent to the mission of the unit balanced according to the unit's mission and workload. (*UC Policy and Procedures for Annual Performance Review of Faculty*, Faculty Affairs Office, Provost's Office, June 1, 1994)

The process outlined below is a recommendation to units. No one process will work for all units, and many units already have model practices in place. These processes are those that this committee agreed are among the best practices that will benefit both individual faculty members and their academic units.

Suggested Procedures and Timelines

Establishing a timeline or cycle for Annual Performance Reviews is the first and perhaps even the most difficult procedural question a unit faces. There is no "best time of the year" to engage in writing and reviewing the Annual Performance Review document—every time of the year is busy and arguments can be made for and against the logic of any given point

in time as the time to look back and look forward. The main objective is that a cycle is established and consistently maintained at the unit level.

Once the unit has established its cycle, at the designated time each year ***we recommend that the faculty member write a summary of the previous year's accomplishments, including evidence of teaching, advising, research, service, and other achievements*** that will serve as the basis for the Annual Performance Review document. While the law does not specify who must write the first draft, it seems to us that it is the faculty member who knows his/her own career accomplishments and future goals best. By shouldering the responsibility for the initial draft, the faculty member has the opportunity to direct the discussion and set a positive tone for the exchange. It is also simply more efficient and time-effective to have the faculty member write the first draft than to have a unit head write a dozen (or dozens) of first drafts which will inevitably require modification and revision.

At the very least, within the summary or in separate documents, ***we recommend the faculty member clearly describe how the previous year's goals were met (or not) and list goals for the next year.*** The faculty member then submits the document to the appropriate administrator for review.

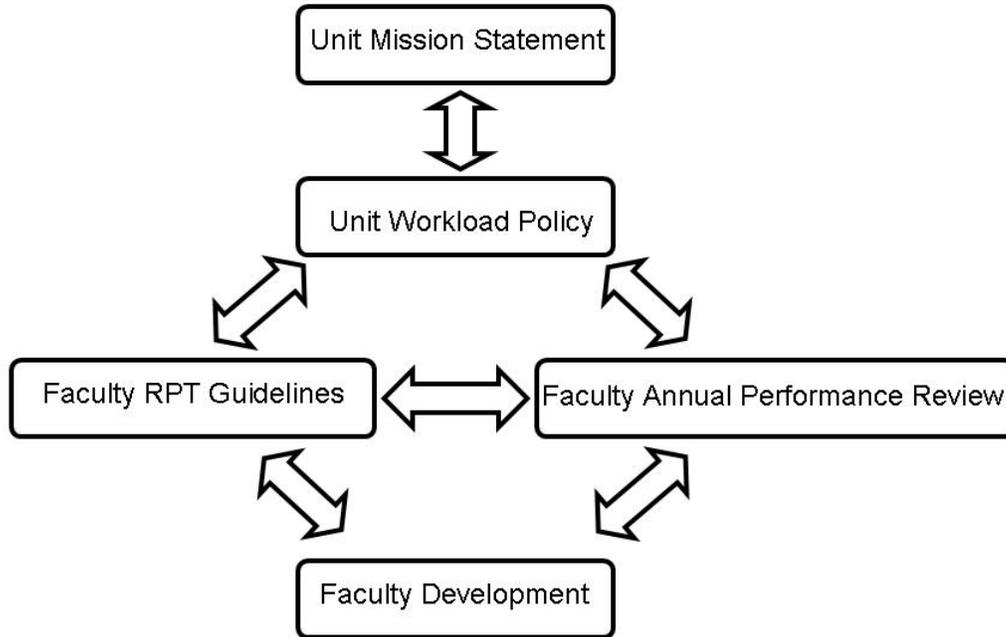
While the law does not require it, ***we recommend that a meeting be held*** to review the Annual Performance Review draft composed by the faculty member. We do not believe a truly productive and reflective process can be achieved through a mere exchange of written documents. Based on the exchange of views in the meeting, ***we recommend the academic unit head then write a formal Annual Performance Review and send it to the faculty member for his/her signature.*** The academic unit head's review should include the date of the meeting held in connection with the Annual Performance Review.

At that point, if the academic unit head and the faculty member were unable to come to full agreement on the content of the review document, the faculty member may choose to write a separate response letter and attach it to the academic unit head's formal written Annual Performance Review. This letter is the faculty member's opportunity to clarify or rebut any of the statements made in the academic unit head's formal review document.

The formal Annual Performance Review, along with any attached response from the faculty member, must be placed in the faculty member's department personnel file as required by the *UC Policy and Procedures for Annual Performance Review of Faculty* (1994). A copy must also be given to the faculty member. (For information on the procedures for and limits on access to personnel files, see Appendix B.)

Examples of Annual Performance Review procedures from several UC departments are attached as Appendix C.

Interrelationship of Documents



Faculty Annual Performance Reviews (APR) are to be constructed, carried out, and utilized in the context of the Mission and functions of each Academic Unit, and consistent with the Workload Policy developed by each Unit's faculty to support the Missions of that Unit. Promotion and tenure guidelines are also developed by the faculty in each academic unit in accordance with the Missions and Workload Policy of that unit. The Annual Performance Reviews may be a part of the RPT process, or not. Whether or not, as well as how, the RPT documents enter into the RPT process should be explicitly delineated in each unit's RPT criteria and policies. Regardless, the Annual Performance Reviews must be consistent with the Academic Unit's Mission statement, Workload Policy, and RPT guidelines. It is important to emphasize that both the RPT process and the Annual Performance Reviews have dual purposes: they are evaluative tools for past performance, as well as mechanisms for facilitating future faculty career development.

Making Annual Performance Reviews Productive and Developmental

The primary purpose and value of the Annual Performance Review is as a mechanism for both **faculty development** and **unit enhancement**. Its purpose is not merely to record an evaluation of a faculty member's "performance" for the year. Thus, it should be designed,

carried out, and utilized in a fashion that promotes open and productive dialogue between each faculty member and her or his academic unit head.

The Annual Performance Review provides an opportunity to review what was expected of a faculty member as set forth by the workload document, RPT criteria and guidelines, and the mission statement of that unit and college. However, and even more important, the Annual Performance Review should trigger and facilitate discussions between each faculty member and his or her academic unit head for developmental and forward-looking changes in the teaching, service, research, and scholarship directions and activities that will aide and advance the faculty member's career. Thus, the Annual Performance Review process is a very useful activity in that it asks each faculty member for a self-evaluation of the past year's activities a plan for the next year's activities. This can and should lead to more thoughtful and meaningful short-term, faculty-driven career development.

The input of the academic unit head can and should be helpful in this process since it provides an outside perspective, a departmental perspective, and guidance as to the effectiveness and utility of the past activities and the proposed future development plans. Thus, the process should be positive and synergistic in nature, rather than just a listing of a faculty member's duties, skills, and activities that could be improved.

Finally, for academic units heads, the individual and collective information gathered through the Annual Review Performance process allows for an assessment of needs, better enabling the unit head to discuss those needs (budgetary and otherwise) with his or her dean and the provost's office.

The Difficulties Involved in Performance Reviews

Quite a bit has been written about performance reviews and similar employee appraisals. Almost all organizations engage in them, frequently changing the methods and procedures, since it is quite difficult to achieve all the desired objectives with one type of review. Faculty members function in a work setting that makes performance reviews even more difficult than in most other settings. We work in a professional organization where our relationships to peers are more collegial than hierarchical. Our work is, at times, extremely broad (and therefore ill-defined), self-initiated, and complex. Faculty members have a good deal of freedom to define the tasks we engage in within the broad scope of the three missions of academia: research, teaching, and service. We have commitments not only to the institution and our departments, but also to our disciplines as scholars. Therefore, there is both an internal responsibility to the university, college, and department, and an external responsibility to promote scholarship outside the institution.

The interpersonal nature of the review process adds another layer of difficulty. For example, if faculty members feel the review is simply an opportunity for criticism from the academic unit head, it is likely that they will become defensive, hampering the purpose of the review. Faculty members may feel that their perspective is not being heard or valued. If faculty members' contributions are discounted, it will lead to faculty members feeling disrespected and undervalued. Furthermore, untenured and non-tenure-track faculty members may feel

their positions make them vulnerable and constrain their ability to engage in an open discussion or fully refute a unit head's criticisms.

Even if the academic unit head has great regard for the faculty member, and even if most faculty members in the unit are doing work that makes them valuable members of the unit, the *manner* in which the performance review is conducted can have an unsatisfactory effect. The interpersonal communication skills involved in conducting and responding to an Annual Performance Review are complex. If not performed with skill and engaged in with a positive attitude, the review may not achieve the objectives of making the faculty member and the academic unit stronger, as well as increasing the productivity and cohesiveness of the unit. We recommend that both the academic unit head and the faculty member approach the evaluative process with positive, professional attitudes and keep the goals of strengthening both the faculty member and the academic unit in mind.

Suggestions for Conducting Productive Annual Performance Reviews

We believe there are several things that could be done to improve the odds of every faculty member's Annual Performance Review being a positive and productive experience for all parties involved and for the betterment of the university as a whole.

Training. Whether conducting performance reviews from a goal-setting perspective, problem-solving perspective, win-win negotiations perspective, or some other approach, they will be more effective if given careful consideration by academic unit heads trained in how to perform a productive review. Thus, all academic unit heads should have such training made available to them. Fortunately, we work in a setting in which many of our colleagues have substantial expertise in conducting performance reviews. ***We therefore recommend that the University, in coordination with appropriate faculty bodies and the AAUP-UC Chapter staff, develop a workshop for academic unit heads on effective performance review evaluation techniques and procedures. The following are ideas that could be incorporated into such a workshop.***

The Opening of the Review. Having gathered information and a draft review document from the faculty member, it is tempting for an academic unit head to begin the performance review meeting by telling the faculty member about his or her perceived strengths and weaknesses, and in what aspects the faculty member has achieved, surpassed, or undershot goals or expectations. However, it is more productive for the academic unit head to let the *faculty member* describe perceptions about the past year in his or her career. The opening of the meeting should focus on what the faculty member believes was or was not accomplished and why these goals were or were not met. The academic unit head can focus on how the faculty member describes his or her work and aspirations for the future. The academic unit head must actively listen with the goal of understanding the faculty member's needs, accomplishments, and situation. Describing problems and selling solutions is a common strategy, but not necessarily a good one in this context.

Coming to Mutual Understanding. One way to characterize the performance review is as a negotiation or problem-solving encounter. The academic unit head has certain objectives or needs that might be met by the faculty member. The faculty member has certain objectives or needs as well. Mutual problem solving or win-win negotiations is appealing as an approach since it could result in everybody feeling that they have what they need for the coming year.

Consistency and Continuity. By definition the Annual Performance Review occurs every year. Thus, the performance review can begin with a review of the outcome from last year's Annual Performance Review. It is likely that the previous performance review stated some goals, changes in activities, available resources, resolutions, and promises. Reviewing what was proposed for the year under review is a reasonable place to start a discussion, preferably with the faculty member taking the lead. What has been achieved? What has not and why? How does that position us for the coming year?

Documenting Issues. On occasion, the Annual Performance Review may be used to alert the faculty member that his or her performance is unacceptable. Fortunately, this is rare. The great majority of the time the Annual Performance Review is one (although one would hope not the only) opportunity to have a discussion about how things are progressing, how the faculty member is contributing to the well-being of the unit, and a chance to enhance the faculty member's contributions and the administrative support available to the faculty member.

Performance Reviews for Faculty Members Serving as Academic Unit Head

All faculty members are required under H.B. 1521 to have an Annual Performance Review. What does this mean for faculty members serving as academic unit heads?

While serving as academic unit head, many faculty members' duties may differ dramatically from when they were performing their usual duties of teaching, research, and service, especially in large units. The Annual Performance Review for unit heads must still be performed. Furthermore, serving as an academic unit head does not strip a faculty member of his or her status as a faculty member nor vacate the requirements under H.B. 1521. Only the nature of the duties has changed.

Under this circumstance, the Annual Performance Review must be performed by the Dean of the college as the faculty member's supervisor. If the academic unit head continues to teach and conduct research, information about those career activities can be gathered in the usual way (e.g., a self-reflection and review of the past year's goals and accomplishments). However, since academic unit heads' duties now also involve administrative duties, their Annual Performance Review must also include information on those activities. Depending on the unit, feedback from alumni or community leaders and a review of budgetary and other administrative leadership roles may be gathered.

In all cases, feedback on the unit head's leadership from faculty in the unit must be a routine part of the unit head's Annual Performance Review, per the *UC Policy and*

Procedures for Annual Performance Review of Faculty (1994). Feedback from faculty may be gathered in a number of ways (e.g., an anonymous survey, email commentaries, faculty meetings).

A copy of the academic unit head's Annual Performance Review should be placed in the personnel file with a copy given to the academic unit head, just as with any other faculty member's review.

Conclusion

The purpose of this White Paper is not to set rigid requirements or add an additional layer of bureaucracy for faculty and their respective academic unit heads. Rather, it is to promote best practices that can ensure the Annual Performance Review is a useful tool that enhances faculty growth. In order for the Annual Performance Review to be an effective tool to gauge faculty development, it must be both reflective and forward-looking. One aspect of the process that needs to be considered is how each individual faculty member fits into the academic unit, in terms of workload as well as curriculum development, and how this best fits into the mission of the academic unit.

We also hope that by outlining these best practices for conducting Annual Performance Reviews, individual faculty members will develop a better sense of how the Annual Performance Review can promote academic excellence and establish development goals that can enhance their careers.

APPENDIX A

June 1, 1994

POLICY AND PROCEDURES FOR ANNUAL PERFORMANCE REVIEW OF FACULTY

This policy is intended to aid the faculty and academic Unit Heads in compliance with H.B. 1521's prescription to have in place an annual performance review for all members of the faculty (and all administrative employees).

The language of the current contract between the University of Cincinnati and the American Association of University Professors, University of Cincinnati Chapter, specifies annual performance meetings between Academic Unit Heads and non-tenured faculty (Article 7.1.2) following an initial meeting within the first three months of a new faculty member's appointment (Article 7.1.1). The contract also encourages annual meetings between faculty and Academic Unit Heads to promote professional growth and development (Article 31.2.4).

The annual performance review is seen as complementary to each unit's workload policy and procedures and its mission statements. The annual performance review provides an opportunity to review what was expected of a faculty member as set forth by the workload procedures of that unit as well as the extent to which the mission of the unit is enhanced and supported by the faculty member's activities.

The annual performance review allows the faculty member and the Academic Unit Head to discuss changes in the interests and skills of the faculty member that would change the contributions that the faculty member could make to the unit. It would also allow a discussion of the resources needed by the faculty member to develop or maintain skills, interests, research, scholarship and the like focusing on teaching, research, professional, University, and public service. In this way the annual performance review is both a setting for anticipating the next year and a review of the past. The annual performance review also allows for the accumulation of evidence for the performance of the faculty member who may be tenured but has not achieved all the promotions available. Others may find it helpful to have a record of review and performance when supervisors and Academic Unit Heads change.

While the review may include accumulating evidence of a faculty member's performance (teaching evaluations, teaching portfolios, new course offerings, grants obtained, papers given and published, contracts negotiated, and the like), the primary purpose for the review is not simply to record an evaluation of a faculty member's performance for the year. The annual performance review works best when it is an instrument for faculty and unit development.

There is no one format that would work best for all units. A good many examples already exist on campus of annual performance reviews that are supported by the faculty of units and have proven to be useful. Such past practices should be continued and encouraged.

Whatever format the unit devises, it must address teaching, advising, educational innovation, research and creative activity, university, professional, and public service, and other accomplishments pertinent to the mission of the unit balanced according to the unit's mission and workload.

PROCEDURES

Each academic unit must establish procedures for the annual performance review of all faculty members. These procedures shall be established with the full participation and approval of the members of the faculty within each academic unit and library jurisdiction in the Bargaining Unit, but are subject to written approval by the appropriate dean or library administrator and by the appropriate provost. After approval, all annual reviews shall be conducted according to these procedures. The AAUP and the Administration will make available to academic units examples of performance review instruments and procedures as well as consultation as requested by the academic unit. It is expected that with experience, the procedures developed initially may be modified; any modifications shall be with the full participation and approval of faculty, dean, and provost.

Each annual performance review shall conclude with the joint preparation of a written summary of the review. Either the Academic Unit Head or the faculty member may indicate in writing any differing opinions about the content of the summary statement and such written opinion shall become part of the summary statement. These statements shall become part of the personnel file maintained by each academic unit and a copy of the statement shall be given to the faculty member.

Each Academic Unit Head will annually certify, in a report to the appropriate dean or academic administrator, that all faculty have undergone performance reviews. This report will enable the unit also to convey or address its resource needs for the following year. It might be expected that if annual performance reviews are integrated with workload procedures and mission statements reports could be made about the ways each academic unit is attaining its stated mission both for individual faculty members and for the unit as a whole.

Academic Unit Heads present a particularly difficult dilemma for annual performance reviews. They face in at least two directions: towards the faculty and towards the administration. Therefore, the annual performance review of academic unit heads shall take into account their role as faculty members and administrators in their unit. In carrying out the annual reviews, deans must consult with the faculty in the unit about the review of the head.

Examples of instruments adaptable for performance reviews are appended to this document.

APPENDIX B

PASSED BY THE FACULTY SENATE
ON FEBRUARY 8, 1996
AS AMENDED BY THE ACADEMIC-ADMINISTRATIVE COUNCIL
ON FEBRUARY 9, 1996

GUIDELINES ON THE MAINTENANCE OF AND ACCESS TO FACULTY PERSONNEL FILES

Introduction

During the 1994-1995 academic year, a small group of administrators and faculty initiated an effort intended (1) to clarify existing policies and procedures concerning the maintenance of an access to personnel files and (2) to encourage consistency in the practices of colleges and departments.

A preliminary report including a description of existing state regulations and laws, university policies, and general recommendations was prepared and distributed during the Spring Term, 1995. Reactions were solicited from faculty, deans, and their staffs, and other administrators. Their comments and suggestions have been incorporated into this revised document.

The existing guidelines and *Rules of the University* governing this issue have been previously disseminated and copies are available in the Faculty Senate Office, in the University Legal Office, and in various official university publications. This proposal is predicated upon those guidelines and rules and pertains specifically to the practices of the university for access to and maintenance of personnel files held in college and departmental offices.

Personnel files are identified as files that contain information of the type described under Guideline B-2 of this document and can be retrieved by name, identifying number, symbol, or other identifier assigned to a person.

Recommendations

It is clear that public access to personnel files of faculty and administrators cannot be denied. However, some safeguard is possible though (1) development of specific guidelines governing access to personnel files and (2) development of specific guidelines clarifying which materials are ordinarily to be "housed" in the personnel files.

(A) Conditions for the maintenance of and access by requestors to personnel files held at college and departmental locations [Conditions for Central files are clearly specified by existing *Rules of the University*]

1. Site Management Guidelines

- a. As at Central Sites, at the college and departmental levels, [a] specific person(s) [*herein referred to as custodian*] should be appointed to monitor/maintain personnel files.
- b. As at Central Sites, at both the college and departmental levels, personnel files should be maintained and consulted under supervised conditions.
- c. College and departmental files should be reviewed periodically by the faculty member and the unit head for their compliance with stated guidelines.
- d. Contents of personnel files should be maintained for a minimum of the faculty member's tenure plus five years.
- e. There shall be placed, at the front of each personnel file, a log indicating the (1) name of the requestor, (2) date of request, and (3) signature of the file custodian supervising the access.

2. Guidelines for University Requestors

- a. University administrators and staff whose jobs routinely and reasonably require access to personnel files shall have such access.
- b. Such requestors shall, upon entering a specific file, so indicate on an enclosed log. Said indications can be accomplished either in writing or by use of name and date stamps.
- c. An exception to the rules that each entry into a file must be logged individually will be made only when routine access is for the purpose of compiling collective or aggregate data on an identifiable group of Faculty (e.g., all Women in the College of Arts and Sciences, all untenured Faculty, etc.). In such cases, the administrator or staff charged with compiling said data may make a single entry in a separate [master] log indicating the group of Faculty whose file were consulted.
- d. Faculty members need not be informed of this routine access to their files.
- e. Persons/groups within the university, who have received authorization from the General Counsel of the University, shall have access to personnel files without specifically informing Faculty members. Such persons/groups shall also have to log their access to these files.
- f. Upon request, Faculty members shall be informed, by the university, as to the general identity of those administrators, staff and groups who have been granted routine access.

3. Guidelines for Non-University Requestors

- a. All requestors other than (1) university administrators and staff whose jobs routinely or reasonably require access to personnel files; or (2) persons/groups within the university who have received authorization from the General Counsel of the University shall come under the heading of Non-University Requestors. This will include university personnel who consult files, not as part of their university function but, as private citizens.
- b. Such requestors will be logged in and out. Requestors will be asked to complete a form specifying their name and the date of the request.
- c. If a requestor refuses to sign the log, then the file custodian is directed to complete the log information insofar as is possible. Even in instances when the custodian does not know the identity of the requestor, the fact that the file was consulted will be indicated on the enclosed log.
- d. A notification of this request for access will be forwarded, within ten working days, to the Faculty member whose file is being reviewed.
- e. Requests must be made during specified operating hours and materials which have been copied should be picked up in person by the requestor.

f. As specified by State of Ohio regulations, requestors may be required to pay for all photocopying expenses—at a reasonable fee.

(B) Stipulations for the placement of materials in personnel files

1. Requirements for University/Central Files:

a. “business of the university” (primarily concerned with any situation which affects the pay status of the individual as designated on the PAF and/or PDF) with previously-noted exceptions

2. Guidelines for Materials Maintained in College Files:

Colleges may choose to include other materials as deemed necessary to carry out the business of the college. In any case, Faculty must be informed of such conditions; and Faculty must be informed of college policies as related to the maintenance of personnel files.

- a. appointment documentation (A-126, A-900, title approval, letter of offer)
- b. copies of all PAFs and PDFs
- c. copies of annual performance review documentation
- d. notices of awards and commendations
- e. copies of disciplinary action documentation
- f. reappointment, promotion, and tenure documentation/summaries
- g. requests for leaves or for other special requests for a change in status (e.g., as pay equity or medical needs)
- h. copies of collateral employment agreements
- i. correspondence as directed to the Dean’s Office

(The Faculty member must be notified when materials, other than B-2 a to h, are added to or deleted from a college personnel file.)

3. Guidelines for Materials Maintained in Department/Program Files:

Departments/Programs may choose to include other materials as deemed necessary to carry out the business of the Department. In any case, Faculty must be informed of such conditions; and Faculty must be informed of policies as related to the maintenance of personnel files.

- a. items as specified in B-2a; b; c; d; e; f; g; h (*optional as determined by department/program policy*)
- b. copies of annual performance review summaries
- c. copy of original and/or renegotiated “job description”
- d. copy of most current professional vita
- e. copies of annual workload statements
- f. correspondence as directed to the Department/Program Head

(The Faculty member must be notified when materials, other than B-3 a to 3, are added to or deleted from a departmental personnel file.)

Faculty Rights:

- ✓ Materials that do not meet stated guidelines should not be placed in personnel files.
- ✓ If a Faculty member has any doubts or concerns about the status of a personnel file (any location), he/she should immediately ask to review that file. It is the Faculty member's prerogative.
- ✓ A Faculty member may ask that material be removed from a personnel file and has the right to add to the file a brief rebuttal statement relative to any disputed information.

APPENDIX C

SAMPLE ANNUAL PERFORMANCE REVIEW GUIDELINES

These annual reviews forms have not been reviewed by the Committee. We attach them here for your reference, not as commentary or as a recommendation.

1. Department of Pharmacology and Cell Biophysics (COM) (p. 19)
2. Department of Rehabilitation Sciences (AHS) (p. 22)
3. College of Arts & Sciences (p. 27)
4. University Libraries (p. 33)
5. Division of Teacher Education (CECH) (p. 35)
6. School of Art (DAAP) (p. 39)
7. Division of Humanities & Social Sciences (Clermont) (p. 44)
8. Department of History, Art and Philosophy (Raymond Walters) (p. 50)
9. College-Conservatory of Music (p. 51)

APPENDIX C – 1

DEPARTMENT OF PHARMACOLOGY AND CELL BIOPHYSICS FACULTY ANNUAL PERFORMANCE REVIEW FORM

Date: _____ Period Covered: _____

Name: _____ Rank: _____ Tenured: _____

1. **LIST MAJOR FIELD AND RESPONSIBILITIES**

2. **TEACHING**

- A. List all courses taught and lectures given during the year under review. Include graduate and undergraduate courses. List year/quarter, course number, course name, credit hours, enrollment, and your role (lecturer, course director, etc.).
- B. Teaching documentation: Attach Student Evaluations and/or other documentation.

3. **ADVISING**

- A. Summary of independent studies, special projects, theses and/or dissertations directed.
- B. Master's and/or Doctoral student supervision as major professor.
- C. Other.

4. **EDUCATIONAL INNOVATION**

- A. Development of instructional materials.
- B. Development of new courses and material or redesign of courses.

5. **RESEARCH**

A. Publications: Give a list of publications and works in press or accepted for publication. List in the following categories:

A1. Publications in refereed journals (Since 200X)

A2. Publications in proceedings

A3. Books and chapters in books

A4. Other

B. Major works in progress but not yet accepted for publication.

C. Current grants and contracts: List title of grant, agency, duration of grant and total funding.

D. Grant proposals submitted during review year. List title of grant, agency, duration, funding requested and decision (pending)

E. Grants in preparation or planned in near future.

F. Patent filed/awarded.

6. SERVICE

List membership in professional committees on which you have served during year under review. Your chairmanship should be indicated wherever appropriate.

A. Department committees

B. College committees

C. University committees

D. National committees

E. International committees

F. NIH/AHA study section

G. Editorships (journals, books, etc.)

H. Grants reviews

I. Manuscripts reviews

J. Sessions/symposia/workshops organized/chaired addresses, panel appearances, consultations community services, etc

7. OTHER ACCOMPLISHMENTS, AND CONCERNS

A. Describe any other important accomplishments, recognition, awards or activities which you deem notable.

- B. Note items of particular concern for discussion at the annual meeting with Department Director.

8. REVIEW OF GOALS VERSUS ACHIEVEMENTS FOR YEAR UNDER REVIEW

9. PROFESSIONAL GOALS FOR THE COMING YEAR (PLEASE IDENTIFY YOUR SHORT-TERM AND LONG-TERM GOALS).

- A. Teaching
- B. Research
- C. Service
- D. Professional Growth and Development

10 RESOURCES NEEDED BY THE FACULTY MEMBER

11. DEPARTMENT DIRECTOR'S COMMENTS

12. JOINTLY PREPARED SUMMARY OF THE REVIEW

13. DIFFERING OPINIONS, IF ANY, ABOUT THE CONTENTS OF THE SUMMARY

- A. Department Director
- B. Faculty Member

14. SIGNATURES OF DEPARTMENT DIRECTOR AND FACULTY MEMBER VERIFYING MEETING AND DISCUSSION.

Faculty Member _____

Department Director _____

Signature verifies that a meeting and discussion has taken place. Faculty member's signature does not indicate agreement with Department Director's comments.

APPENDIX C – 2

DEPARTMENT OF REHABILITATION SCIENCES (AHS)

GENERAL RESPONSIBILITIES

As a member of the Department of Rehabilitation Sciences Faculty, you are helping to shape the future of the physical therapy profession. To assure a quality education experience, the department must receive your input and feedback and utilize it along with outcome measurements to evaluate the effectiveness of the Programs. For this reason, all faculty must:

1. Update their CV and submit it to the Department Office in the APTA format by January 1st.
2. **Submit a yearly faculty development plan.**
3. Provide feedback on Program and Department policies and changes including, but not limited to, input on equipment, goals, mission and curriculum.
4. Undergo review for reappointment including a review of student evaluations and a classroom observation by the department head and/or program director (or their designee).
5. Submit a copy of the syllabus from each course 2 weeks prior to the start of class.
6. Attempt to attend faculty meetings.
7. Make available to all faculty copies of course handouts and materials.
8. **Complete the College of Allied Health Sciences Annual Review Form. Attend an annual meeting with the department head and/or program director.**
9. Document individual and student meetings, problems, or counseling.

The items that follow explain some of the various review processes. Please feel free to call the office with any questions about this information.

FACULTY DEVELOPMENT FORM

Each year, all faculty in the Department of Rehabilitation Sciences must complete a faculty development plan. This plan is documented on the faculty development form and is due to the department head and/or program director at the time of the annual review.

The purpose of the faculty development form is to encourage faculty to plan professional growth by establishing objectives, determining a plan to meet the objectives and evaluating the completion of these objectives.

Instructions for completion of the form:

1. Write in your name, the academic year that the plan will cover and the date the form is being completed.
2. List any courses taught in the previous academic year. Include the name and the quarter. Include only department courses.
3. If you completed a faculty development form last year, refer to the objectives established at that time and address whether or not the objectives were met. If you did meet the objectives, indicate when and how. If you made progress towards meeting the objectives, describe that progress. If you did not meet an objective indicate, if possible, the reason you did not meet it. This may be as simple as “time did not allow” or “resources not available” or may be more complicated.
4. List any courses you will be teaching this academic year. Include the name and the quarter. Again, include only department courses.
5. List areas of growth that you have identified. Utilize feedback that you have received in the classroom (formal or informal student or peer evaluations) or in the clinic (formal or informal patient or peer evaluations). Relate the evaluations to your desired areas of growth.
6. List your objectives for this academic year. Objectives may refer to any area of faculty growth including clinical skills, educational pursuits, specialization, advanced knowledge in teaching, professional achievements, etc. Objectives, however, should relate to faculty responsibilities and identified areas of growth. Objectives should also be behavioral in nature and measurable.
7. Indicate how you will meet your objectives. Include timeframes.
8. List the resources that are presently available to meet each objective and additional resources needed.

COLLEGE OF ALLIED HEALTH SCIENCES ANNUAL REPORT

In addition to submitting an updated CV and Faculty Development Form, faculty members must also complete the CAHS Annual Report form at the time of their annual review.

This report is a summary of the teaching, research, and service the faculty member has taken part in over the course of an academic year.

Instructions for completing the form:

1. Write your name, department and date.
2. Under Teaching, list all of the courses taught, including credit hours, contact hours, and number of students in the course.
3. Under Individual Teaching / Advising:
 - a. List the graduate students advised in independent studies.
 - b. List the undergraduate research students supervised
 - c. List all the students that you served as Faculty Advisor
4. Under Research, list all the grants, publications and presentations that you were a part of over the past year.
5. For Professional Service, provide all the department, college, university, and outside community committees or groups you participated on/with.

FACULTY DEVELOPMENT FORM

Faculty Name _____

Academic Year _____ Date of Completion _____

.....

1. List the course(s) you taught in the previous academic year. Indicate name, quarter.

2. List your objectives from the previous academic year that have been met.

3. List the courses you will be teaching this academic year. Include name, quarter.

4. List areas of desired growth as a faculty member.

5. List your objectives for this academic year.

6. Indicate the methods you will use to achieve these objectives. Include dates.

7. Describe the resources available or needed to meet these objectives.

8. List the outcomes (student evaluations, employer/graduate surveys, clinical performance evaluations, PES results, etc.) that influenced the formation of your objectives this academic year.

9. In addition, list the outcomes that will be enhanced if you should successfully meet your objectives this academic year.

COLLEGE OF ALLIED HEALTH SCIENCES
Annual Report

Tenure/Tenure Track _____
Department _____

Faculty Name: _____

Date: _____

Teaching

			Credit Hours	Contact Hours	#of Students
	Course/Lab Title	Course #			
Summer 06		1.			
		2.			
		3.			
Autumn 06		1.			
		2.			
		3.			
Winter 07		1.			
		2.			
		3.			
Spring 07		1.			
		2.			
		3.			

Individual Teaching/Advising

- A. Graduate Students enrolled in independent studies, thesis, dissertation (Name, MS/PhD, indicate if student (s) are full time or part-time).
- B. Undergraduate research students supervised (Name, quarters enrolled)
- C. List of students advised in the major (Name, MS/PhD) indicate if student(s) are full or part-time.

Research

Extramural grant funding: Source, Title, Amount in dollars, time period.....
CO-PI's, for funded) include continuing grants, but not non-funded extensions.

Intramural grand funding: Source, Title, Amount

Grant Application submitted: Source, Title, Amount.....

Publications (journal citations) (may list 'in press' publications)

Presentations at meetings (date, location, group, presentation title, authors)

Invited seminars (name of institute or meeting, title of talk)

Other publications, e.g., short communications, supplements, or proceedings (complete citation)

Professional Service

Departmental Responsibilities

College Committee(s)

University Committee(s)

Community Engagement *

Extramural Service (government, professional society, editorial board, etc.)

*May also be included under research if activities/outcomes have been broadly disseminated.

APPENDIX C – 3

COLLEGE OF ARTS & SCIENCES

**UNIVERSITY OF CINCINNATI
McMicken College of Arts & Sciences
Faculty Annual Report
PERIOD REPORTED**

Name:

Department:

Academic rank and title:

Directions: Please follow the format as closely as possible. Read it fully before you begin. If a category does not apply to you for this report, please leave it blank. No one format will fit all of the faculty of the college completely, so reasonable adaptations of certain categories may be necessary. Avoid repetition by using cross-referencing.

The annual report should list information on the following categories for the reporting period.

I. Teaching and Academic Advising

A. All courses taught in the reporting period. Use one line for each course taught in tabular format as indicated. Add or delete rows as necessary. If the same course was taught more than once, each section should be placed on its own line. Do not list independent studies directed here, but below in subsection E. Attach summaries of student evaluations at the back of this report. Provide your department's average overall score here, if your department requires it: _____.

Term	Course Name	Course Designator and Number	Class Size	Number of Respondents	Credits

- B. Any other evaluations of instruction that you wish to include.
- C. The student names and titles of undergraduate research projects and honors theses directed. You may also include special achievements of undergraduate students.
- D. The names of doctoral graduates, titles of dissertations, and current positions held (if known) who graduated during the reporting period. Do the same for master graduates with theses. You may also include special achievements of graduate students.
- E. A chronological list of independent studies, field studies, special studies and internships directed.
- F. Academic advising responsibilities. List the number of undergraduate and graduate advisees by academic level and the number of graduate student committees on which you serve. You may also briefly list such activities as assisting with job placement, writing letters of recommendation, and continuing advising relations with former students, and include any evidence of advising effectiveness.
- G. Course, curriculum, and program development. List new courses developed and old courses revised. You may also briefly list special features of the course(s), including matters pertaining to service learning, multicultural or international content, or integration of technology.
- H. Demonstrated efforts to evaluate or improve one's teaching effectiveness. This may include any pertinent workshops or conferences that you have attended.
- I. Guest lectures given in colleagues' classes.
- J. Recognitions, honors, or awards for teaching or academic advising effectiveness.
- K. If you care to comment on any matters related to your teaching or academic advising during the reporting period, do so here. Limit your comments to no more than 250 words.

II. Research, Scholarly, and Creative Achievements

- A. Research and scholarly publications according to the subdivisions listed below. Distinguish whether items were published or accepted during the reporting period. (Note that work currently under submission and being reviewed and work in progress should be listed in section V.)
 - 1. Books or monographs authored.

2. Book chapters.
3. Books edited.
4. Textbooks authored.
5. Textbooks edited.
6. Papers in refereed or peer-reviewed journals (including electronic peer-reviewed journals).
7. Papers in refereed or peer-reviewed conference proceedings (including electronic peer-reviewed proceedings).
8. Prefaces, introductions, catalogue statements, etc.
9. Entries in reference works.
10. Papers presented at professional meetings.
11. Other papers and reports, including non-refereed online publications.
12. Abstracts.
13. Translations.
14. Reviews of published works (e.g., books, CDs).
15. Sponsored research and other grants and awards. Cite principal investigator(s) explicitly, as well as all names that appear on the grant proposal, year, duration of award, source (agency) of the award, and the amount. Indicate your level of responsibility.

B. Creative publications, performances, exhibitions, and compositions according to the subdivisions listed below. Distinguish whether items were published / performed or accepted during the reporting period.

1. Novels and books (e.g., collections of essays, poems, short stories, etc.).
2. Poems, plays, essays, musical scores.
3. Performances, productions, films, videos, and exhibitions. Indicate venue, scale, and method of selection.
4. Newspaper and magazine articles.
5. Competitions and commissions.
6. Reviews of published works (e.g., books, CDs).
7. Grant applications and awards. Cite principal investigator(s) explicitly, as well as all names that appear on the grant proposal, year, duration of award, source (agency) of the award, and the amount. Indicate your level of responsibility.

C. Editorships, curatorships, etc. according to the subdivisions listed below.

1. Journals or other scholarly publications.
2. Editorial boards.
3. Exhibitions, performances, displays, etc.

D. Software and patents.

E. Demonstrated efforts to develop skills pertaining to one's research. This may include any pertinent workshops or conferences that you have attended.

F. Recognitions, honors, or awards connected to your research, scholarly, or creative activities.

G. If you care to comment on any matters related to your research, scholarly, or creative activities during the reporting period, do so here. Limit your comments to no more than 250 words.

III. Outreach and Public Service Accomplishments

A. Specific outreach responsibilities.

B. Public service and outreach.

1. Development activities.
2. Educational activities.
3. Community presentations.
4. Consultantships.
 - a. Non-paid.
 - b. Paid.
5. Professional development programs.
6. Other.

C. Outreach publications.

1. Books and book chapters.
2. Numbered Extension publications.
3. Brochures and fact sheets.
4. Magazines, newspapers, newsletters, and popular publications.
5. Extension reports.
6. Teaching and resource materials.
7. Media presentations.

D. Results of participant and peer evaluations concerning the significance and impact of programs.

1. Evaluations from program participants.
2. Impact evaluations and adoption of outreach education programs.
3. Peer reviews.

E. Demonstrated efforts to develop skill pertaining to outreach activities. This may include any pertinent workshops or conferences that you have attended.

F. List any recognitions, honors, or awards connected to your outreach professional activities.

G. If you care to comment on any matters related to your outreach professional activities during the reporting period, do so here. Limit your comments to no more than 250 words.

IV. Professional and University Service

A. Service as an officer of an academic or professional association.

B. Other service to one's profession or field (e.g., committee membership, development of programs, assisting colleagues).

C. Meetings, panels, workshops, etc. led or organized.

D. Manuscripts, grant proposals, and exhibitions reviewed or juried for presses, journals, societies, or funding agencies.

E. University, college, and department service (e.g., committee membership, hosting visitors, organizing lectures and lecture series, recruitment, mentoring).

1. University.
2. College.
3. Department.

F. Service to students (e.g., involvement in co-curricular activities, advising student organizations).

G. Recognitions, honors, or awards connected to your professional and university service.

H. Contributions to the university's diversity goals.

I. If you care to comment on any matters related to your professional or university service during the reporting period, do so here. Limit your comments to no more than 250 words.

V. Additional information not reflected in above categories

A. Work currently submitted and being reviewed, including grant applications.

B. Work in progress.

C. Other relevant and important activities not reflected elsewhere in this report.

VI. Goals and objectives for next reporting period

A. List briefly, as relevant, the direction of, or goals for, your work in the coming academic year in:

1. Teaching activities.
2. Research, scholarly, and creative works.
3. Outreach and service activities.
4. Other professional activities.
5. Professional development.

B. Indicate how the department/college might assist you in your work and/or professional development. Limit your comments to no more than 250 words.

APPENDIX C – 4

UNIVERSITY LIBRARIES

UNIVERSITY OF CINCINNATI LIBRARIES

LIBRARIAN'S ACTIVITY REPORT

2007-2008

NAME: _____ **DATE:** _____

I. Job-Related Accomplishments

- A. List accomplishments in areas of responsibility outlined in your current job description; e.g. reference service, cataloging, library instruction, collection management, acquisitions, administration, supervision.
- B. Briefly describe any major accomplishment(s) including activities in support of the Strategic Plan and/or assumption of duties outside your job description.

II. Scholarly or Professional Accomplishments, including Professional Development and Professional Service Activities

- A. List participation in University Libraries committees and briefly describe your contributions.
- B. List participation in University committees and briefly describe your contributions.
- C. List participation in professional organizations and briefly describe your contributions.
- D. International, national, state or regional recognition or accomplishments: list professional recognition or accomplishments not covered in II.C.
- E. Contributions to scholarship not covered above.
- F. Professional development and continuing education. List educational and training activities, which contributed to your professional development.

**UNIVERSITY LIBRARIES
LIBRARIAN'S INDIVIDUAL GOALS
PERIOD: 2007-2008**

NAME: _____

DATE: _____

1. Individual goals for the coming year.
(Please indicate how these individual goals are tied to your department goals and the Strategic Plan.)

**PERFORMANCE REVIEW
CERTIFICATION**

A performance review has been completed and reviewed by the supervisor and the employee on the date noted below:

Employee's signature

Supervisor's signature

Date

APPENDIX C – 5

DIVISION OF TEACHER EDUCATION (CECH)

**University of Cincinnati - Division of Teacher Education
Faculty Work Reflection for 2007-2008**

Name: _____ Primary Program Assignment: _____

Directions: Complete a reflection by either using this template or one that addresses the three areas of scholarship, teaching, and service for the 2007-2008 year. Consult your workload statement from the Fall term and discuss how your actual work corresponded to or diverged from your workload plans.

TEACHING

TOTAL WORK LOAD UNITS _____

Course No.	Course Title	Credits	Yr/Qtr

Mentoring/Graduate Committees

List and discuss activities during the last academic year, including doctoral committees – names of students, role (chair or member), status (e.g., dissertation stage), and Master's Project/Thesis committees – names of students, role, status

SCHOLARSHIP

TOTAL WORK LOAD UNITS_____

List and discuss activities during the last academic year, including publications, including submissions and revisions; presentations to be given at academic conferences, and; research grants developed/submitted

SERVICE

TOTAL WORK LOAD UNITS_____

List and discuss activities during the last academic year, including service to profession (e.g., offices/committees; reviewer; other services to local, regional, or national professional organizations etc.); service to program and division (creation and grading of comprehensive exams, program development/coordination activities; committee service; peer reviewer; preparation of accreditation/formal reviews or reports); service to college and university (e.g., elected/appointed positions; committees), and; community service (including workshops for practitioners).

I am submitting this annual reflection as an accurate portrayal of my work for 2007-2008 and agree that it represents how I fulfilled my goals and responsibilities from my Work Statement for the 2007-08 academic year.

Faculty Signature

Date

University of Cincinnati - Division of Teacher Education
 Faculty Work Statement for 2008-2009

Name
Title of Faculty Member

Primary program assignment: Teacher Education

Faculty are expected to carry out all program responsibilities including but not limited to:

- attending and participating meaningfully in all program meetings;
- attending program functions;
- attending and representing the program at designated college and university functions;
- serving meaningfully on program, college and university committees;
- providing program and advising information to prospective admitted students;
- meeting all assigned instructional and supervision responsibilities;
- completing and administering program-related data inquiries and other requested information

A unit of work, a "workload unit" (WLU), is defined as 2.5 to 3 hours per week across one term

Teaching

() WLU

Autumn	Winter	Spring

Advising (Approximate the number of students _____.)

_____ WLU

Serving on active graduate committees:

Office hours; 2.5 hours per week to advise walk-in candidates for the program and potential applicants to our graduate programs.

Posted advising/office hours:

Scholarship (Include plans for research, publications, presentations, and grant proposals)____ WLU

Presentations:

Research and Publication:

Grant Work:

Service _____ WLU

College/Department:

University Related:

Professional Organization:

Describe Your Plans to Work With Area Schools:

Program Development:

Requests for Special Resources/Travel Resources (List needs for achieving these goals.)

Summary of Work Statement (WLUs)

	Autumn 2007	Winter 2008	Spring 2008	TOTAL
Teaching				
Research/Scholarship				
Service				
Total				42

We have reviewed this work statement and agree that it represents my responsibilities for the 2008-2009 academic year.

Faculty Name

Dr. Holly Johnson

DATE: _____

APPENDIX C – 6

SCHOOL OF ART (DAAP)

**UNIVERSITY OF CINCINNATI
DAAP, SCHOOL OF ART
FACULTY ANNUAL REVIEW FORMAT
Year 2007-2008**

This three-page document is in keeping with the policy and procedures for the annual performance review of faculty in the School of Art in compliance with H.B. 152. Faculty should adhere to the following format when providing the information requested.

The School of Art Review Process is intended to establish a summary record of each faculty member's effort and objectives during the annual academic year; to advise discussion between the School Director and faculty member in annual assessment and reporting on the School's performance; and, to assure the relationship between faculty objectives and the mission of the School of Art.

The review process: a calendar of meetings for the School Director with each faculty member will be scheduled (about 45 – 60 minutes in length); each faculty member will prepare his or her report and submit it to the Director at least one week (seven days) before the date of the review meeting (prior discussion should have been undertaken with the School Director regarding the following year's teaching assignments); the School Director receives the file and consults with faculty chairpersons where appropriate on any relevant topics which need discussion during the meeting; the School Director will summarize the review meetings in writing, including any additions, endorsements, or reservations noted during the review discussion, for the record and the advice of the faculty member.

Name _____ Program _____ Rank _____

1. TEACHING

A. Courses taught: name of course, quarter, course number, credit hours and enrollment.

<i>Quarter</i>	Course Name	Course Number	<i>Credit Hours</i>	<i>Enrollment</i>
Autumn 2005				
Autumn 2005				
Winter 2005				
Winter 2006				
Spring 2006				
Spring 2006				
Winter 2006				
Spring 2006				
Autum 2005				

- B. Student evaluations (student forms and computer printout): previous spring, (summer), fall, winter quarters.
- C. Teaching documentation: including but not limited to syllabi, handouts, visual teaching aids.

2. **ADVISING**

- A.
- B. Other

Independent studies:

EDUCATIONAL INNOVATION

- A. Development of instructional materials.

TECHNOLOGY

Blackboard in courses:

- B. Development of new courses and materials or redesign of existing courses.

3. **RESEARCH AND PROFESSIONAL ACTIVITY**

- A. For publications, indicate whether they have been accepted for publication or are in press, and whether they are in refereed journals, proceedings, books, or chapters in books. For exhibitions, indicate locale, and whether exhibition is solo or group, invited or juried.
- B. Presentations, lectures, workshops, commissions.

RESEARCH

I. JURIED and ACADEMIC SPEAKING ENGAGEMENTS

II. ACADEMIC PUBLICATIONS

III. GENERAL PUBLICATIONS

IV. ACADEMIC WORKSHOPS AND PANELS CHAIRED

V. PROFESSIONAL CREATIVE RESEARCH:

D. Grant proposals submitted. Include title of grant, agency, duration, funding requested, and decision (granted, pending, denied).

E. Current grants and contracts. Include title of grant, agency, duration of grant, and total funding.

4. **SERVICE**

A. School, College, University Service. Indicate whether chair of committees.

Service

Professional

School

College

University

OTHER ACCOMPLISHMENTS AND CONCERNS

REVIEW OF GOALS VERSUS ACHIEVEMENTS FOR YEAR UNDER REVIEW

PROFESSIONAL GOALS FOR THIS YEAR 2007-08 WERE:

- A. Teaching

- B. Research and Professional Activity

Goals for this year were:

- C. Service

Goals for this year were:

Goals for next year:

- D. Professional Growth and Development

GOALS FOR THE COMING YEAR 2009-2008

- A. Teaching

- B. Research

- C. Service

Summary of annual faculty performance review meeting for the year 2001-2002_by academic Unit Head.

_____,
Academic Unit Head Date

_____,
Faculty Member Date

Additional comments or differing opinions may be attached.

APPENDIX C – 7

DIVISION OF HUMANITIES & SOCIAL SCIENCES (CLERMONT)

REVISIONS TO THE HUMANITIES DIVISION'S ANNUAL REVIEW

Cover Statement

- (1) The main function of the annual review is to ensure the Continuity of faculty's past, present, and future performance. The accompanying document should therefore provide a perspicuous yet concise overview of the year's activities in preparation for the joint meeting.
- (2) The annual review should complement (not be redundant with) the full RPT review: the annual review is an interim report that demonstrates that faculty have been kept apprised of their standing viz. RPT requirements
- (3) Faculty have the option to make the annual review less involved over time since, as faculty become more established, they generally require less detailed supervision.
- (4) The annual review should result in a joint statement that is a substantive record of the meeting - a collaborative statement that expresses consensus while allowing for differences.

NOTE: There are no changes to the section titled, "Annual Faculty [Performance Review, U.C. Clermont College, *Preliminary Comments*

ANNUAL FACULTY PERFORMANCE REVIEW U.C. CLERMONT COLLEGE

Preliminary Comments:

The primary purpose of the annual performance review is to help improve the performance of each faculty member with respect to mission statement of the College and to the goals of the faculty member's division. The review is to address both the performance of faculty with regard to their responsibilities of teaching, research and service, their goals for the coming year, in light of their performance of the past year and an assessment of needs or resources which can be expected to enhance the faculty member's performance. The annual performance review should be viewed as a method for reviewing accomplishments and activities for the past year as well as for planning for the coming year. Performance will be review in light of the guidelines set forth in the College's and Division's Workload Policy.

The annual performance review will be conducted between the Division Chair, and the faculty member on a mutually agreed date. The faculty member will present supporting documentation 1 week before the above mentioned meeting is to take place to the member's Division Chair. Faculty will provide a written summary and provide relevant documentation for activities taken during the current academic year. The areas to be reviewed are: Teaching, Scholarly Activity, College and Division Service, and University and Community Service. A summary of teaching evaluations (peer and or student evaluations) are to be included. The concentration of effort in each area will be determined based upon the workload criteria as outlined in the College's Faculty Workload Policy. The attached form will be used as the format for the faculty member's written summary of his/her activities.

The Division Chair will review the submitted documentation by the faculty member at the meeting and each of the areas of activity listed in the documentation will be discussed. The annual performance review of each faculty member shall conclude with a joint preparation of a written summary of the review. The summary will also include what the Division can do to enhance the faculty member's performance. Either the Division Chair or the faculty member may indicate in writing any differing opinions about the content of the summary statement, and such written opinion(s) plus the summary statement shall become part of the faculty member's personnel file and a copy will be given to the faculty member. Upon completion of this process, the Division Chair shall forward the summary statement with the faculty member's original written summary to the Dean indicating that the review process has been completed. All other documentation submitted by the faculty member shall be returned to the faculty member on completion of the review process.

The annual performance review of the Division Chairpersons shall take into account their role as faculty members in their respective divisions. In carrying out the annual reviews, the College's Reappointment, Promotion, and Tenure Committee will serve as the reviewing body. Each Division Chair will follow the same procedures, applicable to all faculty. The Dean of the College will be responsible for reviewing the Division Chairs administrative functions.

Annual performance reviews for new and returning full-time, tenured and non-tenured faculty will be conducted during the Spring Quarter each year before June 30th. Annual review meetings will cover one year's time, and will be scheduled anytime from mid-April through the end of June.

REVISED GUIDELINES FOR THE ANNUAL REVIEW

FACULTY ANNUAL PERFORMANCE REVIEW

YEAR: _____

Name: _____ Rank: _____

Date: _____

Performance in the listed areas may be demonstrated by submission of documentation supporting activities related to the items listed under each area.

I. Teaching

- * List courses taught (course number, title, credit hour(s) and sections
- * Teaching/course innovations (including course development grants, workshops, training seminars, independent studies supervised, etc.)
- * Analysis of teaching and teaching component of workload (include any development of new courses, course materials, redesign of courses, etc.).

II. Research, Scholarly and Creative Activity

- * Briefly describe current project, including abstracts of grant proposals, publications (both in progress and accepted for publication), participation in scholarly conferences or professional meetings, or readings of creative work
- * Faculty are encouraged to include those forms of intellectual activity that do not necessarily fall under the above-listed forms of traditional scholarship
- * Analysis of scholarly activity and scholarly activity component of workload.

III. Service

- * University committees and task forces
- * Service activities with regard to the profession
- * Other professional services (offices held in professional societies, consultations, workshops, etc.)
- * Visitors to college, student recruitment
- * Service activities related to the Division, the College, and standing or ad-hoc committees
- * Undergraduate advising activities (standing and/or ad-hoc committee service)
- * College Task forces
- * Local community service activities
- * Analysis of service and service components of workload.

IV. Other Accomplishments

- * Describe any other important accomplishments or activities which you deem appropriate
- * List any achievements and awards/recognition

V. Resource Needs

- * Statement of special problems or needs in instructional responsibilities and research activities which require additional resources or support

VI. Self-Assessment

- * Self-assessment of current activities in light of current year goals

Response to comments made in the previous year's RPT letters.

VII. Professional Goals for the Upcoming Year

- * Teaching/Advising
- * Scholarly, Professional, and Creative Activity
- * Service
- * Professional Growth and Development

Administration

- * Resources Needed
 1. Released time for course development
 2. Student/Research Assistant
 3. Computers or Lab Equipment
 4. Travel Money
 5. Professional Training Needs

VII. Signature of Division Chair and Faculty Member

- * Confirms that a meeting and discussion has taken place
- * The faculty member and Division Chair will compose a joint statement (to be signed jointly) that provides a full account of their meeting and expresses consensus while allowing for differences.

APPENDIX C – 8

DEPARTMENT OF HISTORY, PHILOSOPHY AND ART (RAYMOND WALTERS)

DEPARTMENT OF HISTORY, PHILOSOPHY, AND ART ANNUAL FACULTY PERFORMANCE REVIEW GUIDELINES

The full-time faculty of the Department of History, Philosophy, and Art in compliance with HB 152 and the University of Cincinnati and Raymond Walters College policy and procedures for annual performance review have established the following guidelines for conducting their annual performance review.

Each department member, either in writing or orally, shall provide the chair of the department a summary of his/her activities of the preceding academic year. The summary may address performance in any combination of the following areas: teaching, advising, educational innovation, research and creative activities, university, professional, and public service, and other accomplishments. The annual summary review should also include a statement of future goals of department members consistent with the college and department mission [as well as a statement of the resources needed to accomplish those goals]. The information provided by the faculty member shall be the basis of the annual performance review statement, which shall be jointly drafted by the chair and faculty member. The summary statement is to be signed by both the chair and the faculty member, and the faculty member must be given an opportunity to take exception to any part of the summary review statement.

Upon completion of the annual summary review statements for all department members, the chair shall transmit to the Dean of the College certification that the annual reviews have been completed. The certification along with the annual reviews have been completed. The certification along with the annual summary review statements shall be forwarded to the Dean, who shall return them to the chair following the completion of the Dean's certification of the college's annual performance review.

The original copy of the summary performance review statement shall be retained in the department's files for a period of three years. At the end of three years the summary review shall be returned to the faculty member.

This document may be revised by the department whenever circumstances warrant with the approval of the Dean and the Provost.

Revised by the Department of History, Philosophy, and Art
November 7, 1995.

APPENDIX C – 9

COLLEGE-CONSERVATORY OF MUSIC

Name: _____

CCM ANNUAL ADMINISTRATIVE REVIEW

2008/2009

In keeping with the State mandate, annual reviews of college administrators will be held each year other than those years in which administrators have undergone a reappointment review as specified in the CCM Bylaws.

Information for the review will be submitted to the Dean by May 30 each year and will be based on the position's job description, annual goals and objectives, and a self-evaluation in areas such as:

Leadership (establishing and achieving goals for the unit's program (curricula) faculty development, quality, teaching and student issues)

Administrative effectiveness (achieving balance between continuity and innovation, consensus building and decision making, communication and advocacy of discipline, college, unit, faculty and students)

Management (resources, personnel, curricular issues)

Service (college, university, national)

List any activities not covered elsewhere that you deem relevant to your role as an administrator:

What do you consider your most significant administrative effort(s) during this academic year?

Give a summary of your goals and objectives for the next academic year and how they complement and develop the mission and goals of your unit and the College-Conservatory of Music.

Dean's Comments:

Administrator's signature: _____ Date: _____

Dean's signature: _____ Date: _____

**COLLEGE-CONSERVATORY OF MUSIC
UNIVERSITY OF CINCINNATI
ANNUAL FACULTY REVIEW**

July 1, 2008 through June 30, 2009

Name: _____

Rank: _____

The Ohio legislature has mandated that each faculty member within the State College and university system undergo an annual performance review. In accordance with the procedures established for this review within the College-Conservatory of Music, each faculty member is asked annually to list and assess his or her accomplishments in the following areas (the same criteria used for reappointment, promotion and tenure decisions), and to briefly describe professional plans for the coming year.

- *Teaching and related activities*
- *Contributions to the discipline*
- *Professional development*
- *Contributions to the College and/or University*
- *Any other relevant activities*

The resulting document becomes the basis for an in-person review to be conducted by the appropriate division head or other administrative official. After meeting with the faculty member, the administrator will write comments in the space provided near the end of the document; the faculty member will then have the chance to react in writing to these comments. At the conclusion of the process, both individuals must sign the document. This review is seen as being complementary to each unit's mission and workload policy.

If more space is needed, please attach additional pages.

Teaching and related activities:

List your major field and responsibilities:

Describe your teaching and other activities that are directly related to your job at CCM, breaking the information down by quarter as appropriate. The description should include activities such as the following: courses taught (indicate course titles, course numbers, and credit hours); studio instruction; student productions supervised; regular master classes taught; independent studies supervised student performances, lecture recital documents, and graduate projects supervised, thesis/dissertation committees served on (indicate whether chair or member); student performances adjudicated; student advising; graduate assistants supervised; preparation of instructional material; development of new courses and materials; etc.:

Page Two

Teaching and related activities (continued)

Contributions to the discipline:

List your creative and research activities. This may include activities such as performances, recordings, compositions, publications in press or accepted for publication, etc. (major works in progress may be listed as well):

Professional development:

List those activities designed for professional growth:

Contributions to the college and/or university

List the committees you have served on, indicating those of which you served as chair. Also include other activities specifically serving the college or university:

Other relevant activities

List any other activities you deem relevant to your role as a faculty member:

What do you consider your most significant professional effort(s) during this academic year?

How do these activities complement and develop the mission and goals of your division and of the College-Conservatory of Music?

Give a summary of your professional goals and plans for the next academic year; this will be useful as a reference for your performance review at the next review cycle:

Administrator's comments:

Faculty member's response (optional):

Faculty signature: _____ **Date:** _____

Administrator's signature _____ *Date:* _____