**GUIDELINES FOR FACULTY PERFORMANCE EVALUATION (5-YEAR REVIEW) – AC40**

**COLLEGE OF EARTH AND MINERAL SCIENCES**

<https://policy.psu.edu/policies/ac40>

APPLIES TO

This College addendum to Penn State Policy AC40 applies to all tenured faculty in the College of Earth and Mineral Sciences

BACKGROUND

Tenured faculty will participate in a performance evaluation once every five years. The faculty performance evaluation (FPE) is intended to recognize accomplishments and foster future plans of faculty members who are contributing to the mission of the College and University and, in rare cases, to provide guidance to those not contributing meaningfully to the well-being of the College or University.  The goal of the evaluation is as much to promote future planning as to review past progress. In particular, the FPE is designed to encourage and assist those aspiring to increased impact or further excellence.

FPEs for tenured faculty members are a method for assisting and supporting faculty members to maintain vigorous contributions to teaching, research, and service throughout their careers.

FRAMEWORK FOR EVALUATION

The primary responsibility of each member of the EMS faculty is to contribute to the achievements of the University and the College in fostering the intellectual growth and progress of students, in advancing knowledge and understanding, and in serving society. To meet this responsibility, each member of the faculty must maintain and demonstrate a deep and career-long commitment to improving both personal and College capabilities in teaching, research, and service. It is recognized that the characteristics of the contributions and the balance between them may change as a career proceeds.

To enhance the strength of the College and to further the objective of maintaining vitality in teaching, research, and service throughout an academic career, the members of the EMS faculty accept and welcome increasing responsibility for the success of the College through a variety of activities, such as:

* Developing and participating in College-wide peer evaluation to improve EMS classroom teaching
* Mentoring early career faculty and fostering the professional success of others
* Developing and maintaining key contacts in industry and government
* Seeking professional recognition and awards for deserving colleagues
* Fostering meaningful interaction with students outside of class
* Serving in a governance capacity in support of departmental, College, or University goals

PROCEDURE GOVERNING THE EVALUATION

For tenured faculty undergoing their first FPE five years after receiving tenure, adherence to the Guidelines for the Consideration of Promotion of Tenure-Line Associate Professors at <https://www.ems.psu.edu/resources-faculty-and-staff/human-resources/guidelines-consideration-promotion-tenure-line-associate> fulfills this requirement.

For subsequent reviews, the FPE process is intended to provide an opportunity to review and acknowledge past achievements, and particularly to provide an opportunity for planning future activities. To help achieve these objectives, the EMS faculty member will be notified two semesters in advance of the upcoming review. Late in the Fall semester, the dean will send a letter to the faculty member requesting the submission of the following to the department head’s assistant as Microsoft Word documents:

* (1) A one-page document that:
  + Discusses current challenges in the faculty’s field and;
  + Summarizes key achievements over the last five years that provide building blocks to address these challenges. Discussion of accomplishments should be restricted to the past five years (see TENURE STAY/LEAVE POLICY below for exception).
* (2) A one- to three-page forward-looking document that:
  + Describes objectives for the next five years,
  + Details planned activities to achieve these objectives, and
  + Specifies milestones that can be used to assess progress.
* (3) A short CV that includes education, professional appointments, honors and awards, outreach, editorships and other examples of synergistic activities, papers, books, and other scholarly products published within the review period.  It is expected the length of this document would not exceed five pages.

The Dean’s request to the faculty member will include a request to the College’s Business Administrator to provide the faculty member, copying the department head’s assistant, with the following:

* (4) A summary of research support received by the faculty member over the previous five years (working with the Office of the Associate Dean for Graduate Education and Research.)
* (5) A list of courses taught with SRTE/SEEQ results for the past five years.

Following receipt of items 1-5 above, the department head’s assistant will assemble all five documents into a single Microsoft Word document in the order listed above and send the compiled document to the faculty member for final review. Once approved by the faculty member, the department head’s assistant will send the document to the Department Head on or before January 15.

The Department Head will write a review of the faculty member’s performance and future plans. The document, along with the Department Head’s letter, will then be submitted by the Department Head to the College’s Business Administrator on or before January 30. Outside letters will not be solicited nor considered as part of the review.

The College Faculty Performance Evaluation Committee (hereinafter called the FPE Committee) will review the materials (except the Department Head’s letter – this will be removed from the materials to allow the FPE Committee to make a judgement independent of the Department Head’s assessment) and prepare a written summary and assessment following this standard review process:

* A committee member who is not from the reviewed faculty member’s department will write the first draft of the FPE Committee’s review statement. FPE committee members should expect to be responsible for preparing one or more reviews.
* Another committee member, preferably from the reviewed faculty member’s department (unless there are noted conflicts of interest), should provide detailed comments on the first draft.
* The final draft will be prepared by the assigned FPE member after considering comments from the whole committee.
* The FPE Committee chair will produce the final versions of all evaluations for consistency and completeness.

The FPE Committee’s statement should reflect both the consensus and the breadth of opinion within the committee. Written comments of the FPE Committee should focus on accomplishment and future goals in accordance with college expectations. The evaluation should include a realistic appraisal of the candidate’s ability to achieve the proposed goals. The FPE Committee can include recommendations for action in support of a faculty member’s career goals. The file and accompanying letter will be sent to the College’s Business Administrator who will forward it to the Dean. The Dean will receive the Department Head’s letter separately.

Faculty members may request to meet with the FPE Committee as part of the evaluation.  Such requests should be made through the Dean’s office in late January, after the Department Head has prepared their review. The FPE Committee may request a meeting with a faculty member to discuss the evaluation. After the review is submitted to the Dean, the FPE Committee may request a meeting with the Dean to discuss a given case. The Dean may also consult with either or both Department Head and/or the FPE Committee prior to finalizing their letter.

LEAVE POLICY

When a faculty member’s approved leave (e.g., full year sabbatical, full year of leave) defers their five-year evaluation, the accomplishments and materials produced during the approved leave year are to be included in the next five-year review. In such instances, that review would include materials for the past six years, consistent in principle with the pre-tenure process and the subsequent review would be undertaken five years from the new date. As in any case, the evaluation will focus on quality and quantity of scholarly products – not time since degree, hire, or previous promotion.

COMPOSITION OF EVALUATION COMMITTEE

One tenured faculty member from each department of the College will be assigned to the FPE Committee. The faculty of each department (tenured and tenure-track) will establish and adopt its protocols for identifying its representative to the College FPE Committee. If a member of the FPE Committee is scheduled for a performance evaluation, the committee will convene without that member present to perform the evaluation. Tenured Associate Professors and Professors may serve on this committee. However, there should never be more than two Associate Professors on the committee. If more than two departments nominate Associate Professors to serve, then the decision about which two departments may have Associate Professors on this committee will be decided by drawing lots and the unsuccessful departments will be asked to nominate Professors instead. The Committee Chair may be either a Professor or Associate Professor, as determined by committee vote.

CONCLUDING THE EVALUATION

The Department Head will conclude the evaluation by meeting with the faculty member and discussing the written evaluations. At the faculty member’s request, they may also meet with the Dean. A copy of the written evaluations of the FPE Committee and the Department Head will be provided to the faculty member at the conclusion of the evaluation.

The first five-year review following tenure will follow the Guidelines for the Consideration of Promotion of Tenure-Line Associate Professors outlined at https://www.ems.psu.edu/resources-faculty-and-staff/human-resources/guidelines-consideration-promotion-tenure-line-associate. In subsequent five-year reviews the Department Head will reserve time to meet with each faculty member to discuss the review. If requested by the faculty member or Dean, a meeting will be arranged with the faculty member and the Dean to discuss the evaluation. A summary of the meeting will be shared in writing to the faculty member’s Department Head.

The Dean, in conjunction with the Department Head, will be responsible for initiating action, if any, in response to the evaluation. If improvements in performance are recommended, the faculty member and the faculty member’s Department Head will prepare an appropriate response, the implementation of which should be monitored by the Department Head. The Dean will be notified of the effectiveness of a plan to improve and enhance a faculty member’s performance on a two- and four-year interval. Finally, a clear link must be established between the performance review and faculty rewards.

For the vast majority of faculty who are effectively carrying out the College mission, the FPE Committee should make recommendations as to the appropriate recognition that could further enhance the quality of a faculty member’s work. The evaluation process may also identify faculty who need redirection or revitalization. In these cases, a development plan should be formulated to help the faculty member improve their academic contribution. If appropriate, such faculty development plans will be accompanied by institutional resources and assistance necessary for their successful implementation. The Dean will discuss the results of the evaluation and, if appropriate, recommend a plan of professional development. Any such development plan should be constructive in nature, and again, if appropriate, supported by institutional resources for implementation. In cases where a plan is developed, follow-through to ensure its implementation is required. At two- and four-year intervals, the Dean will review the progress of the development plan and, if necessary, adjust the approach.

TIMELINE AND SCHEDULE

Late in the Fall Semester of the faculty member’s 5th year (since the first 5-year review of an associate professor or the last FPE) the faculty member will be notified by the Dean’s Office that they will be up for FPE review in the Spring and will be instructed to begin assembling their documents.

January 15th - The faculty member’s documents will be due to the Department Head

January 30th – The complete package is submitted by the Department Head to the Dean’s Office

January 31st - The complete package (minus the Department Head’s letter) will be submitted to the FPE Committee

February (1st weekday) - The Dean will charge the FPE Committee and provide a summary of the review procedure

February (early) - The FPE Committee will normally begin meetings

NOTE: The performance of all faculty members, regardless of rank, will normally be evaluated ten-years after the award of tenure in the College and every five years thereafter, unless the faculty member underwent the promotion to professor process, in which case the next review will be five years after the completion of that process, whether or not promotion to professor was awarded. A FPE review will not be required if the faculty member is on a phased retirement plan or has a confirmed departure date from Penn State that is within the next 12 months. An FPE review will also not be required if the faculty is undergoing a Promotion to Professor review in the same semester as the FPE packet is due.

Examples:

* An associate professor reviewed in 2018 for tenure awarded in July 2019 would have faculty performance evaluations in academic years beginning in the fall semester of 2029. (A review in 2024 to be considered for Promotion to Professor would be required per the guidelines at <https://www.ems.psu.edu/resources-faculty-and-staff/human-resources/guidelines-consideration-promotion-tenure-line-associate> and would take the place of the first fifth year FPE review)
* If the faculty member was reviewed formally for Promotion to Professor in 2018 at the department and college levels, then a faculty performance evaluation would occur in 2023 regardless of whether the promotion was awarded in 2018.

REFERENCES

Policy AC40 Annual Evaluation of Faculty Performance (Formerly HR40) https://policy.psu.edu/policies/ac40

REVISION HISTORY

* Approved by the EMS Faculty 10/29/97 -Editorial changes (replacing “post tenure review” with “faculty performance evaluation”) to correspond with HR-40 revisions effective July 1, 1999 by JAD 2/8/99.
* Modified by the EMS Faculty Advisory Committee (to respond to the recommendations of the Senate Committee on Faculty Affairs, JSN 4/14/00) and approved by the EMS Faculty 10/30/01.
* Modified by the EMS Faculty Advisory Committee (to respond to policy HR-40 Evaluation of Faculty Performance approved by faculty senate on 12/11/07 and by the University President on 1/29/08) and approved by the EMS Faculty on 4/23/08.
* Modified per recommendations of the 2011-12 Faculty Performance Evaluation Committee, which were reviewed and approved by the EMS Executive Council (December 2012) and the EMS Faculty Advisory Committee (January 2013).
* Modified by Dean (to respond to handling of faculty stay/leave year in FPE) and approved by EMS Executive Council (March 17, 2015).
* Modified by Dean (to change routing of evaluation to Department Head and inclusion of optional meeting with Dean) and approved by EMS Executive Council and Faculty-Staff Meeting (November 23, 2015).
* Modified by EMS Faculty Advisory Committee (based on input from Dean and EMS Faculty Performance Review Committee) 29 March, 2018 and approved by Dean on 14 May 2018.
* Modified by EMS Executive Council and approved by Dean on September 27, 2022.
* Additional clarifications to page five (no FPE required for phased retirements and confirmed departure dates) – November 7, 2022.
* Additional clarification to page five (no FPE required if in the process of going up for Promotion to Professor) – January 11, 2024.
* Additional clarifications made regarding the required contents and format of the FPE packet, who obtains and collates the five components, the timeline, and who is responsible for ensuring the packet’s completeness. Also, removed redundant references to a 1996 document titled ‘EMS Expectations and Faculty Commitment’ – May 31, 2024.