

## Annual Faculty Performance Evaluation Checklist IOWA STATE UNIVERSITY

Faculty members are reviewed annually for performance appraisal and development on the basis of their Position Responsibility Statement (PRS). 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 process is finalized in a written document that is prepared by the chair and signed by both chair and faculty member. (See Faculty Handbook, 5.1.1.2.) This checklist is designed to be a tool for the chair in planning for, and finalizing the evaluation.

1. Faculty member submitted annual evaluation materials \_\_\_\_\_
2. Faculty member submitted a current vita \_\_\_\_\_
3. Reviewed PRS and updated, if appropriate \_\_\_\_\_
4. Provided mentoring concerning advancement \_\_\_\_\_
5. Awards/recognition - evaluated for nomination and/or discussed \_\_\_\_\_
6. Conflict of Interest and Commitment (COIC) disclosure *completed* \_\_\_\_\_
7. Conflict of Interest and Commitment *discussed (CHECK ALL THAT APPLY)* \_\_\_\_\_

*This list represents activities that have the potential for conflict of interest or commitment; it is not intended to be an all-inclusive list. Refer to the COIC Policy and procedures as needed. The department chair should retain notes of affirmative responses/discussion related to each item, and indicate acknowledgement/approval. (See definitions on back side)*

External Activities:

- Management Role(s) \_\_\_\_\_
- Significant Financial Interest \_\_\_\_\_
- Consulting \_\_\_\_\_
- Professional Activity Leave \_\_\_\_\_
- Service to Govt. and Associations \_\_\_\_\_
- Dual Employment \_\_\_\_\_
- Other External Activities \_\_\_\_\_

Funded Research:

- Public Health Service (PHS) Funding Requirements \_\_\_\_\_
- Other Special Conditions (Sponsored Agreements) \_\_\_\_\_
- Sponsored Funding (Privately-Held Company) \_\_\_\_\_
- Company Use of ISU Facilities or Equipment \_\_\_\_\_

Current Management Plan(s)? \_\_\_\_\_

8. IP Assignment completed \_\_\_\_\_
9. "Other": compliance, safety, training, etc. (discussed) \_\_\_\_\_
10. Annual evaluation provides overall assessment as "Satisfactory" or "Unsatisfactory" \_\_\_\_\_
11. Annual evaluation meeting completed (*indicate date*) \_\_\_\_\_
12. Copy of annual evaluation feedback memo provided to faculty member and placed in personnel file (*indicate date*) \_\_\_\_\_

## Definitions

**Conflict of Commitment:** An external activity with the potential to reduce the time and attention an employee can devote to their university responsibilities, and thus negatively impact their performance of assigned university duties, constitutes a "conflict of commitment."

**Conflict of Interest:** Any external activity, significant financial interest or management role that has the potential to negatively impact objectivity in the execution of university duties is a "conflict of interest."

**Consulting:** The term "consulting" refers to professional services to a non-university entity that are not a part of the employee's position responsibilities.

**External Activities:** For the purposes of this policy, "external activities" means service and/or organized activities/employment which require a substantial and regular commitment of time, whether compensated or not, for a non-university entity. This term excludes scholarly activities undertaken as a part of the employee's position responsibilities.

**Immediate Family Members:** For purposes of this policy, an "immediate family member" refers to spouse and dependent children. Domestic partners shall be treated as spouses for purposes of this policy. The definition is different in policies related to nepotism and purchasing.

**Management Role:** Management role refers to a position in a non-university entity with oversight over or responsibility for the entity's strategies and/or operations. Examples include director, scientific director, board member, line officer, etc.

**Non-University Entity:** The term "non-university entity" includes for-profit or not-for-profit entities outside of the university, such as corporations, companies, partnerships, sole proprietorships, associations and governmental entities (federal, state or local). The term excludes affiliated entities which act for the benefit of the university (such as the Board of Regents, Alumni Association, ISU Research Foundation, ISU Foundation or the like).

**Professional Activity Leave:** Supervisor-approved leave granted to faculty and P&S staff for external activity such as consulting.

**Significant Financial Interest:** A "significant financial interest" is any financial interest that has the potential to compromise an individual's objectivity. The dollar value that is considered "significant" for the purposes of this policy is determined by the relevant federal or state law, or agency policy. See the [COIC Procedures, Applications, and Guidance](#) for dollar values specific to each situation. Significant financial interest includes, but is not limited to:

- Equity ownership or stock options. Excepted are equities held in retirement accounts or mutual funds.
- Sole proprietor, partner, owner or member of a partnership or limited liability for-profit entity (includes remuneration from private consulting activities).
- Consulting substantially related to patented or patentable intellectual property in which the employee has an interest.
- Consulting for an entity that has a financial interest in or sponsors the employee's university scholarly activities.
- Ownership of, or rights held in, intellectual property or research materials (which may include rights to receive royalties), the value of which may be affected by the outcome of the employee's university activities. Excepted are intellectual property and research materials held by ISURF.
- Any of the above applicable to the employee's spouse and/or dependent children.

**Other Outside Employment:** If disclosure and approval are required, the outside employment is subject to review by the supervisor prior to the time of accepting outside employment and whenever a conflict with university obligations occurs. It should be discussed annually at the employee's annual evaluation. Supervisors may implement a Departmental Management Plan to address conflicts of commitment, interest and appropriate use of university resources. When an employee has dual employment, it is important that the employee disclose the relationships with both employers. It may be necessary for both employers to arrange for ownership and management of intellectual property.

**Service to Government and Associations:** ISU encourages and often expects faculty and professional employees to be involved with non-university entities such as government advisory boards, professional associations, journals, academic societies and other non-profit associations whose purposes are to advance Iowa State University, government effectiveness, or the employee's disciplines and professions. Such service should be discussed during the annual review to assure appropriate level of effort.