ALIGNING PERFORMANCE WITH FACULTY PROGRESSION AND PROMOTION

- Enhance faculty satisfaction through engagement
- Leverage faculty strengths to support mission and strategic planning
- Align efforts across College
- Support continuous quality improvement with data
- Support faculty development through tailored initiatives
- Provide consistency across College
- Meet requirements of accreditors
- Support faculty progression and promotion
**Faculty Survey Results**

91% of faculty agreed annual feedback is important.

The results indicated that Faculty members were:

- not satisfied with quality of current feedback.
- not satisfied with frequency of current feedback.
- not satisfied with professional development opportunities available at Baylor.*

In response, the performance assessment and planning process:

- provides opportunities for annual feedback.
- measures past performance against expectations.
- identifies areas of success and actions needed to improve results and/or behaviors.
- facilitates a discussion around career progression.
- creates an outlet to discuss and set next year’s goals.
- enhances faculty satisfaction through engagement.

* Data from 2014 Faculty Satisfaction Survey
EVALUATION PROCESS
Outcomes

Before meeting, evaluators and faculty members should know the following.

- Expectations, goals, and competencies for the next year.
  - Where the faculty member stands in the promotion process and what he or she must achieve to reach the desired rank.
  - How evaluator and faculty member may support each other to accomplish personal and organizational goals.
- Process and discussion is designed to promote a better working relationship between the evaluator and faculty member.
- Faculty member should feel that she or he has received quality feedback.
# Sections of New Evaluation Form

<table>
<thead>
<tr>
<th>Introduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Information</td>
</tr>
<tr>
<td>CV Submission</td>
</tr>
<tr>
<td>Part 1: Performance Goals</td>
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<td>Part 2: Competencies</td>
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<td>Part 3: Overall Performance</td>
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<td>Part 4: Faculty Career Planning</td>
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<td>Part 5: Faculty Development and Engagement</td>
</tr>
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<td>Part 6: Action Plan</td>
</tr>
<tr>
<td>Part 7: Comments and Signatures</td>
</tr>
</tbody>
</table>
FACULTY MEMBER’S ROLE IN EVALUATION
Faculty Member’s Role in Evaluation

- Update your CV.
- Know your goals.
- Provide an honest self-evaluation.
  - Give context for the level to which your goals have been achieved.
  - Give examples of how you achieved goals or demonstrated competency behaviors.
- Think about your career and any questions/concerns you may have to discuss with your evaluator.
- Be receptive to positive and negative feedback from your evaluator.
- Identify areas to improve.
- Work with evaluator to set next year’s goals.
- Identify resources and support needed for ongoing success.
EVALUATOR’S ROLE IN EVALUATION
EVALUATOR’S ROLE IN EVALUATION

- Document faculty member’s performance outcomes in a consistent, objective, thorough, fair, and clear manner.
- Provide overall assessment and rating.
- Provide constructive, actionable feedback when meeting with faculty member.
- Work with faculty member to identify goals and growth opportunities for next year.
- Help faculty member identify and obtain resources and support needed for ongoing success.
GOAL PLANNING
**Benefits of Goal Planning**

“IF YOU FAIL TO PLAN, YOU ARE PLANNING TO FAIL.”

*Benjamin Franklin*

- Fosters transparency by establishing expectations and setting priorities.
- Monitors progress toward achievement of objectives—which allows for course corrections, feedback or mentoring when needed.
- Promotes interactions between faculty members and department leadership to align faculty members’ activities and departmental/institutional goals with individual career progression.
SMART GOALS

SMART goals are meant to be realistic targets for faculty members to reach on a regular basis, or over the annual cycle. Objectives are written in an active tense and use strong verbs like plan, write, conduct, produce, etc., rather than learn, understand, or feel.

**Specific**
- Focused
- Well-defined
- Action-oriented

**Measurable**
- Means of measure help you know when you have accomplished objectives.
- Measurements serve as tangible evidence of completion.

**Achievable**
- Achievable objectives can be accomplished and are not an aspiration or vision.
- Objectives should not be unattainable or cause frustration due to inability to complete.

**Realistic**
- Realistic means you have the time, authority, and skills to accomplish the goals you set.

**Time-oriented**
- Time-oriented objectives have deadlines for completion.
- The deadlines, just as with overall objectives, must be achievable and realistic.
- Break complex objectives into small parts, with a deadline for completing each part.
# SMART GOAL EXAMPLES

<table>
<thead>
<tr>
<th>Mission Area</th>
<th>SMART</th>
<th>Not SMART</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical</td>
<td>“Achieve and maintain an average Press Ganey Score in the 90th percentile for your specialty.”</td>
<td>“Improve patient satisfaction.”</td>
</tr>
<tr>
<td>Clinical</td>
<td>“Maintain less than 5% delinquent medical records.”</td>
<td>“Complete more medical records.”</td>
</tr>
<tr>
<td>Research</td>
<td>“Maintain a direct spend rate of 80% on all extramural funding.”</td>
<td>“Get more funding for research.”</td>
</tr>
<tr>
<td>Research</td>
<td>“Submit three papers for publication to a meeting or journal.”</td>
<td>“Publish more papers.”</td>
</tr>
<tr>
<td>Education</td>
<td>“Achieve a 4.0 out of 5.0 on the E*value evaluations given by students.”</td>
<td>“Increase student ratings from evaluations.”</td>
</tr>
<tr>
<td>Education</td>
<td>“Present 4 didactic lectures for the graduate school.”</td>
<td>“Give more lectures.”</td>
</tr>
<tr>
<td>Community</td>
<td>“Serve as an officer for a national professional organization.”</td>
<td>“Leadership of a national organization.”</td>
</tr>
</tbody>
</table>
### GOAL DIAGRAM

**Edit Goal**

- **Category:** Clinical Mission
- **Goal Name:** "RA/I Productivity"
- **Goal Description:** "RA/I productivity, based on AAMC benchmark for specialty, at 60% FTE for RA and 75% FTE for I".

**Targets:**
- **Target - Con. Exceeds:** 6000
- **Target - Exceeds:** 6000
- **Target - Slight Miss:** 5000
- **Target - Slight Below:** 6000
- **Target - Below:** 5000

**Goal Attain:** 7200

**Status:** Completed

**Dates:**
- **Start Date:** 07/01/2015
- **Due Date:** 06/30/2016

**Additional Options:**
- Save as New
- Cancel
- Save Changes
Establishing Goals

- Goals may be established by:
  - College and department leadership (e.g., RVU Target)
  - Faculty Member and Evaluator (e.g., publication submission)

- Goals should be set at the start of the year. A good time to finalize next year’s goals is during the faculty evaluation meeting with the evaluator.
ESTABLISHING GOALS

Helpful questions to ask when setting goals:

- Have there been any changes to the faculty member’s position, effort allocation, or environment that would require addition to, modification or deletion of last year’s goals?
- Have there been changes in departmental or institutional goals that necessitate changes in the faculty member’s goals?
- Based on last year’s performance, should any existing goals be modified?
- Should any goals be added or deleted, based on the discussion around faculty career planning, promotion and development?
**2016–2017 Process (for Fall 2016)**

**Steady State**
- Set goals for next year.
- Discuss during Faculty Evaluation 1:1 meeting.
- Enter goals in Success Factors for the next year.

**Year 1 Implementation**
- First quarter of FY 17
- All Faculty to use new form.
- Enter current year goals during evaluation.

**FY 15 – 16**
- Set Goals
- Execute Goals
- Evaluate

**FY 16 – 17**
- Set Goals
- Execute Goals
- Evaluate
COMPETENCIES
COMPETENCIES

What Are Competencies?
- Competencies are the skills, attributes, and behaviors associated with strong job performance.

Why Are They Important?
- Competencies translate BCM’s values into practice.
- They are essential elements in creating and sustaining an environment that supports fulfillment of our mission and supports each faculty member in achieving his or her career goals.

Why is It Important to Assess Competencies?
- Why is it important to assess competencies?
- Provide vital information on faculty needs.
- Identify areas of strength.
- Illuminate opportunities for growth.
- Focus development planning on areas with the biggest impact.
BAYLOR’S FACULTY COMPETENCIES

• Each Baylor faculty competency exemplifies and aligns with Baylor’s values.

• Faculty members’ competency ratings are based on the quality and consistency of exhibiting the skills, attributes, and behaviors most relevant to each individual’s role.

• Comments may be used to provide examples.
TEAMWORK

**DEFINITION**

- The ability and desire to work collaboratively with others to achieve a goal.
- Successfully meeting expectations for teamwork at Baylor College of Medicine means that the individual consistently displays all or some of the following behaviors.

**TEAMWORK BEHAVIOR STATEMENTS**

- Seeks opportunities to work on teams as a way to develop experience and knowledge as well as to achieve professional and organizational goals.
- Cultivates an active network of those with the knowledge and influence to advance professional and organizational goals.
- Provides assistance to others when they need it.
- Seeks opportunities to involve others in problem-solving to ensure broader buy-in and support for solutions.
- Encourages team unity through sharing information or expertise, working together to solve problems, and putting team success first.
- Shares important or relevant information and expertise with others.
- Works for solutions that all team members can support while listening and responding constructively to other team members’ ideas and expressing disagreement constructively.
- Helps remove barriers to team productivity and success.
- Predicts how individuals or groups will react to proposals, events, or situations and uses this understanding to develop and execute effective strategies.
- If a team leader: Exhibits leadership qualities that elicit respect from team members while effectively producing and assessing results.
- Clarifies expected behaviors, knowledge, and level of proficiency by seeking and giving information, clearly defining and communicating roles, and checking for understanding.
- Engages team members to collaboratively establish goals, evaluate progress toward goals, and take action to keep the team on track.
- Uses knowledge of individual’s capability, work style, and preferences to assign tasks and delegate important areas of responsibility in a manner that clarifies expectations while expanding the individual’s feelings of ownership and accountability; promotes risk taking.
- Gives timely, appropriate feedback on performance and reinforces efforts and progress; looks for and capitalizes on opportunities to encourage and reward successful team performance.
- Identifies opportunities for team members to enhance or develop skills.
- Diagnoses gaps in knowledge, experience, skills, and behavior that underlie current and future performance and identifies opportunities for team member professional development to fill these gaps.
- Moves decision making and accountability downward through the team by appropriately sharing responsibilities with others; aligns delegation with organizational policies and procedures.
- Attends to the needs and feelings of others to develop effective working relationships; relates easily to people; inspires and works well with others to achieve professional and organizational goals.
- Offers valuable information and resources; works together with colleagues and others to create win-win outcomes.
- Initiates collaborative relationships with key stakeholders.
- Collaborates with individuals in other departments, schools, or affiliates.
- Places higher priority on organization’s goals than on own area’s goals.
- Communicates goals of interest and seeks to understand others’ goals and interests in order to build mutual purpose.
- Displays understanding of the political dimension of organizational decision making process (neither naïve nor overtly political) and cultivates the needed relationships to drive complex organizational initiatives.
RATING SCALE
Performance and Competencies Rating Scale

Consistently Exceeds Expectations (C)
- Greatly exceeded established goals (Goals) and/or consistently demonstrated exceptional behaviors (Competencies)

Exceeds Expectations (E)
- Consistently met or surpassed many goals (Goals) and/or demonstrated effective behaviors and demonstrated some exceptional behaviors (Competencies)

Successfully Meets Expectations (SM)
- Met most goals and handled issues and responsibilities within role (Goals) and/or demonstrated effective behaviors (Competencies)

Somewhat Below Expectations (S)
- Generally met expectations but was incomplete, inconsistent and/or did not meet required goals (Goals) and/or inconsistently demonstrated effective behaviors (Competencies)

Below Expectations (B)
- Overall below expectations and consistently did not meet goals (Goals) and/or infrequently demonstrated effective behaviors (Competencies)
PERFORMANCE AND COMPETENCIES RATING SCALE

C = Consistently Exceeds
E = Exceeds Expectations
SM = Successfully Meets Expectations
S = Somewhat Below Expectations
B = Below Expectations
OVERALL PERFORMANCE RATING

- Rating is determined at the discretion of the evaluator.
- Rating is not necessarily an average of the goal and competency designations.
- It is based on the evaluator’s overall assessment of the faculty member’s job performance.
- Each faculty member has her or his own strengths and areas for improvement, so all faculty members should not receive same rating.
**X DIFFERENTIATION OF PERFORMANCE**

One way to help conceptualize the range of faculty performance is provided below.

**Consistently Exceeds Expectations**
- Exemplary contributors who are above and beyond the rest.

**Exceeds Expectations**
- Faculty members who excel in several areas.

**Successfully Meets Expectations**
- Faculty members who are essential to the success of the department or center; most will fall in this category.

**Somewhat Below Expectations**
- Faculty members who are underperforming, but have the potential to improve with coaching and assistance.

**Below Expectations**
- Faculty members who consistently are underperforming and require immediate remediation.
GUIDANCE FOR EVALUATORS
SOLICIT FEEDBACK FROM OTHERS

If there are areas of a faculty member’s role for which you do not have direct oversight, ask others for input. Two forms of feedback may be requested.

- **Formal**
  The form can be routed to another person, with a request to provide ratings and comments that will be documented on the form.
  - Evaluator will not have access to the form while it is being routed.

- **Informal**
  Internal or external individuals may be contacted by the evaluator, with a request to provide feedback about the faculty member. Feedback is requested, and responses provided through email. Responses are included as notes for the evaluator and do not appear on the final evaluation form.
**Performance Evaluation Comments**

When writing comments for a faculty member’s evaluation:

<table>
<thead>
<tr>
<th>Do’s</th>
<th>Don’ts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start and end with meaningful, positive statements</td>
<td>Use derogatory language or fail to include positive feedback</td>
</tr>
<tr>
<td>Focus on work performance and behavior</td>
<td>Make personal comments or discriminate against a faculty member</td>
</tr>
<tr>
<td>Provide suggestions for improvement</td>
<td>Criticize unfairly or without context</td>
</tr>
<tr>
<td>Identify Issues</td>
<td>Compare one faculty member to another or show bias</td>
</tr>
<tr>
<td>Be constructive</td>
<td>Use extreme language (“never”/“always”)</td>
</tr>
<tr>
<td>Use the legal scan function in the evaluation system to help identify potentially problematic language</td>
<td></td>
</tr>
</tbody>
</table>
EXAMPLE COMMENTS

- Jane is willing to help her team members with anything that needs to be done. She provides updates to the team regarding her portion of the project on a regular basis.

- While Bob has completed his portion of the project on time, he has not been receptive to requests from his team for assistance on other parts of the project. We discussed how Bob can make time in his schedule to be more responsive to the requests of others.

- Joey has made a considerable effort to meet his RVU target, but patient volume in the clinic is down from last year.
When Evaluating Performance

- Compare against goals and established targets.
- Review patterns of behavior and look for performance trends.
- Obtain multiple perspectives from co-workers.
- Keep notes during the year on accomplishments and areas in need of improvement.
- Avoid rater bias:
  - **Halo Effect**: Rating faculty highly in all areas based on positive impression
  - **Horn Effect**: Rating faculty lower in all areas based on a negative impression
  - **Primacy Effect**: Allowing first impression to be the basis of determining ratings
  - **Recency Effect**: Being influenced by most recent behavior/performance
THE EVALUATION MEETING:
PREPARING FOR THE DISCUSSION

- Schedule the discussion in a private office or conference room in a non-threatening environment.

- It is recommended that you share your evaluation with the faculty member before the meeting:
  - If sharing in advance of meeting, you will need to save the evaluation as a PDF and email it to the faculty member, as it will not be accessible to him/her online prior to the meeting.
  - Have a hard copy or digital version of the assessment available during the discussion.

- Allow sufficient time for the discussion.

- Review performance data and note development or improvement needs prior to meeting.

- Outline key areas to cover during the meeting.

- Try to anticipate the faculty member’s reaction.
  - If you anticipate a negative reaction or a difficult conversation, consider inviting a third party.
THE PERFORMANCE DISCUSSION

1. Turn off cell phones and pagers to limit interruptions.
   - Start on a positive note.

2. State the purpose: a faculty performance and planning conversation.
   - Ask what the faculty member has done well over the past year and areas where
     she or he has room for growth.

3. Review the assessment and overall performance rating.
   - Note the differences in ratings from self-evaluation.
   - Reference faculty member’s comment.

4. Discuss the faculty member’s career progression and needs.

5. Work with the faculty member to discuss and/or set next year’s goals and document
   action items.
What Is Feedback?

- Feedback is a tool for letting faculty members know what they are doing well, and when and where they have room for improvement.

- Feedback strengthens working relationships and helps to improve faculty members by making performance and behavioral expectations clear.

- The way feedback is presented is essential to how effective it will be, or the likelihood that it will be heard.
  - “Feedback sandwich”: Begin on a meaningful positive note and end on a positive note.

- Constructive feedback, both positive and negative, should be specific, issue-focused, and based on observations and examples.
Consider the benefits of both positive and corrective feedback, and their impacts on faculty members.

**Positive Feedback**
- Reinforces and affirms what she or he has been doing well.
- Fosters a productive and supportive environment.
- Exhibits interest in faculty members and their performance and behaviors.
- Recognizes faculty members’ contributions and validates their efforts.

**Corrective Feedback**
- Serves as a base for faculty development.
- Aligns faculty actions with departmental or organizational goals.
- Sets up a dialogue around how the faculty member can perform more effectively.
- Increases faculty member’s awareness of what she or he can be doing to achieve goals.
COACHING FOR IMPROVEMENT AND DEVELOPMENT

During the meeting, evaluators should ask:

- What obstacles can I help remove to help you achieve your goals?
- What other support can I provide?
- What is the faculty member doing to achieve his or her next/desired rank? Is he or she exhibiting excellence in mission areas?
- What specific actions will the faculty member and I take?
- What milestones should be used to monitor progress?
DELIVERING CONSTRUCTIVE FEEDBACK

- Always maintain a positive tone.
- Encourage dialogue by asking questions rather than dictating.
- Actively listen, acknowledge feelings, and stay focused on the faculty member.
- Acknowledge things outside the faculty member’s control that may be affecting his or her performance.

- Focus on specific behaviors and/or issues, and discuss how they are impacting productivity, you, the team, unit or organization.
- Ask the faculty member what may help resolve the issue and then offer your own suggestions.
- Check for faculty member’s understanding of feedback and develop an action plan with next steps.
CONTACT INFORMATION

- For answers to questions about the faculty evaluation process, please contact the Office of Faculty Affairs at the following email addresses.
  performance management@bcm.edu.

- Visit the Faculty Resource section on the Baylor website for other related information.
  www.bcm.edu