

Academic Chairpersons' Conference 2017

Performance Management or "Herding Cats"? Strategies to Support Faculty Success

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Discussion questions

- 1. How long have you been chair?*
- 2. How long is your term/contract as chair?*
- 3. Were you hired as chair from within the department or come from the outside?*
- 4. In your college/university, do you have the responsibility for faculty performance?*
- 5. In your college/university, do you have the authority for faculty performance?*
- 6. Have you been provided clear expectations from your dean as to your responsibilities in performance management of departmental faculty?*
- 7. Do you have the support of your dean in managing difficult faculty?*
- 8. What are the typical performance issues that occur in your department?*
- 9. What are the barriers you encounter when holding faculty accountable?*
- 10. What is the hardest part of managing faculty performance?*

Scenario 1 – Dr. Alex Summers, tenured, associate professor

- Dr. Summers was promoted to Associate Professor with tenure four years ago and is eager to present his case for early promotion to professor.
- In your annual evaluation meetings, Dr. Summers has made clear to you that he views himself as one of the top producing faculty in the department very deserving of early promotion (*“I am the top producing faculty member in the department and I expect to be recognized as such!”*)
- He has been successful in publishing refereed articles in solid journals, and he is increasingly being invited to speak at other campuses (4 times within the last year).
- For the past two years Dr. Summers has been associate editor of his discipline’s top-tier journal.
- Dr. Summers’ student evaluations are in the mean range for the department.
- Dr. Summers insists on having just one course prep each semester; he demands a teaching assistant even though their class size doesn’t quite meet the requirement and you have acquiesced. He will only teach on Tuesday/Thursday so that he can devote MWF to his research.
- Since earning tenure, Dr. Summers has become increasingly isolated from the “life” of the department.
- Dr. Summers has very limited institutional service commitments for an associate professor (one department committee), doesn’t attend faculty meetings (25% attendance rate in the previous year), and does not attend the end-of-year student convocation.
- Dr. Summers is focused entirely on his own career advancement. He believes that this is what makes him a successful faculty member.

Current situation: As department chair you are responsible for assigning every faculty member to one of the multiple Curriculum Review Committees (CRCs) in the department. Each CRC corresponds to a specific sequence of classes and has three faculty assigned to it.

Immediately after you e-mail out this year’s committee assignments to faculty in the department, you receive an e-mail reply from Dr. Summers saying, *“Thanks, but no thanks. I don’t have time for this committee assignment because I need the time to focus on my research and other scholarly activities that will lead to my early promotion.”*

Questions:

- 1. What are the performance concerns you identify?***
- 2. Is this faculty member meeting your performance expectations? If not, why?***
- 3. Are the expectations clear to them? To you? How do you know?***
- 4. How can you provide this faculty member with clear performance expectations?***

Scenario 2 - Dr. Silvia Machado, tenured, Professor

- Professor Machado has been a faculty member at the university for 20 years.
- She was once an important influence in her field, with many publications and citations, and a strong record of external grants in support of her research, lab, and students. In the last 6 years, however, her productivity has all but disappeared and she is barely active in her field.
- Professor Machado has a well-established reputation for being “rude” and “mean” to faculty colleagues, staff, and students.
- She regularly berates and is condescending to staff in the office in the presence of faculty and students, and she doesn’t hesitate to shout (using a loud and forceful voice) at graduate students in her lab, especially if they make a mistake.
- There is a documented exodus of graduate students and undergraduate research assistants from her lab due to her persistent intimidation, unrealistic expectations, and demoralizing treatment. Students have refused to come forward with any formal complaints because they are afraid of retaliation. Dr. Machado teaches just one graduate seminar per semester which enrolls only a handful of students, fewer than the college’s minimum enrollment, but you do not want to have her teach elsewhere in the curriculum.
- At faculty meetings she has called other faculty “incompetent” or “dumb”, and usually refers to other people’s ideas as “stupid”.
- For the past three years, you have documented in her annual evaluation that she needs to improve her interactions with others, whether students, staff, or faculty, however, you have always given her satisfactory ratings in part because of her scholarly reputation.
- There is no collegiality statement in the department’s governance documents.
- There are a few other faculty in the department who exhibit some of the same behaviors, but not nearly to the same degree.

Current situation: Professor Machado’s behavior has reached a tipping point. Most recently, she attended a fundraising event where she offended with her unprofessional behavior and comments one of the university’s most loyal donors. The dean, at your last one-on-one meeting, has told you to “do something about Dr. Machado: calibrate her! ”

She will be coming to see you for this year’s annual performance review discussion in one hour.

Questions:

1. What are the performance concerns you identify?

2. Is this faculty member meeting your performance expectations? If not, why?

3. Is this faculty member focused more “inwardly” or “outwardly”?

4. Do you feel this faculty member is motivated to change (i.e. to perform to your expectations)?

5. Do you feel this faculty member has the ability to change (i.e. perform to your expectations)?

6. How could the department peers be contributing to her ability to perform to expectations?

Scenario 3 – Professor Melissa Grant, tenure-track, assistant professor

- Prof. Melissa Grant was hired four years ago into as a tenure-track assistant professor.
- For the first two and a half years she showed strong performance in both her teaching and research. She is a dynamic instructor who is quite popular with the students and she is a sought-after advisor and mentor. She has published two journal articles and given 2 conference presentations.
- In the past year and a half, you notice that Prof. Grant gradually has become less productive and you are concerned.
- She has developed a reputation for laxity in fulfilling departmental obligations, e.g., infrequent attendance at department and committee meetings, missing deadlines, and superficial correcting of student essays and tests.
- Other faculty have let you know that they are very concerned about Prof. Grant's increasing level of disorganization and disengagement. They question her ability to be successful.
- One week ago two undergraduate students came to your office to complain about Prof. Grant. The students stated that Prof. Grant has missed four classes in the past month. Not only had she missed class, but she did not get word to them beforehand, so they ended up waiting in the classroom for twenty minutes each time until they realized she wasn't showing up. This was a surprise to you since Prof. Grant had never contacted the department office or arranged for a substitute instructor as per policy.
- Furthermore, the students complained that Dr. Grant has not graded or returned any of their exams or assignments since midterm and it is now early December.

Current situation: After multiple attempts to reach Dr. Grant, you meet with her to find out what is going on. You indicate that you have received several student complaints regarding her class attendance. She responds: *"Well, I tried to notify the students via Blackboard but apparently the message wasn't sent. It must have been an IT system malfunction, so that really isn't my fault. IT is a disaster! And I tried to find a substitute instructor. At one point I asked Jay and Lisa to sub, but neither was willing to fill in for me. I can't help it that my colleagues aren't collegial or helpful!"*

You remind her that department policy requires that she notify the office of absences in advance. She responds: *"Hmm. I wasn't aware of this department policy on cancelations and substitutions. Why didn't my mentor tell me about this years ago??"* You state that the policy is shared at the first faculty meeting of each semester and is sent out via email at the same time.

She responds: "Well... I was hoping to keep this confidential, but I guess I have to share with you... I was recently diagnosed with a medical condition that is impacting my ability to manage time and stay on task. It has been developing over time, and I thought I was managing it, but maybe I need help. Let me share my diagnosis with you."

Questions:

What performance concerns do you identify?

Is this faculty member meeting your expectations?

Are your expectations clear to them? To you? How do you know?

How can you provide this faculty member clear performance expectations?

How do you address the health issues raised?

Appendices

- Iowa State Position Responsibility Statement Policy (Appendix A)
- Sample Position Responsibility Statement (Appendix B)
- ISU Performance Evaluation Policy (Appendix C)
- Sample Absence Protocol (Appendix D)

Professional Organizations

- American Council on Education (www.acenet.edu)
- College and University Professional Association for Human Resources (CUPA-HR)
- Society for Human Resource Management (SHRM)

Resources

- Michigan State annual performance review toolkit: <http://www.adapp-advance.msu.edu/annual-performance-review-tenure-system-toolkit>
- Gunsalus, C. K. *The College Administrator's Survival Guide*. 2006
- Hecht, I., Higgerson, M.L., Gmelch, W.H., Tucker, A. *The Department Chair as Academic Leader*. 1998.
- Learning, D. *Academic Leadership*. 1998.
- Lencioni, Patrick. *The Five Dysfunctions of a Team*. 2002.
- Stone, D., Patton, B., and Heen, S. *Difficult Conversations. How to Discuss What Matters Most*. 2000.
- Sutton, Robert I. *The No Asshole Rule: Building a Civilized Workplace and Surviving One That Isn't*. 2007
- Ury, W. *Getting Past No: Negotiating Your Way from Confrontation to Cooperation*. 1993.
- *The Department Chair: A Resource for Academic Administrators*. Anker Publishing. (\$99 annual subscription)

Appendix A

ISU Faculty Handbook Position Responsibility Statement

3.4 Position Responsibility Statement

It is the policy of Iowa State University that evaluations of tenure-eligible/tenured faculty are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

3.4.1 General Description

A position responsibility statement (PRS) is a tool that describes the range of responsibilities undertaken by a faculty member. The PRS is written and approved by both the faculty member and the department chair. Because responsibilities and duties change throughout faculty careers, the PRS shall be reviewed and updated as necessary at intervals appropriate to the stages of faculty career development. Thus the PRS allows for a flexible and individualized system of faculty review. The PRS shall not prevent or constrain

justifiable changes to or developments within any area of a faculty member's position responsibilities. The PRS description itself should be general and include only the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments especially in the promotion and tenure process for tenure- eligible/tenured faculty or for advancement for non-tenure-eligible faculty.

The PRS shall not violate the faculty member's academic freedom. If the parties agree to more specific language beyond a general description of areas of position responsibilities, that specific language shall not be understood to be a checklist or constraint on the faculty member's freedom to choose areas and methods of inquiry appropriate to the discipline.

Because it outlines the expectations for faculty members in carrying out their duties in accordance with Iowa State University's public land-grant university mission, the PRS shall be understood to be a public document.

3.4.1.1 Intended Use of the PRS

As noted in Chapter 5 (Evaluation and Review), the PRS is a tool referenced during all forms of faculty review. The PRS is particularly significant within the promotion and tenure process of tenure-eligible/tenured faculty or for advancement of non-tenure-eligible faculty. The PRS should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member.

Appendix B

SAMPLE Position Responsibility Statement

Dr. _____
Assistant Professor, _____
Iowa State University Department of Veterinary Clinical Sciences
Position Description and Responsibility Statement
October 1, 2016

The position of Assistant Professor is a full-time A-base, tenure tract faculty position in the Department of Veterinary Clinical Sciences, Iowa State University and the Lloyd Veterinary Medical Center. The academic home is the Department of Veterinary Clinical Sciences. You are expected to spend ~45% time (~24 weeks) in Professional Practice (clinical service/outreach including teaching of the professional students in the clinical rotation); ~45% of your time in research and scholarly activities; ~10% in didactic teaching and ~5% in professional department, college, and/or university service during the next academic year. Percentages of effort are general guidelines and specific time commitments may vary slightly based on departmental and service needs. This PRS is negotiated on a yearly basis at the time of annual review based on departmental needs and faculty productivity.

Professional Practice, Outreach, and Clinical Teaching (~45% equivalent to 24 weeks/year):

- Serve as a collegial member of the VCS faculty to set and coordinate scheduling and policies of your clinical service at the Lloyd Veterinary Medical Center
- Educate and supervise activities of the professional students assigned to clinical rotations
- Support, in collaboration with other members of the service, a positive "customer service" approach to the client service functions for both internal and external clients
- Assist the section/service members to provide plans for a safe, harassment-free, discrimination-free and collegial learning environment
- Provide a portion of the coverage for after hours, weekend, and holiday emergency clinical activities to maintain service operations in your discipline to ensure successful clinical service operations under the direction of the service leader, hospital director, and department chair
- Be a positive mentor and role model for residents, interns, and other advanced training students
- Practice at an accepted national and local standards of clinical practice
- Establish and share best practices and standards of care in your discipline or area of clinical focus
- Follow all hospital guidelines, policies, and procedures including those associated with medical records, controlled substances usage, and bio-security
- Develop outcomes assessment measures and incorporate information gained into improving the educational experience
- Develop educational activities and clinical services focused in your specialty area

Research and scholarly activities (~45%):

- Establish a clinical scholarly active focus in your specialty area
- Produce and distribute clinical scholarship
- Disseminate information that you have identified with your colleagues, peers, and other important constituents through the publication of peer-reviewed manuscripts and continuing educational presentation opportunities.
- Provide mentorship in these scholarly activities to students, residents, graduate students and other faculty
- Develop and maintain a national reputation in your area of scholarly, clinical, or educational focus
- Be successful in achieving external research financial support for your scholarship through external grant

- awards or similar
- Work towards establish a self-sustaining research laboratory

Traditional Didactic and/or Laboratory teaching (~5%):

- Participate in courses related to your specialty, both at the veterinary student and graduate/house officer levels of the curriculum
- Provide educationally effective didactic lectures (professional and graduate courses)
- Develop new course material in your specialty area
- Be responsive to student feedback on your educational delivery
- Collect, maintain, review, and take positive actions on outcomes of your teaching impact including student and peer evaluations
- Promote outcomes assessment activities associated with your discipline

Institutional Service (~5%):

- Your responsibility to University service is met through involvement in departmental, college, or university committees
- Actively support the College in the accreditation process
- Participate in professional societies (including the IVMA) and on their committees, editorial boards, and/or councils is strongly encouraged
- Professional standards of debate and discussion will be followed

Participation and attendance at departmental and college meetings, use of college information technology, and engagement with the mission areas of the department, college, and university is expected. An emphasis is placed on a safe and productive work environment.

Evaluations will be conducted by the Department Chair and the Director of the Veterinary Medical Center. Adjustments to duties assigned are made by mutual agreement and will be handled according to the Faculty Handbook.

All CVM employees have a responsibility to maintain a positive workplace that is free of discrimination and harassment. Collegial interactions with all co-workers in the CVM are required for continual employment and advancement. Faculty are expected to model safe and fiscally responsible behavior for students and are expected to be in compliance with established policies of the CVM and Iowa State University (including the ISU Code of Computer Ethics and Acceptable Use, bio-safety regulations, OSPA, purchasing, and others). Faculty are expected to participate in the annual performance evaluation process and associated department /college /university governance, and be familiar with the policies regarding faculty as outline the faculty handbook.

Dr. Rodney Bagley, Chair, Department of Veterinary Clinical Sciences

Date: _____

Dr. _____

Date: _____

Appendix C Iowa State University Performance Evaluation Policy

(<http://www.provost.iastate.edu/faculty-and-staff-resources/faculty-handbook>)

5.1.1.2 Annual Performance Evaluations

All faculty members (tenured, tenure-track, non-tenure-eligible, whether fulltime or part-time) will be evaluated annually (January 1 to December 31) for performance appraisal and development on the basis of their position responsibility statement (see FH section 5.1.1.5). The evaluation is based on scholarship and contributions in teaching, research/creative activities, extension/professional practice, and institutional service as indicated in each individual's position responsibility statement. Each faculty member's overall performance shall be evaluated as either satisfactory or unsatisfactory (see FH section 4.1.1). The annual evaluation will serve as a basis for determining merit salary increases.

The annual faculty evaluation process is the responsibility of the department chair. In some departments, the associate/assistant chair or a designated review committee has a role in the evaluation process. Department chairs will follow the annual evaluation process as outlined in their departmental governance document.

The departmental governance document shall specify the process by which the faculty member will provide evidence about his or her performance in the areas of his or her position responsibilities for the year under review. Failure by a faculty member to comply with that process will, except in extenuating circumstances, result in an unsatisfactory annual evaluation. For tenured faculty two consecutive unsatisfactory annual performance evaluations trigger a Post Tenure Review (FH Section 5.3.5), and for all faculty may also result in a charge of unacceptable performance as defined in the Faculty Conduct Policy (FH Section 7.2.2.5.1). Evaluation of faculty will be in accordance with their Position Responsibility Statement and their percentage of appointment. The annual evaluation meeting between chair and faculty member provides an opportunity for an exchange of ideas of benefit to the individual and the department. The annual evaluation meeting includes a review of the faculty member's position responsibility statement and any action plans from the previous post-tenure review or annual performance evaluation.

The annual evaluation process is finalized in a written document that is prepared by the department chair and signed by both chair and faculty member. The report should include an evaluation of each area of the position responsibility statement as well as an overall summary assessment. It is the responsibility of the department chair to ensure that the evaluation is finalized in a timely manner and by the university deadline. The faculty member signs the evaluation as an acknowledgement of receipt, not as an endorsement of the evaluation.

A faculty member who disagrees with the evaluation may submit a written statement of concerns that will be appended to the evaluation. The faculty member may also appeal the evaluation through the established grievance procedures (section 9.1).

5.1.1.2.1 Action Plan

In the case of an unsatisfactory annual evaluation, the department chair, with the input of the faculty member, will develop an action plan to guide improved performance in accordance with the faculty member's position responsibility statement. The action plan must include the following elements: 1) a list of action items to be accomplished that are detailed, clear, and aligned with a timeline; 2) a specified date for a mid-term evaluation; and 3) a description of consequences if the action items are not completed by the designated timeline. If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS mediation (FH Section 5.1.1.5.1).

Appendix D: SAMPLE Absence Protocol

Planned Absences, Illnesses, Emergencies Procedures

<http://www.engl.iastate.edu/home/planned-absences-illnesses-emergencies-procedures/>

Welcome back to another semester. We have great teaching results in English and your dedication plays a big role in our success. This message will help you know what to do if emergencies or illness will cause you to miss a class or mandatory workshop and how to make arrangements for times you will be away from campus for professional reasons or personal reasons.

- Most importantly, we need to know when you have cancelled a class and/or are not meeting a class because you are away. Here is what the university Faculty Handbook says about absences:

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4.5.1 Vacations and Holidays

B-base faculty [NTE and TTE faculty are B-base] do not accrue vacation. They are required to be on duty during the academic year on those days when classes are in session and the two working days before the first day of classes of fall and spring semesters. Faculty are expected to manage their professional responsibilities as they deem appropriate, and typically are active throughout the academic year beyond the constraints of formal work hours and work days. B-base faculty may arrange their responsibilities so that they are absent from campus for personal reasons for limited periods when classes are in session. Specific absence days are to be established by mutual agreement between the faculty member and the department chair.

You are allowed, even encouraged, to present at conferences and attend other professional meetings and no one expects you to miss your best friend's wedding or your parents' 50th anniversary party. Here's how to make sure these situations are covered: communicate with your course director (if you are teaching in a multi-section course) early to secure a substitute; approach some of your colleagues to see if they are willing to cover for you. If you are teaching outside of XX or Speech XXX, let your area coordinator know about your plans. We expect that detailed lesson plans and instructions are made available to the substitutes. Please let department administration know, too.

- You are also entitled to sick leave, and we are required to record it. If you need to cancel a class due to illness or any other reason, please call the main office at 515-XXX-XXXX and leave a message or send an email to XXX@iastate.edu. We can leave a message on the classroom door for your students. Also, please send an email to your students letting them know you are canceling class. Here's the university policy:

4.5.2 Sick Leave

All faculty members, regardless of appointment base, accrue sick leave at the rate of one and one-half days for each full month of employment, with no upper limit on the amount of unused sick leave that may be accrued. Part-time employees accrue pro-rated sick leave based on their fractional appointments.

- Finally, we need to be able to reach you during the entire exam week. Please stay in email contact until the semester is officially over. Here is the policy from the 2016/17 catalog:

"All faculty members and teaching assistants with instructional or grading responsibilities are considered to be on duty throughout the entire final examination week and are expected to be available to students during that week for discussion of any matters pertaining to the final examination and final grade or to other aspects of the course."

<http://catalog.iastate.edu/academiclife/gradingsystem/gradingsystem.pdf>