
 جامعة الإمارات العربية المتحدة United Arab Emirates University 	<b>Academic Personnel Policies Manual</b>	Policy Number	AP-05
		Effective Date	02-Mar-2014
	<b>Subject</b> Faculty Performance Review	Most Recent Review Date	01-Dec-2013
	<b>Responsible Office:</b> DVC for Academic Affairs	Due Date for Next Review	01-Sep-2016
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## 5. Faculty Performance Review

### Overview

Details the requirements and process by which the performance of faculty members is monitored, judged and developed.

### Scope



Applies to regular faculty members except those in College of Medicine and Health Sciences.

### Objective

Provides indicators that assess levels of faculty performance and the extent to which this performance supports Department, College and University Strategic Plans, generates a narrative report outlining strengths and points of possible improvement in the faculty's performance, gives direction for future planning, and identifies the resources needed to support faculty development.

### Policy

1. The Faculty Performance Review is an evidence-based and peer-reviewed process that guides the professional development of faculty.
2. Faculty members are reviewed for their performance in teaching, scholarship and service, and their collegial conduct. In the context of the University's Mission of becoming a world-class research-intensive university, scholarship assumes a vital role in the performance review.
3. The Faculty Performance Review informs decisions pertaining to promotion and renewal of faculty appointments.
4. The review of the faculty performance is based on a self-study report that is supported by evidence of achievements provided by the faculty member.

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## Procedures of Policy No. (5) - Faculty Performance Review

### 1. General

The Faculty Performance Review process is based on the academic values of collegiality, peer review, and collective critique. It requires the application of the academic skills of critical reasoning and impartial judgment based on available evidence.



### 2. Frequency of the Process

- a) The faculty performance is reviewed annually by the Department Chair and every other year by the Department Performance Review Committee and the Dean.
- b) For a typical faculty member, the process will start in the first year of joining the University through the preparation of an 18-month work/activity plan starting from the date of initial appointment. The interim review will take place before the end of the first academic year. The self-evaluation report will be prepared by the end of March of the following academic year and the review process should be completed before the end of the second semester of that academic year.
- c) If the faculty member successfully completes the probationary period, the same process will be repeated in the third year and fourth years of appointment. Faculty members with rolling contracts will be subject to the same process.

### 3. Timeline

The following timeline should be considered in the planning and review of faculty performance.

Activity	Deadline		Responsibility
	Start	Completed	
<i>Year one</i>			
Preparation of faculty work plan	mid September	end of September	Faculty
Review and approval of work plan	early October	Mid October	Department Chair
Interim review	mid May	end of May	Department Chair
<i>Year two</i>			
Self-study report on performance	mid March (following Academic Year)	end of March (following Academic Year)	Faculty
Departmental review committee report	early April	early May	Committee
Department Chair review	early May	mid May	Department Chair
Report sent to individual faculty		mid May	Department Chair
Individual faculty response on report	mid May	end of May	Faculty
Dean's review and evaluation	early June	mid June	Dean

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#### 4. Preparation of the Work Plan



- a) At the beginning of the academic year, each College holds a workshop that focuses on the College strategic plan and discusses how Department plans dovetail with the College plan. The workshop sets the context for the faculty members' planning and review process.
- b) Each Department's plan sets out directions and standards for faculty members in the areas of teaching, scholarship and service. The balance of contributions will depend on individual circumstances, such as rank and length of service. A Department Plan is established by the Department Chair in consultation with the faculty in the Department and should be considered a collegial activity and shared commitment.
- c) Faculty members draft their goals for a period of 18 months in the context of the Department Plan. Goals should be specific, measurable, achievable, relevant and timed. They may contain short-term objectives that are steps towards the achievement of a longer-range goal. Dependencies, where the individual 'depends' on someone else or something to achieve a set goal, should be identified within the goal setting process.
- d) The faculty member's draft plan is reviewed, discussed and adjusted as needed by the Department Chair together with the faculty member. Once agreed upon, it is submitted to the Dean.
- e) The Department Chair writes a concise report including his or her comments on the submitted plan and the resources and development needs that have been identified by each faculty member. This report is provided to the faculty member and submitted to the Dean.

#### 5. Interim Review

Within the second half of May, the Department Chair should call for a formal interim review meeting with each faculty member to discuss progress towards achieving goals on the work/activity plan. Discussion will include issues requiring resolution and the failure of dependencies. Goals set at the outset of the 18-month period might be revised as a consequence of the discussion. The Department Chair should give feedback to the faculty member on the qualities of his/her contributions to date and provide quantitative assessment for the performance of the faculty in teaching, research and university and community services based on the progress made during the first year of the review cycle. The feedback should be constructive and motivational.



#### 6. Self-Study

Each faculty member prepares the self-study. It should be an open, frank and reflective account of performance against the activity/work plan. It should explain the conditions that facilitated or prevented successful achievement of goals. It is the responsibility of each individual faculty member to ensure that the best available evidence related to his or her performance is submitted together with the self-study to the Department Chair by the deadline.

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## 7. Departmental Review Committee

- a) The Departmental Review Committee is appointed by the Dean in consultation with the Department Chair. The Department Chair is not normally a member of the Committee. The Committee should include at least two faculty members from the Department. The third member of the Committee should be a professor, who can be from the same or a different Department in the College. The Committee should be chaired by a professor. Nominated members should identify any potential conflict of interest with the faculty member being evaluated. In such cases, the Dean will decide if they should be permitted to serve in the Committee or not.
- b) The Department Review Committee should meet with the Department Chair to discuss the review process and its narratives.
- c) In large departments, responsibilities for an initial review of individual faculty submissions may be delegated to an individual member of the Review Committee who will produce a report for consideration of the whole committee.
- d) The review process and its outcomes are confidential to the Department Review Committee and the Department Chair. Members of the Department Review Committee are responsible for ensuring confidentiality, collegiality, impartiality and absence of external interference in the process.
- e) The Departmental Review Committee will use the self-study and the available evidence to form reasonable and justifiable conclusion that will be set out in the form of a narrative. The narrative should indicate:
  - (i) the performance level in the three areas and the extent to which goals have been met or not;
  - (ii) mitigating factors affecting faculty performance over the planned period, e.g. failure of dependencies, illness, etc.;
  - (iii) support, resource and development needs; and
  - (iv) suggestions for goals for the forthcoming cycle of planning and review.
- f) The Chair of the Department Review Committee is responsible for the fulfillment of evaluation based on the related policies. The Chair may ask the faculty member under review for additional evidence should this be needed to assess the extent to which a goal has been met.
- g) Decisions are made by consensus or a majority vote in the case of failure to agree. The Chair of the Department Review Committee will notify the Department Chair of such disagreement and document this within the review report. The Review Committee Chair finalizes the report and submits it to the Department Chair.
- h) The Department Chair will determine if further consideration by the Review Committee is required in which case the Department Chair will require the Committee to reconvene.
- i) The Department Chair will confirm that the review process has been completed properly.
- j) The Department Chair should write a response to the Review Committee's report on each faculty member. The response should, at minimum, comment on the collegiality

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of the faculty member and give recommendations for goals and other actions for the subsequent work plan.

- k) The Department Chair will send the combined report to the faculty member, who may write a response and send it back to the Department Chair by an agreed deadline.
- l) All reports and responses are sent to the Dean for final review and evaluation.

## 8. Department Chair Responsibility

- a) The Department Chair should ensure effective communication with all faculty members about the process, requirements and deadlines for work/activity planning and review process. He/she should discuss, review and revise as needed.
- b) The Department Chair should conduct an interim review as set out in these Procedures and quantitatively assess the performance of the faculty based on the reported achievements.
- c) The Department Chair should not participate in the work of the Departmental Review Committee until he/she receives the narrative evaluation reports for each faculty member from the committee.

## 9. Role of the Dean

- a) The Dean reviews all reports in the evaluation of the performance of faculty members and comments from the Departmental Review Committee, the Department Chair, and the faculty member's response.
- b) The Dean has the final decision in all matters pertaining to the planning and review process, including management of any grievances.

## 10. Grievance

Where a faculty member has a grievance over the operation or outcomes of the planning and review process, the faculty member must provide a written account directly to the Dean. The Dean should respond to such cases within ten working days of receiving the complaint.