



# UTAH VALLEY UNIVERSITY

## Policies and Procedures

<b>POLICY TITLE</b>	Annual Faculty Reviews	<b>Policy Number</b>	633
<b>Section</b>	Academics	<b>Approval Date</b>	June 22, 2017
<b>Subsection</b>	Faculty	<b>Effective Date</b>	June 22, 2017
<b>Responsible Office</b>	Office the Senior Vice President of Academic Affairs		

### 1.0 PURPOSE

**1.1** Annual reviews are essential to the meaningful evaluation of tenured, tenure-track, and non-tenure-track faculty members. These reviews are used to help advance faculty members' professional goals and expectations and to foster and support faculty in teaching, scholarship/creative works, service, and compliance with university policies. This policy establishes annual reviews as a mandatory tool to assess each faculty member's performance for retention, tenure, and promotion.

### 2.0 REFERENCES

**2.1** Northwest Commission on Colleges and Universities *Accreditation Standards* 2.B.6: "Human Resources"

**2.2** Utah Board of Regents' Policy R481 *Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review*

**2.3** UVU Policy 631 *Student Evaluations of Faculty and Courses*

**2.4** UVU Policy 632 *Assignment and Advancement in Academic Rank*

**2.5** UVU Policy 635 *Faculty Rights and Professional Responsibilities*

**2.6** UVU Policy 637 *Faculty Tenure*

**2.7** UVU Policy 638 *Post-Tenure Review*

**2.8** UVU Policy 641 *Salaried Faculty Workload—Academic Year*

**2.9** UVU Policy 644 *Appointment and Responsibilities of Department Chairs*

### 3.0 DEFINITIONS



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**3.1 Annual review:** An annual assessment that includes a written report and a personal meeting between a supervisor and a faculty member (including chairs) to document and discuss the faculty member's performance in the past year and future goals in teaching, scholarship/creative works, and service.

**3.2 Annual review improvement plan:** A written plan developed by the faculty member and supervisor that identifies areas for improvement and a course of action.

**3.3 Department:** A group of salaried, benefits-eligible faculty members from the same or related disciplines who are authorized by the Senior Vice President of Academic Affairs (SVPAA) to act as an academic unit in evaluating faculty peers for retention, tenure, and promotion.

**3.4 Faculty member:** An employee hired into a faculty position categorized as a full-time, benefits-eligible employee. In this policy, the term "faculty" means a faculty member whether tenured, tenure-track, or non-tenure track.

**3.5 Non-tenure-track faculty:** A faculty member in a position ineligible for tenure, including lecturer, appointment in residence, visiting faculty/scholar, senior lecturer, senior appointment in residence, and senior visiting faculty/scholar.

**3.6 Post-tenure retention review:** The period of time after a failed or partially failed post-tenure review, or two annual reviews that do not meet expectations in a three-year period, when a tenured faculty member is subject to remediation under an improvement plan under this policy.

**3.7 Retention, tenure, and promotion (RTP) criteria:** Program/department criteria corresponding to teaching, scholarship/creative works, and service, outlining requirements for the achievement of retention (including post-tenure), tenure, and promotion for tenure-track and tenured faculty members, and compliance with university policies.

**3.8 Supervisor:** In the case of a faculty member, the supervisor is the department chair. In the case of a department chair, the supervisor is the dean.

**3.9 Tenure:** A status of continued employment, awarded to qualified faculty members, that promotes academic freedom, attracts professionals of ability, and enhances the quality of the University's academic programs.

**3.10 Tenure-track faculty:** A faculty member in a position eligible for tenure, including assistant professor. May include associate professor and professor if hired into such ranks without tenure.

**3.11 University Annual Review Performance Template:** An electronic template, supplied by the SVPAA, which includes the minimum criteria for, and is used for the documentation of, faculty members' performance and goals in teaching, scholarship/creative works, service, and compliance with university policies.



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### 4.0 POLICY

**4.1** Supervisors of faculty shall conduct an annual review of each faculty member's performance for purposes of retention, tenure, and promotion. The annual review shall be conducted in a consistent, collegial, and nondiscriminatory manner.

**4.2** The Office of the Senior Vice President of Academic Affairs (SVPAA) provides oversight and management of the annual review process, and approves and retains copies of all retention, tenure, and promotion (RTP) criteria.

**4.3** Annual reviews shall address compliance with university policies and RTP criteria for teaching, scholarship/creative works, and service. The standards against which faculty are evaluated are established by each department in its RTP criteria. RTP criteria establishes differing standards for tenure, post tenure, rank advancement, non-tenure track and merit reviews. Departmental criteria and procedures shall be consistent with the requirements of *University Annual Review Performance Template* and all university policies and RTP requirements.

**4.4** Annual reviews must be completed using the *University Annual Review Performance Template* developed by Faculty Senate in consultation with and approved by the SVPAA. Annual reviews include both an evaluation of the last year's performance and establishment of goals for the upcoming year. Annual reviews are developed by the faculty member and agreed upon with the department chair. The annual plan establishes objectives that must reflect RTP criteria standards corresponding with the faculty member's rank and assigned workload. The annual evaluation assesses the faculty member's achievements against the objectives established in the annual plan.

**4.5** To ensure equality and fairness, departments or schools/colleges (if applicable) shall use the same evaluation instruments and methods for all faculty members in the department, and shall ensure that the criteria, procedures, and template are available to all faculty members.

**4.6** Annual reviews shall be included in school/college personnel files for non-tenure-track, tenure-track, and tenured faculty members, and shall be available to the dean upon request.

**4.7** Annual reviews shall be included in tenure-track/tenured faculty members' portfolios for midterm, tenure, rank advancement, post-tenure, and merit purposes.

**4.8** For tenured faculty members, annual reviews shall serve as the primary mechanism for

1) Determining recognition for performance that exceeds expectations. Faculty members who exceed expectations in teaching (which shall weigh more heavily in an annual review), scholarship/creative works, and/or service may be recognized for their achievements. A faculty



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member's primary responsibility is teaching. Any deviation or reassignment from teaching responsibilities must be approved in writing by the faculty member's dean and the SVPAA.

2) Facilitating post-tenure review. A tenured faculty member who receives two annual reviews that do not meet expectations within a three-year period shall participate in the remedial post-tenure review process, per Policy 638 *Post-Tenure Review*.

**4.9** For all faculty members, annual reviews provide opportunities to identify areas for improvement in performance and conduct directly related to the faculty member's role and responsibilities.

### 5.0 PROCEDURE

#### 5.1 Annual Review Process and Key Deadlines

**5.1.1** The evaluation period for annual reviews shall be defined as a calendar year. The evaluation component of the annual review shall be based upon the previous calendar year. The performance plan component of the annual review shall address the current calendar year.

**5.1.2** To assess a faculty member's performance, departments and schools/colleges shall use the *University Annual Review Performance Template* to document the annual review. The template shall include separate areas to address compliance with university policies and compliance with RTP policies and criteria. Departments and/or schools/colleges may supplement the template with additional requirements consistent with specific criteria of the department/school/college. Departments and schools/colleges shall retain university-required elements in the template.

**5.1.3** No later than February 7 each year, Faculty members shall submit the self-review portion of the *University Annual Review Performance Template* to their supervisor and schedule a date and time for the annual review meeting.

**5.1.4** At least one calendar week prior to the scheduled annual review meeting, and no later than February 28, the supervisor shall provide a copy of the annual review with any amendments to the faculty member. The supervisor shall not delegate the responsibility for writing or delivering annual reviews.

**5.1.4.1** Faculty members' annual evaluations shall be classified as "exceeds expectations," "meets expectations," or "does not meet expectations" based on RTP criteria for teaching, scholarship/creative works, and service established in their previous years' annual plan for the current evaluation period. A failure to meet expectations in teaching will result in an overall evaluation of "does not meet expectations." Faculty members whose evaluation do not meet expectations in any of the three areas must establish objectives in their annual plan that reflect RTP criteria corresponding with their rank and conditions of hire.



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**5.1.5** Annual review meetings shall be conducted no later than March 7 each year. At the conclusion of the annual review meeting, both the faculty member and the supervisor shall sign the annual review. In the case of disagreement on the annual review, an appeals process will be conducted under 5.2 of this policy. By signing the review, the faculty member is not signifying agreement with the assessment of the review but acknowledging receipt and discussion of the review.

**5.1.6** Department chairs who do not complete annual reviews for each member of their faculty by the specified deadline will receive a “does not meet expectations” rating on their annual review. A faculty member who fail to submit the *University Annual Review Performance Template* by the specified deadline will receive a “does not meet expectations” rating on their annual review. Faculty members shall not be held responsible for their supervisor’s failure to conduct annual reviews.

### **5.2 Disputing Annual Review Findings**

**5.2.1** Faculty members who disagree with part or all of their annual review may submit a rebuttal to their supervisor and department/college RTP committee immediately after the annual review meeting but no later than March 14. The department/college RTP committee shall provide a written response to the rebuttal no later than March 19.

**5.2.2** Resolution of disputes may include observation of teaching or review of scholarship and/or service activities by a faculty member mutually agreed upon by both the disputing faculty member and the supervisor. Any rebuttal and adjudication documentation shall be included with the relevant annual review in the college files and RTP portfolio. If upon adjudication the disputed annual review or any part thereof is determined to be unfounded, the supervisor shall revise the annual review to include only those portions which have been upheld. If the rebuttal or any part thereof is determined to be unfounded, the faculty member shall revise the rebuttal to include only those portions which have been upheld.

**5.2.3** If an additional level of review is requested by any party to the annual review, the matter shall be heard by an ad hoc university-level Faculty Senate committee comprised of full-time tenured faculty and representative(s) of the Office of the SVPAA. The committee shall make a recommendation to the SVPAA. The SVPAA’s decision shall be final.

**5.2.4** If a tenured faculty member receives a second annual review that does not meet expectations in a three-year period, the tenured faculty member may provide a rebuttal per section 5.2.1. If the tenured faculty member does not provide a rebuttal to the second review that does not meet expectations, or is found deficient by the department/college RTP committee after an additional review, the faculty member shall be referred to UVU Policy 638 *Post-Tenure Review* to begin the post-tenure retention review process.



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**5.2.5** If a faculty member has any remaining disagreement with the rebuttal and materials added to the tenure, rank advancement, or post-tenure review portfolio, such disagreement shall be addressed in accordance with UVU Policy 632 *Assignment and Advancement in Academic Rank*, Policy 637 *Faculty Tenure*, or Policy 638 *Post-Tenure Review*, as warranted.

### **5.3 Annual Review Improvement Plans**

**5.3.1** If an annual review or post-tenure review (including any department/college RTP committee evaluation and response) documents that a tenured or tenure-track faculty member's performance falls below expected program/department RTP criteria and university and departmental standards for teaching, scholarship/creative works, service, and/or compliance with university policies, the supervisor and faculty member shall jointly establish a written, detailed improvement plan no later than April 7. If a faculty member and supervisor cannot agree on an improvement plan, the matter shall be taken to the department/college RTP committee who shall make a final decision on the improvement plan.

**5.3.2** If an annual review documents that the performance of a non-tenure-track faculty member in a multi-year appointment falls below university and department standards for teaching and/or compliance with university policies, and, if applicable, scholarship/creative works and department service, the supervisor and faculty member shall jointly establish a written, detailed improvement plan no later than April 7. Non-tenure-track faculty in multi-year appointments shall be eligible for annual review improvement plans only with recommendations from the department chair and dean and approval from the SVPAA. Failure of the non-tenure-track faculty member to accept the improvement plan shall result in termination of the appointment at the conclusion of the current academic year.

**5.3.3** If an annual review documents that the performance of a non-tenure-track faculty member in a one-year appointment falls below university and department standards for teaching, the faculty member shall not be eligible for a faculty appointment for at least one academic year. Non-tenure-track faculty members in one-year appointments shall not be eligible for annual review improvement plans.

**5.3.4** The annual review improvement plan shall be included in the faculty member's department personnel file and review portfolios for midterm, tenure, rank advancement, or post-tenure review, as applicable. A copy of the improvement plan shall also be included in the faculty member's file in the dean's office and the SVPAA's office.



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### 5.4 Summary of Relevant Dates\*

<b>Annual Reviews</b>	
February 7	Deadline for faculty members to complete the required self-review areas on the <i>University Annual Review Performance Template</i> , and other department/school/college annual review forms, if any, that supplement the template.
February 28; at least one week prior to face-to-face meeting	Deadline for supervisors to complete and deliver the appropriate sections of the faculty member’s <i>University Annual Review Performance Template</i> and any other department annual review forms, if any, which supplement the template.
March 7	Deadline for the annual review face-to-face meeting between the supervisor and faculty member.
<b>Annual Review Disputes</b>	
March 14	Deadline for faculty member to submit a written rebuttal to the supervisor and department/college RTP committee to request department/college RTP committee’s evaluation of the review.
March 19	Deadline for department/college RTP committee’s response to faculty member’s rebuttal/
<b>Annual Review Improvement Plans</b>	
April 7	If first “does not meet expectations” review in three-year period—deadline for an eligible faculty member (per 5.3) and supervisor to create an improvement plan.
March 21	If second “does not meet expectations” review in three-year period—deadline for supervisor to supply copies of eligible faculty member’s (see 5.3) first and second annual reviews that do not meet expectations to department/school RTP committee to begin post-tenure review. (See Policy 638 <i>Post-Tenure Review</i> .)

\* If any due date falls on a weekend or holiday, the due date will be extended to the next business day.

<b>POLICY HISTORY</b>		
June 22, 2017	New policy approved.	UVU Board of Trustees