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| **College** | **Watts College of Public Service and Community Service** |
| **Unit** | **Social Work** |
| **Document** | **SWK 505 – Tenured/Tenure Track Faculty Annual Performance Evaluations** |

**Unit and college approval**

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| --- | --- |
| **Date of approval by the faculty** | **3/3/2021** |
| **Date of review by the dean** | **10/29/21** |

**Provost office approval**

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| --- | --- |
|  |  |
| **Vice Provost for Academic Personnel** | **Date** |

**ARIZONA STATE UNIVERSITY**

**WATTS COLLEGE OF PUBLIC SERVICE AND COMMUNITY SOLUTIONS**

**SCHOOL OF SOCIAL WORK**

**Revised 3/3/21**

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SWK 505

Tenured/Tenure Track Faculty Annual Performance Evaluations

The purpose of this document is to specify the processes, criteria, and measures used in the School of Social Work to achieve the goals of the annual performance review.  Each year’s faculty evaluations are made based on the previous three years of work.  Tenured and tenured-track faculty members who have been employed less than three years at the School of Social Work will be evaluated on their performance to date, with performance prorated accordingly.

The Annul Performance Evaluation Committee (APE) is formed of three elected tenured faculty and at least one member must be a full professor. An assistant professor may be included in committee meetings but will have no role in formal recommendations. Committee work will follow the Duties and Responsibilities outlined in SWK 104-02.

Duties and Responsibilities of the Annual Performance Evaluation (APE)Committee:

1. Committee members prepare a report corroborating each tenured/tenure track faculty member’s self-rating in accordance with ACD and School of Social Work assessment policies (SWK 506, 506-01, 506-02, 506-03 and 506-04) and College deadlines, to be turned in to the SSW Director. The report will be based on the materials each tenured/ tenure track faculty member submits.
2. In cases where the faculty member and Director cannot reach agreement on merit rating, the APE committee will be available to provide an independent written evaluation at the request of the Director or the tenured/tenure track faculty member. The evaluation will reflect the standards for faculty performance as outlined in the relevant School of Social Work policies.

The School of Social Work annual performance evaluation review will be conducted in accordance with the deadlines and procedures established by the Arizona Board of Regents, Arizona State University and the Watts College of Public Service and Community Solutions.

**1.     COMPLETING THE THREE-YEAR ACTIVITY REPORT (CALENDAR YEARS) & ANNUAL PERFORMANCE EVALUATION**

**ASU Vita data entry.**  Before the ASU established annual deadline, faculty members are required to update their information as part of the ASU Vita program. The following categories need to be populated as applicable unless the system has populated them automatically.  It is advisable, however, that system-generated data are reviewed by the faculty member for whom they are generated.

* Research/Scholarship/Creative Activities

[Refereed Articles](https://far.asu.edu/Faculty/DataEntry/Research/RefereedArticles.aspx);[Authored Books](https://far.asu.edu/Faculty/DataEntry/Research/AuthoredBooks.aspx);[Edited Books](https://far.asu.edu/Faculty/DataEntry/Research/EditedBooks.aspx);[Book Chapters](https://far.asu.edu/Faculty/DataEntry/Research/BookChapters.aspx);[Non-Refereed Articles](https://far.asu.edu/Faculty/DataEntry/Research/NonRefereedArticles.aspx);[Conference Proceedings](https://far.asu.edu/Faculty/DataEntry/Research/ConferenceProceedings.aspx);[Invited Commentaries/Prospective/Review Articles](https://far.asu.edu/Faculty/DataEntry/Research/Commentaries.aspx);[Edited Special Issues](https://far.asu.edu/Faculty/DataEntry/Research/EditedSpecialIssues.aspx);[Encyclopedia Articles](https://far.asu.edu/Faculty/DataEntry/Research/EncyclopediaArticles.aspx);[Book Reviews](https://far.asu.edu/Faculty/DataEntry/Research/BookReviews.aspx);[Scholarly Conference; Presentations/ Exhibitions/ Colloquia](https://far.asu.edu/Faculty/DataEntry/Research/Exhibitions.aspx);[Creative Activities](https://far.asu.edu/Faculty/DataEntry/Research/CreativeActivities.aspx);[Sponsored Research Grants](https://far.asu.edu/Faculty/DataEntry/Research/Sponsored.aspx);[Research Monetary Fellowships/ Awards/Internal Grants](https://far.asu.edu/Faculty/DataEntry/Research/MonetaryAwards.aspx);[Research Honors/Awards](https://far.asu.edu/Faculty/DataEntry/Research/Honors.aspx);[Patents](https://far.asu.edu/Faculty/DataEntry/Research/Patents.aspx);[Collaborative Activities](https://far.asu.edu/Faculty/DataEntry/Research/CollaborativeActivities.aspx); Patents and Licenses;[Additional Information](https://far.asu.edu/Faculty/DataEntry/Research/AdditionalInfo.aspx)

* Instruction/Advising/Mentoring

[Courses](https://far.asu.edu/Faculty/DataEntry/Instruction/Courses.aspx);[Mentoring](https://far.asu.edu/Faculty/DataEntry/Instruction/Mentoring.aspx);[Sponsored Instructional Grants](https://far.asu.edu/Faculty/DataEntry/Instruction/Sponsored.aspx);[Instructional Monetary Fellowships/ Awards/Internal Grants](https://far.asu.edu/Faculty/DataEntry/Instruction/MonetaryAwards.aspx);[Instructional Honors/Awards](https://far.asu.edu/Faculty/DataEntry/Instruction/Honors.aspx);[Additional Information](https://far.asu.edu/Faculty/DataEntry/Instruction/AdditionalInfo.aspx)

* Service/Outreach

[Professional Service](https://far.asu.edu/Faculty/DataEntry/Service/ProfessionalService.aspx);[University Service](https://far.asu.edu/Faculty/DataEntry/Service/UniversityService.aspx);[Professionally Related Community Service](https://far.asu.edu/Faculty/DataEntry/Service/CommunityService.aspx);[Sponsored Service and Other Grants](https://far.asu.edu/Faculty/DataEntry/Service/Sponsored.aspx);[Service Monetary Fellowships/Awards/Internal Grants](https://far.asu.edu/Faculty/DataEntry/Service/MonetaryAwards.aspx);[Service Honors/Awards](https://far.asu.edu/Faculty/DataEntry/Service/Honors.aspx);[Additional Information](https://far.asu.edu/Faculty/DataEntry/Service/AdditionalInfo.aspx)

* [Innovation and Impact](https://far.asu.edu/Faculty/DataEntry/InnovationImpacts.aspx)

**2.     EVALUATION CRITERIA FOR THE THREE-YEAR ACTIVITY REPORT (CALENDAR YEARS) & ANNUAL PERFORMANCE EVALUATION**

Each year, all tenured/tenure track faculty will complete the **Self-Rating Assessment** **form** (see last page) using the below merit categories (i.e., 5 – 1). The Self-Rating Assessment will provide written rationale based on performance benchmarks described below and should be based on a 3-year timeframe. The merit rating will reflect self-assigned performance ratings across all three areas (research/teaching/service) based on the merit criteria. Moreover, faculty should include a section about future goals and needed resources.

Based on the productivity, achievement, and the approved benchmarks, individual faculty members will self-assign one of five possible ratings for their cumulative three years’ performance: **5) EXCEPTIONAL, 4) MERITORIOUS, 3) MERIT, 2) SATISFACTORY, or 1) UNSATISFACTORY** (see Benchmarks) for research, teaching and service.  The below categories are guidelines; if a faculty member can demonstrate impact, innovation or productivity through other metrics, they are encouraged to do so.  When filling out the numerical self-rating, faculty should report their % effort per year in each area of research, teaching, and service.

Faculty should also submit, with their Self-Rating Assessment form, a current copy of their CV.

\* Assistant professors may show potential for leadership, impact, innovation and recognition in ways that are more consistent with early career scholars; all faculty should demonstrate leadership consistent with rank.

**BENCHMARKS**

**EXCEPTIONAL (5)**

RESEARCH:

* Produce 5 or more scholarly/creative deliverables for which the individual serves in leadership capacity(e.g., journal articles, external awards, books, etc.)
* Must demonstrate to the school 2 or more of the below:
* Local, national, or international recognition for scientific / conceptual leadership
* Local, national, or international recognition for significance of research
* Innovation as defined by external awards, local, national, or international recognition for innovation, copyrights, patents or other external symbol of innovations, ranking of one’s intervention(s) as evidence-based
* Impact of research on populations, organizations, and/or communities of interest
* May include other “Exceptional” research activity

TEACHING:

* Demonstrate overall course evaluation mean of 1.5 and lower
* Must demonstrate to the school 3 or more of the below:
* Local, national, or international recognition for teaching
* Development or improvement of teaching modality or contribution to pedagogy
* Teaching innovation as defined by external teaching awards or other recognition for innovations in teaching
* 2 or more additional teaching commitments where person serves in a leadership capacity (e.g., MSW/PhD committee chair, leadership in a certificate program, lead instructor, etc.)
* Impact of teaching on student/s as demonstrated for example by student driven awards and recognitions, advising to student organizations and other
* May include other “Exceptional” teaching activity

SERVICE

* Must regularly attend faculty council and regularly attend one other committee
* Must demonstrate to the school 3 or more of the below:
* Service in additional committees
* In SSW, College, or University committees, serve in leadership role or serve on a committee where workload exceeds average (e.g., Standards Committee, P & T Committee, ad hoc committee work) in
* Leadership role or serve on a committee where workload exceeds average in local, national or international organization.
* Elected to the board of local, national, or international organization
* Received one or more awards for local, national, or international service efforts
* May include other “Exceptional” service activity

**MERITORIOUS (4)**

RESEARCH:

* Produce 4 scholarly/creative deliverables for which the individual serves in a leadership capacity (e.g., journal articles, external awards, books, etc.)
* Must demonstrate to the school 1 or more of the below:
* Local, national, or international recognition for scientific / conceptual leadership
* Local, national, or international recognition for significance of research
* Innovation as defined by external awards, local, national, or international recognition for innovation, copyrights, patents or other external symbol of innovations, ranking of one’s intervention(s) as evidence-based
* Impact of research on populations, organizations, and/or communities of interest
* May include other “Meritorious” research activity

TEACHING:

* Demonstrate overall course evaluation mean of 1.5 and lower
* Must demonstrate to the school 2 or more of the below:
* Local, national, or international recognition for teaching
* Development or improvement of teaching modality or contribution to pedagogy
* Teaching innovation as defined by external teaching awards or other recognition for innovations in teaching
* 2 or more additional teaching commitments where person serves in a leadership capacity (e.g., MSW/PhD committee chair, leadership in a certificate program, lead instructor, etc.)
* Impact of teaching on student/s as demonstrated for example by student driven awards and recognitions, advising to student organizations and other
* May include other “Meritorious” teaching activity

SERVICE (2 or more of below)

* Must regularly attend faculty council and regularly attend one other committee
* Must demonstrate to the school 2 or more of the below:
* Service in additional committees
* In SSW, College, or University committees, serve in leadership role or serve on a committee where workload exceeds average (e.g., Standards Committee, P & T Committee, ad hoc committee work)
* Leadership role or serve on a committee where workload exceeds average in local, national or international organization.
* Elected to the board of a local, national, or international organization
* Received one or more awards for local, national, or international service efforts
* May include other “Meritorious” service

**MERIT (3)**

RESEARCH:

* Produce 3 scholarly/creative deliverables for which the individual serves in a leadership capacity (e.g., journal articles, external awards, books, etc.)
* Must demonstrate innovation and/or impact of research on populations, organizations, and/or communities of interest.
* May include other “Merit” level research activity

TEACHING:

* Demonstrate overall course evaluation mean of 1.8 and lower
* 1 or more additional teaching commitments (e.g., independent studies, PhD committees, professional development training, course development or significant revision, etc.)
* 1 or more additional teaching commitments where individual serves in a leadership capacity (e.g., MSW/PhD committee chair, leadership in a certificate program, lead instructor, etc.)
* May include other “Merit” level teaching activity

SERVICE Must regularly attend faculty council and regularly attend one other committee:

* Must demonstrate to the school 1 or more of the below:
* Service in additional committees
* In SSW, College, or University committees, serve in leadership role or serve on a committee where workload exceeds average (e.g., Standards Committee, P & T Committee, ad hoc committee work) in
* Leadership role or serve on a committee where workload exceeds average in local, national or international organization.
* Elected to the board of a local, national, or international organization
* Received one or more awards for local, national, or international service efforts
* May include other “Merit” service activity

**SATISFACTORY (2)**

RESEARCH:

* Produce 1 or 2 scholarly/creative deliverables (e.g., journal articles, external awards, books, etc.)
* Demonstrate some degree of innovation and/or impact of research on populations, organizations, and/or communities of interest.
* May include other “Satisfactory” research activity

TEACHING:

* Demonstrate overall course evaluation mean of 2.0 and lower
* 1 or more additional teaching commitments (e.g., independent studies, PhD committees, professional development training, course development or significant revision, etc.)
* May include other “Satisfactory” teaching activity

SERVICE

* Regularly attend faculty council and regularly attend one other committee
* May include other “Satisfactory” service activity

**UNSATISFACTORY (1)**

RESEARCH:

* Produces no scholarly/creative deliverables
* Demonstrate no impact within the SSW, College, or University

TEACHING:

* Demonstrate overall course evaluation mean of 2.0 or higher
* No active participation in curriculum and teaching committees.

SERVICE

* Does not regularly attend faculty council and one other committee
* Is not active in professional or community level organizations and/or initiatives.

**BENCHMARKS SUMMATIVE TABLE**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **RESEARCH** | **TEACHING** | **SERVICE** |
| **Exceptional**  (5) | **≥  5 Scholarly products**    **(2 or more of below)**   * **Recognition for leadership** * **Recognition for significance** * **Innovation** * **Impact** | **≤ 1.5 Student Evaluations**    **(3 or  more of below)**   * **Recognition** * **Improvement** * **Innovation** * **≥ 2 Teaching commitments with leadership** * **Innovation/Development/** * **Improvement** * **Impact on Students** | **Faculty council and 1 other**    **(3 or more of below)**   * **Leadership/high workload at ASU** * **Leadership/high workload  local/nat/int** * **Board member local/nat/int** * **1 or more awards** |
| **Meritorious**  (4) | **≥  4 Scholarly products**     * **(1 or more of below)** * **Recognition for leadership** * **Recognition for significance** * **Innovation** * **Impact** | **≤ 1.5 Student Evaluations**    **(2 or  more of below)**   * **Recognition** * **Improvement** * **Innovation** * **≥ 2 Teaching commitments with leadership** * **Innovation/Development/** * **Improvement** * **Impact on Students** | **Faculty council and 1 other**    **(2 or more of below)**     * **Leadership/high workload at ASU** * **Leadership/high workload  local/nat/int** * **Board member local/nat/int** * **1 or more awards** |
| **Merit**  **(3)** | **At least 3 Scholarly products**     * **Innovation/**   **Impact** | **At most 1.8**     * **1 or more teaching commitment** * **1 or more teaching commitment**   **with leadership** | **Faculty council and 1 other**    **(1 or more of below)**   * **Leadership/high workload at ASU** * **Leadership/high workload  local/nat/int** * **Board member local/nat/int** * **1 or more awards** |
| **Satisfactory**  **(2)** | **1 or 2 scholarly products**    **Some degree of impact** | **At most 2.0**    **1 or more teaching commitment** | * **Faculty council and 1 other** * **Other “satisfactory” activity** |
| **Un-**  **satisfactory**  **(1)** | **< Above** | **< Above** | **< Above** |

**Self-Rating Assessment** **Form**

**Name:**

**Year:**

**Review Period (3 years):**

**Research Narrative to support Merit Category**:

Percent of Effort: \_\_\_\_% Year 1; Percent of Effort: \_\_\_\_% Year 2; Percent of Effort: \_\_\_\_% Year 3

Circle One Merit Category: 1, 2, 3, 4, 5

**Teaching Narrative to support Merit Category**:

Percent of Effort: \_\_\_\_% Year 1; Percent of Effort: \_\_\_\_% Year 2; Percent of Effort: \_\_\_\_% Year 3

Circle One Merit Category: 1, 2, 3, 4, 5

**Service Narrative to support Merit Category**:

Percent of Effort: \_\_\_\_% Year 1; Percent of Effort: \_\_\_\_% Year 2; Percent of Effort: \_\_\_\_% Year 3

Circle One Merit Category: 1, 2, 3, 4, 5

**Circle OVERALL MERIT CATEGORY**: 1, 2, 3, 4, 5

**Goals and Needs for Success in the Coming Year Narrative**:

Remember, in addition to this form, please submit a current copy of your CV.