
Conducting Effective Faculty Reviews

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Conducting Effective Faculty Annual Reviews:

- Purpose of annual reviews
- Rationale
- DEO role
- Faculty engagement vs underperformance
- Strategies for managing performance issues
- Share concerns/best practices

What are the Purposes of the Faculty Annual Review?

- Assessment – both retrospective and prospective
- Engagement
- Mentoring
- Documentation



Rationale

- Faculty are our most important resource
- Faculty deserve feedback
- There must be a balance between faculty independence and self direction, and the mission of the unit and University
- Transparency and clarity are essential to an effective process.



Rationale

- Faculty should participate in the process of evaluation and development.
- Faculty career development is ongoing even though writing the review is an annual process.
- Expectations may/should change over the faculty career. The annual review is part of a larger picture of growth and development.

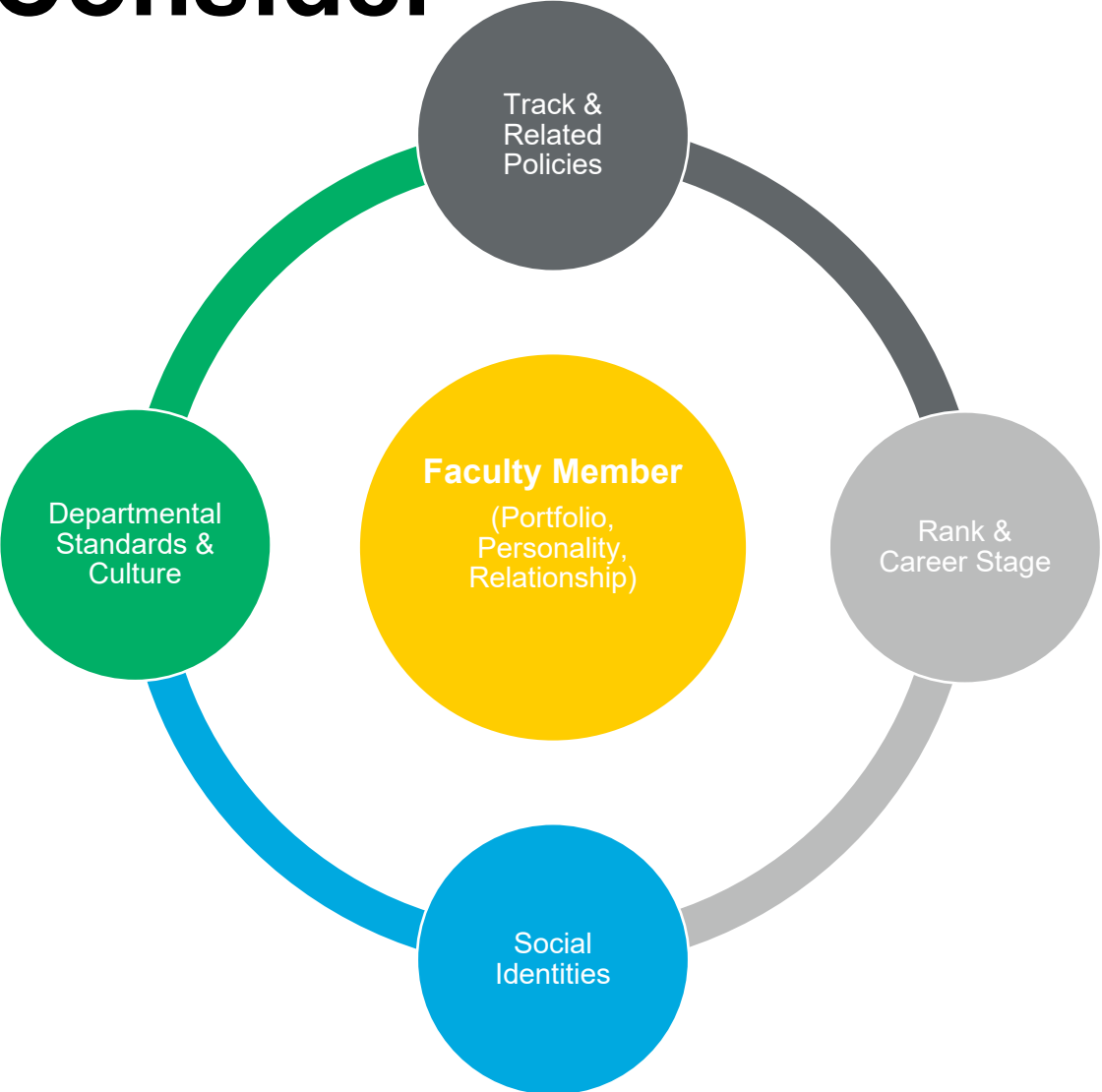


Rationale

- “Merit” pay decisions require an effective performance appraisal.
- Equity is the issue in compensation, internal and external, not just amount.



Factors to Consider

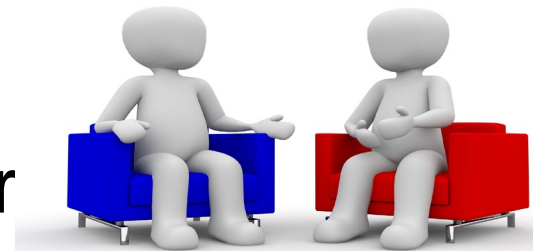


As a DEO:

- Establish clear **departmental standards and expectations**
 - What are the expectations for scholarship, teaching and service?
 - How do you assure equitable distribution of workload?
 - This may be related to rank/track
- Articulate the **process** that will be followed for conducting the reviews
 - What do you expect the faculty to provide?
 - CV, personal statement, self assessment?
 - How do the materials get to you?
- Encourage faculty members to perform a **self-assessment** of past year performance
 - Review goals set previously
 - Determine progress towards promotion where applicable
 - Outline any concerns/impediments faced during previous year

As a DEO:

- Conduct **performance feedback sessions**, as required by departmental/collegiate process.
- Should be face to face
 - Address previous goals; set new goals
 - Discuss success/impediments from previous year
 - Provide specific examples
 - Assess/address progress towards promotion if appropriate
 - Document and address issues of professionalism
 - What else do they need? Do not overpromise



As a DEO:

- Develop **written documentation of the performance review** process and outcomes, per collegiate requirements; share documentation with the faculty member and place in ePersonnel file.
- The faculty member has rebuttal rights – but cannot change the document. If writes a rebuttal it travels with the review.
- If you delegate this responsibility you need to ensure the evaluator knows the parameters of what you would be willing to support and any other observations you may have.



Professionalism

- In our environment the issue of professionalism has loomed large as a concern
- Addressing issues is an important part of the annual review
- It is not a stand alone to deny promotion and/or tenure
- However, addressing concerns early may prevent issues down the road
 - <https://opsmanual.uiowa.edu/human-resources/professional-ethics-and-academic-responsibility>



Questions to Help Achieve Discussion During the Faculty Review Meeting

Use open-ended questions to get the conversation going. Avoid "YES-NO" responses to promote conversation.

- What have been your successes in teaching, research, service, and outreach over the last year?
- In what areas could you improve?
- What ideas do you have for further developing your career?
- What have been the most difficult problems that you have faced?
- Where do you see your future in the unit, the profession?
- How do you see this position developing?
- How can I help you?

Actionable Feedback

- The reviewee should leave the meeting knowing:
 - What the expectations are
 - How well they are meeting the expectations
 - What they are doing well
 - Where they could improve performance
 - What resources may be available to them
 - Whether shorter term follow up is needed
- Some listen better than others
 - Hence the importance of follow up documentation

Managing performance





Direction

Ability

Clarity

Poor Performance results from a lack of

Motivation

Confidence

Why bother?

- Managing underperformance is a huge energy drain
- Managing underperformance distracts from other things

- And...
- Demonstrating concern can change performance
- Demonstrating the will sends messages to others in the group
- Mitigating the cost of NOT managing the performance is key

How to prepare

Let's be honest – these are hard

- Prepare yourself; have a loose agenda with talking points
- Consider role play with a trusted colleague
- Mind shift – it is NOT the person – it is the situation
- Do you need to be right – or do you want to be effective?
- Can you change their personality? No, but perhaps you can change the behavior

In the meeting

- Keep your mind open to possibilities and alternatives
- Listen carefully and actively
- Show empathy and compassion
- Be prepared to hear something you were not expecting
- Problem solve
- Provide resources

CONFRONTING NEW/CONTINUED PERFORMANCE ISSUES

- Open the meeting - state what you've observed
 - I have a concern...I want to discuss (“I” statements)
- Wait for a response – are you getting agreement?
 - If no, change is going to be difficult but persevere!
 - If yes then it is important to
 - Cite examples; review past discussions; clarify consequences both natural and imposed
- Remind them of the goal
 - This can lead to a review of expectations; unit goals

CONFRONTING NEW/CONTINUED PERFORMANCE ISSUES

→ Ask for specific solutions - discuss alternatives - get commitment to act

- Ensure the individual is part of the solution
- Prepare to be flexible – this is in part a negotiation

→ Agree together - close the meeting

- Summarize what you have heard to ensure clarity

→ Prepare a written summary of the meeting

- Include any agreements and resources

Group Discussion

- What are the **most challenging aspects** of conducting useful and effective faculty annual performance reviews in your unit?
- What **strategies** have you used to implement effective and meaningful annual reviews?



Conclusions

- Regular faculty review is critical for development and engagement
- Expectations should be clear
- Examples should be given
- Feedback should be actionable
- Successes and concerns should be addressed and documented

Relevant Policies

→ Tenure track probationary

- <https://opsmanual.uiowa.edu/human-resources/faculty#10.5>

→ Post tenure review

- <https://opsmanual.uiowa.edu/human-resources/faculty/review-tenured-faculty-members>

→ Clinical Track

- <https://opsmanual.uiowa.edu/human-resources/faculty#10.9>

→ Instructional Track

- <https://opsmanual.uiowa.edu/human-resources/faculty#10.11>

→ Research Track

- <https://opsmanual.uiowa.edu/human-resources/faculty#10.10>

→ Faculty Dispute

- <https://opsmanual.uiowa.edu/human-resources/faculty-dispute-procedures>