

## **Faculty and Teaching Evaluation Department of Finance (Passed 10/30/98)**

### **Overriding Principles**

This faculty evaluation process is to be used to support faculty development. This performance based award system includes the following points:

- Faculty should be encouraged to plan activities that utilize their strengths, meet their responsibilities, and support the goals of the university, SBA and the department.
- Faculty should be encouraged to pursue opportunities that further develop and enhance their skills.
- Faculty will receive feedback at least annually regarding the appropriateness and consistency of their activities relative to their responsibilities, and to the SBA and departmental goals.

Faculty output should be evaluated based upon their responsibilities as articulated in the attached document, the goals of the department and the division. All efforts in these areas are to be taken into account in a broad fashion. That is, each faculty member's efforts should strive toward excellence in a mixture of teaching, research, and service consistent with their responsibilities, and the goals of the SBA and Department. Rewards should be based on merit and be allocated fairly across the division.

### **Goal**

Encourage faculty development through annual assessment of responsibilities, written evaluation of performance and allocation of a performance-based reward.

Based upon this goal, the following objectives are to:

- articulate clearly the responsibilities of faculty
- enhance faculty performance and development
- better utilize faculty skills
- provide for a common evaluation and reward framework
- support the strategic direction of the RTFS

The accomplishment of School and Department objectives requires the establishment of a process whereby the faculty understand their responsibilities required by the RTFS and the Department of Finance and direct their activities toward achieving excellence in a mixture of teaching, scholarship, and service consistent with the following articulated responsibilities. In addition, faculty will:

- be encouraged to seek workload assignments that better utilize their strengths and contribute to professional growth, and departmental and divisional goals.
- know their actual outputs will be rewarded fairly across the division.

The process should be as efficient as possible to permit the faculty to emphasize activity over planning. This document describes the details of the process. The first section provides an overview of the process. The second describes faculty responsibilities, evaluation policies, and

an explanation of the goal (or activity) setting process. Finally, the role of the Dean in this process is explained. The process applies to faculty teaching on all Miami University campuses.

### **An Overview of the Process** (Dates may change due to RTFSBA schedules)

- After January 1, but prior to March 1, all faculty complete the goal setting process with the Chair for the calendar year. The Chair and the faculty member will meet to discuss these identified goals
- By March 1, faculty will turn in their annual report for the previous calendar year.
- By May 1, the Chair provides a written assessment of the output of each faculty member which is based on the agreed goals set for the past calendar year as well as other factors positive or negative. This assessment is shared with the faculty member.

## **Faculty Responsibilities and The Evaluation Process**

### **Introduction**

All tenure track faculty and non-tenure track multi-year appointments are expected to develop and maintain a systematic and continuous strategy for acquiring and enhancing an understanding of current and emerging practices and issues in their various business disciplines and higher education that are relevant to high quality teaching, intellectual contributions, professional interactions, and service. Full-time, part-time, and casual instructors under annual appointments are not subject to this obligation.

Faculty responsibility consists of:

- teaching,
- intellectual contributions,
- professional interactions,
- service.

These four areas are viewed as complementary and overlapping rather than as discrete or mutually exclusive.

- **Teaching** involves a portfolio of activities that optimizes student learning. Effective teaching will engage students in the learning process and equip students with relevant content and the appropriate skills needed to effectively utilize this knowledge. These skills include critical thinking, analytical reasoning, communication and team/interpersonal skills. Teaching also includes supervision of independent studies and theses, course development, instructional innovations, and academic advising. All courses do not have to embrace all skills but these skills should be involved where appropriate.

- **Teaching Evaluation Plan**

The following is the Finance Department's Teaching Evaluation plan (see MUPIM 3.45.6).

- I. Faculty with Tenure: A teaching portfolio will be submitted as part of the annual report to cover all courses taught during the year. The following items are to be included as a minimum:
  - A. Statement of teaching philosophy.

- B. Administrative information: Course name, time of classes, instructional formats, grade distribution by class, unique characteristics of the class, class sizes.
  - C. Information generated by teacher: Course syllabi and sample exams with reflective commentary, samples of oral and written assignments, classroom innovations introduced, reading packets, guest speakers, and other ancillary materials prepared.
  - D. Information generated by others: Student written evaluations (quantitative and qualitative, from the SBA form), student papers (graded), communications from students and alumni.
  - E. Teaching honors and awards.
- II. Tenure-Track Faculty: A teaching portfolio covering all courses taught per year will be submitted as part of the annual report.
- A. Items (I. A-E) above must be included.
  - B. During each of years two and three of the probationary period, a formative peer evaluation will be done in consultation with the faculty member's mentor. (See Department of Finance Governance statement on probationary Faculty Mentor Program.)
  - C. Peer evaluations may be done during the last two years of the probationary period at the faculty member's request and then submitted if desired as part of the tenure/promotion packet.
  - D. Portfolio for tenure promotion packet should cover a variety of courses.
- III. Instructors: A limited portfolio containing items in I. B-E will be submitted as part of the annual report.
- IV. Information provided by this plan will be included as input to help evaluate the teaching portion of the faculty member's annual evaluation by the department.

- **Intellectual contributions** include basic scholarship, applied scholarship and instructional development:

**Basic scholarship** is the creation of new knowledge. Outputs from these activities are made available for public scrutiny by academic peers and practitioners through such means as publication in refereed journals, research monographs, scholarly books, chapters in scholarly books, proceedings from scholarly meetings, publicly available research working papers, and papers presented at faculty research seminars and professional conferences.

**Applied scholarship** is the application, transfer and interpretation of knowledge to improve business practice and teaching. Outputs from these activities are made available for public scrutiny by academic peers and practitioners through such means as publication in professional journals, professional presentations, public/trade journals, in-house journals, book reviews, and papers presented at faculty workshops and professional conferences.

**Instructional development** is the enhancement of the educational value of instructional efforts of the institution or discipline. Outputs from these activities are made available for public scrutiny by academic peers and practitioners through such means as textbooks, publications in pedagogical journals, written cases with instructional materials, instructional software, publicly available materials describing the design and implementation of new courses, materials developed for continuing professional education activities, and professional conferences.

- **Professional interactions** include professional experiences (e.g., work in private industry, government, and not-for-profit organizations; leading or participation in continuing professional education activities; and internships and consulting engagements), achieving and maintaining professional certification, professional organization activities, and attending meetings with professionals on or off campus.
- **Service** includes university, college, department and professional or academic organization activities.

### **Responsibilities**

Each tenure-track faculty member will be involved on a continuing basis, in teaching, intellectual contributions, professional interactions, and service.

Faculty members must demonstrate to their department chair, personnel committee, or other appropriate departmental body that they have continuing activity in each of these areas. In the area of intellectual contributions, the faculty member must demonstrate activity each year, not necessarily output subject to public scrutiny. However, such activity must over time result in projects coming to fruition in a forum subject to public scrutiny.

### **Evaluative Process**

Effective teaching is the highest priority for faculty, both individually and in the aggregate. During a specific period of time (e.g. Assigned Research leave, or administrative assignment), a faculty member may place a higher priority on an activity other than teaching.

The relative contributions and involvement of each faculty member in each of the areas of teaching, intellectual contributions, professional interactions, and service, may vary among the faculty, subject to the constraints that (a) the faculty workload, in the aggregate for each faculty member, will be equivalent across the relevant cohort group (i.e., all tenure-track faculty and all full-time non-tenure-track faculty), (b) the teaching load for each tenure-track faculty member ordinarily will be 9 credit hour but not less than 6<sup>1</sup> nor greater than 12 credit hours per semester, the teaching for each full-time non-tenure-track faculty member ordinarily will be 12 credit hours per semester, the faculty workload, on a portfolio basis, will be consistent with the Department's, School's and University's mission, AACSB standards, and Ohio Board of Regents' guidelines.

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<sup>1</sup> Note: The 6-hour lower limit does not include grants that result in course buyouts.

The relative contributions and involvement of a faculty member in each of the areas of teaching, intellectual contributions, professional interactions, and service also may vary over time. Furthermore, as there can be a relationship between experience and /or length of time and the ability to contribute significantly in some areas (e.g. curriculum development, professional organization activities, and service) and to capitalize on the individual strengths of faculty, a faculty member's relative emphasis among the areas of intellectual contributions, professional interactions, and service may shift throughout an academic career.

For example, in concert with University criteria for promotion and tenure, non-tenured tenure-track faculty ordinarily should focus on teaching and intellectual contributions rather than professional interactions and service during their probationary period. Tenure-track faculty at the rank of associate professor ordinarily should focus on developing a record of excellence in at least two of the three areas of teaching, intellectual contributions, and service (including professional interactions). Full professors should contribute in all areas but should focus and provide leadership in at least one area.

As the School has a mix of undergraduate and graduate programs, but no doctoral programs, the intellectual contributions of the faculty, on a portfolio basis, will include basic scholarship, applied scholarship, and instructional development.

The relative value of intellectual contributions will be determined on the basis of quality and impact. Contributions of equal scholarly merit, regardless of their category, will be valued equally.

The relative value of contributions in the areas of professional interactions and service will be determined on the basis of a combination of the activity's effort and impact and significance relative to the Department's, Division's, and University's mission and the quality of the faculty member's performance of that activity.

The relative involvement in professional development activities will be determined on the basis of the impact both to the faculty member and to the Department's, Division's, and University's mission, objectives, and goals.

The measurement of faculty productivity is expected to be equivalent for each faculty member across all tenure-track faculty and for each faculty member across all full-time non-tenure-track faculty.

### **The Goal Setting Process**

An important part of facilitating the process of directing faculty activities, fully utilizing faculty skills and faculty development is accomplished through a goal setting process.

The goal setting process involves both the faculty member and department Chair. Working together goals and activities will be identified to meet responsibilities, and to best utilize the individual's skills to the betterment of the division, the department, and the professional community at large. That is, the faculty development plan for an individual faculty member should be related her or his responsibilities to the SBA and departmental goals.

Participation would include not only guidance through the goal setting process but would also include providing help and direction in meeting a faculty's responsibilities and achieving SBA and University goals. This interactive process is completed with a written agreement between the Chair and faculty. The Chair will subsequently produce a written evaluation of his/her assessment of each faculty member's activity consistent with the stated responsibilities and the goal setting process. Faculty merit pay increases should be consistent with the evaluation of a faculty member's responsibilities and this process.

**Role of the Dean**

The Dean is responsible to provide the resources that may be required for individual faculty development or achievement of the goals of the SBA. The Dean's role also includes mediating conflicts between the Department Chair and the faculty member.

Attached: Suggested Evaluation Forms (3)

**DEPARTMENT OF FINANCE  
FACULTY SELF-EVALUATION FORM  
(Faculty use)**

This form is an evaluation guide and covers the preceding calendar year.

Faculty Name \_\_\_\_\_ Year \_\_\_\_\_

EVALUATION AREAS

INSTRUCTION

RESEARCH

SERVICE

\_\_\_\_\_  
Faculty Signature

\_\_\_\_\_  
Date

COMMENTS OF DEPARTMENT CHAIR

\_\_\_\_\_  
Department Chair Signature

\_\_\_\_\_  
Date

Copies sent to faculty member

Date \_\_\_\_\_

**DEPARTMENT OF FINANCE  
FACULTY GOAL-SETTING FORM**  
(Faculty use)

This worksheet is a planning guide. Progress on these goals is one element to be considered in the total faculty-evaluation process for next calendar year.

Faculty Name \_\_\_\_\_ Year \_\_\_\_\_

STATED GOALS:

INSTRUCTION

RESEARCH

SERVICE

\_\_\_\_\_  
Faculty Signature

\_\_\_\_\_  
Date

COMMENTS OF DEPARTMENT CHAIR

\_\_\_\_\_  
Department Chair Signature

\_\_\_\_\_  
Date

Copies sent to faculty member

Date \_\_\_\_\_

**DEPARTMENT OF FINANCE  
FACULTY EVALUATION FORM  
(Chair use)**

This form is used to evaluate the faculty member's progress toward meeting goals as stated in the faculty goal-setting form.

Faculty Name \_\_\_\_\_ Year \_\_\_\_\_

INSTRUCTION

RESEARCH

SERVICE

\_\_\_\_\_  
Faculty Signature

\_\_\_\_\_  
Date

COMMENTS OF DEPARTMENT CHAIR

\_\_\_\_\_  
Department Chair Signature

\_\_\_\_\_  
Date

Copies sent to faculty member

Date \_\_\_\_\_