

Instructions for Annual Faculty Performance Evaluations

March 2008

Annual Faculty Performance Evaluations cover the period from March 1 of the previous year to the last day of February of this year. This review process is for ladder-rank faculty and Research Associates (postdocs). The [Process and Evaluation Criteria](#) for ladder-rank Faculty and Research Associates has no substantial changes from previous years.

Due Date

All documents from the appointee and the supervisor must be submitted to the Office of Academic Affairs by **April 11, 2008**.

Changes for This Year

- This year, all documents (preferably as MS Word files) are to be submitted electronically to both the supervisor and the Office of Academic Affairs with the exception of the Transmittal Form. Please follow the file naming convention described below.
- A hardcopy of the Transmittal form is to be submitted with all appropriate signatures by **April 11, 2008**.
- The [Report of Consulting and Outside Professional Activity](#) form has been designed to provide prompting questions that facilitate capturing appropriate activities.
- Unlike last year, deliverables for grants and contracts do not need to be verified by Academic Affairs. At the discretion of the Center Director, such documentation may be required at the Center level.

Appointee's Responsibilities

Each appointee must submit simultaneously by email to both their supervisor and to the Office of Academic Affairs (burrell@umbi.umd.edu):

1. an updated CV (rename the file to username _CV_2008.doc),
2. a report of the past years activities as described in the [Process and Evaluation Criteria](#) (rename the file to username _AppReport_2008.doc),
3. a [Report of Consulting and Outside Professional Activity](#) (rename the file to username_COC_2008.doc), and
4. if appropriate, a [Conflict of Interest Report](#) (rename the file to username_COI_2008.doc)

5. any additional document(s) the Center Director or supervisor may require for the evaluation of the appointee's activity (rename the document(s) username_AppAdd#_2008.doc where "#" is replace with an incremental number).
6. optionally, comments addressing the Supervisor's Narrative Performance Evaluation may be submitted (name the file username_rebut_2008.doc)

Supervisor's Responsibilities

After the supervisor conducts a review of the appointee, the supervisor must:

1. submit a Supervisor's Narrative Performance Evaluation **electronically** simultaneously to the supervisor at the next higher level (or the Center Director) and to the Office of Academic Affairs (burrell@umbi.umd.edu). Please rename the file for each appointee to the appointee's username _SuperReport_2008.doc.
2. submit a **hardcopy** of the Transmittal Form to Academic Affairs with all appropriate signatures by **April 11, 2008**.

Nota Bene

- The Transmittal Form can be filled out on your computer, saved, and transmitted to the supervisor electronically but a signed hardcopy must be received by the Office of Academic Affairs.
- The Transmittal Form functions as both a checklist and a routing sheet for transmitting the performance review documents. It is not in and of itself an evaluation form. The "Overall Performance Evaluation" check boxes are provided to facilitate the identification of individuals for whom a performance improvement plan is needed.
- Conflict of Interest in Research or Development reporting for individuals with current exemptions must be provided annually and upon termination of the "interest" (see [policy and link to the form](#)). Individuals contemplating relationships with entities engaged in research or development that would otherwise be in violation of the Maryland Public Ethics Law should seek an exemption as described in the policy.
- In order for an employee to receive a merit increase, a complete performance review must be on file for the employee. A late performance evaluation may cause a delay in implementation of any merit increase and additional work on the part of your HR/payroll offices.
- For the evaluation of Faculty Research Assistants (FRAs), the [PMP forms and process](#) should be used as in years past. All of the forms and instructions are posted on the [HR website](#).

Process and Evaluation Criteria For Ladder Rank Faculty and Research Associates

Purpose

[UMBI's Policy II-1.20](#) (A) *Evaluation of Performance of Faculty* establishes the requirement that faculty performance be reviewed on an annual basis.

Evaluation of the performance of faculty shall be part of a larger faculty development program, designed to enhance the professional abilities of the faculty as scholars, educators, and members of the academic community. All faculty members, ladder-rank and non-ladder-rank, shall be subject to an annual review that assesses the faculty member's performance.

The annual evaluation shall be a formative process for future faculty development, for enhancing the learning environment and for improving the academic program to which the faculty member contributes.

The annual faculty evaluation is based upon the job description and upon work scopes developed during annual evaluation. Review of ladder-rank faculty shall include an evaluation of research/scholarship, contributions to economic development, education and training, and service. The review should explicitly examine progress toward meeting the criteria for promotion and/or tenure as appropriate. Scheduled reappointment, comprehensive, promotion and/or tenure reviews for the coming academic year should be discussed and noted in the Supervisor's Narrative. For Research Associates, some key elements in the evaluation are:

- ability to carry out independent research and/or to collaborate in group research at an advanced level;
- technical competence in research procedures;
- ability to interpret data;
- ability to show responsible approaches to research assignments (collegiality and reliability).
- productivity.
- ability to write reports (manuscripts, grant applications, research reports)
- ability to develop new techniques and approaches.
- ability to identify new research problems.
- ability to mature in his/her ability to organize and manage a research laboratory.
- readiness to take the next career step

Process

The annual review begins with the faculty member's submission to their Center Director (or supervisor for Research Associates) by March 1 of each year the following: an annual activities report and updated *curriculum vitae*, their Report on Consulting and Outside Professional Service, and for individuals with current conflict of interest exemptions, the most recent Research or Development Interest Disclosure Form.

The appointee's annual activities report should cover progress and activities during the previous 12 months (March 1 of last year to the last day of February). The report should provide information on the following items as they apply to the appointee's position:

1. Accomplishments during the review period that are particularly notable and/or that you are particularly proud of as well as special assignments, education, training, honors, and awards.
2. Proposals written and grants or contracts awarded during the performance period (list title, agency, amount)
Submitted:
Awarded:
3. Publications (by type):
Submitted:
Accepted:
4. Presentations (Meetings/Conferences, University, Company)
5. Other Reports
6. Honors and Awards
7. Collaborative Research (specify partners and their affiliations)
8. Education Activities:
Courses Taught
Trainees Mentored (Postdoc, Graduate, Undergraduate)
Other Education Activities
9. Economic Development Activities
Industrial Interactions
Invention Disclosures
Patent Applications
Licensing Agreements
Other Economic Development Activities
10. UMBI/USM Service Activities
11. Short or long term goals for your development as an employee, changes to your assigned job duties and responsibilities that you would like your supervisor to consider.
12. Additional Topics for Discussion

Supervisor's Narrative Performance Evaluation

The supervisor's written narrative is more than a summary of research results obtained during the performance period; it should discuss all aspects of the appointee's performance and recommendations for future development. Any changes to performance expectations for the coming year should be documented. [Sample narratives](#) are available that illustrate the inclusion of professional guidance for fictional appointees, one that is performing at a high level and the other in need of improvement. The performance review discussion is an opportunity for supervisors to ensure that their appointees are up-to-date with submission of paperwork appropriate to their individual circumstances.

Annual Performance Evaluation Transmittal

The Supervisor should complete the Annual Performance Evaluation Transmittal Form, marking the appropriate Overall Performance evaluation (either Satisfactory or Needs Improvement). For an Overall Evaluation of "Needs Improvement," the supervisor should include in the Supervisor's Narrative Performance Evaluation a plan for improving the faculty member's performance. Once all signatures have been obtained, a hardcopy of the original form should be mailed to the Office of Academic Affairs for review and forwarding to UMBI's Office of Human Resources.