

3320

ANNUAL ~~AND PERIODIC~~ PERFORMANCE EVALUATIONS AND SALARY DETERMINATION
OF FACULTY MEMBERS
AND
PERFORMANCE EVALUATION OF ACADEMIC ADMINISTRATORS

PREAMBLE: This section contains those policies and their attendant procedures for those periodic reviews of performance that affect faculty members and academic administrators. Policies concerning performance evaluation were part of the original 1979 Handbook, but were completely rewritten in July 2002 and further refined in 2003. In July 2007 Form 1 underwent substantial revisions to address enforcement and accountability issues in the UI promotion and tenure process as well as align the form with the Strategic Action Plan. In 2008 this section was again revised to reflect recent changes to the faculty position description and evaluation forms were revised to better integrate faculty interdisciplinary activities. Further information may be obtained from the Provost's Office (208-885-6448) ~~and the Office of the Faculty Secretary (208-885-6151).~~ [ed. 7-03, rev. 7-07]

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A. ANNUAL PERFORMANCE EVALUATION AND SALARY DETERMINATION FOR FACULTY MEMBERS.

A-1. PERFORMANCE EVALUATION. Annual evaluation of the ~~appropriate~~ performance of each member of the faculty is, primarily, the responsibility of the faculty member and ~~the her/his~~ unit administrator concerned. The provost is responsible for preparing supplementary instructions each year, including the schedule for completion of the successive steps. The form to be used, "Annual Performance Evaluation Form 1: Evaluation of Faculty," is appended to this section. Personnel on international assignment see [See also FSH 3380 C.] [rev. 7-03]

a. Forms Distributed. Supplies of the form to be used in the evaluation process are procured by deans and unit administrators. The immediate administrative officer is responsible for ensuring that each faculty member receives the proper form together with a copy of the supplementary instructions. [rev. 7-01]

b. Performance levels in each criterion evaluated are described as follows:

i. **Exceptional Performance (5)** is extraordinary performance well beyond that required relative to the position description, including full consideration of the unit's priorities. [rev. 7-02]

ii. **Above Expectations (4)** represents performance which is better than ~~that~~ expected relative to the position description, including full consideration of the unit's priorities. [rev. 7-02]

iii. **Meets Expectations (3)** is the performance expected of a faculty member relative to the position description, including full consideration of the unit's priorities, that can be defined as normative. [rev. 7-02]

iv. **Below Expectations (2)** denotes performance that is less than ~~that~~ expected of a faculty member relative to the position description (including full consideration of the unit's priorities) and means improvement is necessary. A rating of this type triggers procedures outlined in 3320 B. [rev. 7-02]

v. **Unacceptable Performance (1)** is performance that is not acceptable relative to the position description (including full consideration of the unit's priorities) and/or is inconsistent with the conditions for continued employment with the institution. Failure to meet these standards in any of the following ways will result in a rating of unacceptable performance: [rev. 7-02]

- a) received a "1" rating the previous period but did not make the improvements required;
- b) consistently violated one or more of the institution's standards for meeting the expectations of the position; or

Comment [AT1]: These highlighted sections were a change approved in 2002 but inadvertently left out when the 2002 changes were completed.

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c) violated one or more standards of conduct as specified in the *Faculty/Staff Handbook*

c. Annual Report of Efforts and Accomplishments by Faculty Member. Each faculty member shall provide his or her unit administrator with the following materials for use in the annual performance evaluation:

- (1) Current Curriculum Vitae
- (2) UI Faculty Position Description for Annual Performance Review
- (3) Written Detailed summary report of Faculty Activity Summary for the period of the Annual Performance Review that compares accomplishments to expectations in the Position Description for the period under review
- (4) Other materials deemed necessary to document efforts and accomplishments for the period under review. [add. 7-01]

d. Evaluation of Faculty by Unit Administrators. Unit administrators evaluate their faculty members; the performance of each faculty member over during the review period covered by the evaluation is judged on the basis of the position description(s) in effect during that period. In the case of faculty members holding joint appointments and/or involved in interdisciplinary activities, as noted described in the position description, in two or more academic or administrative units, it is the responsibility of the administrator in the faculty member's primary academic discipline to solicit and consider relevant information on job performance from other administrators with responsibility for the faculty member's work. [See also 3080 E-3.]

Ratings are determined by comparing the faculty member's performance to the position description, and the weightings set forth in the departmental by laws approved by the unit members [effective Fall 2003]. The results of the student evaluation of teaching are carefully weighed and used as a factor in this evaluation. For each area of responsibility—evaluated, the unit administrator shall describe the basis for conclusion/judgment/his evaluation in assessing the faculty member's performance, of the faculty member. The ratings and additional comments or narrative, as the evaluator deems appropriate, are entered as indicated on the form. The annual evaluation score for an individual faculty member in Form 1 relates to the individual faculty member's performance evaluation relative to his/her position/job description. The overall unit average is provided to the faculty member upon request so that each faculty member can gauge his/her performance relative to other faculty members within the unit/unit. After the unit administrator has completed ratings and narratives of for all individual written evaluations and ratings of faculty for the annual review period, he or she shall provide these the following items to the each reviewed individual, as they become available: [rev. 7-03]

- (1) a copy of the individual's annual evaluation form and narrative written evaluation and ratings to the faculty member,
- (2) if requested, comparative information to help assess their performance evaluation and numerical ratings, including, but not limited to:
 - (a) Frequency distribution for overall ratings for the unit
 - (b) Frequency distribution for overall ratings for the college [rev. 7-97, renumbered and rev. 7-01]

e. Self-Evaluation and Conference. Each faculty member is given an opportunity to use the evaluation form (FSH 3320 Form 1) and procedure described in A-2 and to make an evaluation of his or her own performance. The unit administrator shall provide each faculty member with the opportunity to meet to discuss the unit administrator's annual evaluation. (Suitable alternate arrangements are made for off-campus personnel.) The purpose of this meeting is to review and discuss the administrator's evaluation and the self-evaluation, if any. The unit administrator explains his or her ratings and comments narrative providing a formative assessment on progress towards tenure, promotion, and/or continued satisfactory performance related to the faculty member's performance during the year and any revisions in professional goals and objectives for the coming year. The faculty member and the unit administrator work to identify strategies that would to help the individual improve his or her performance. The ratings may be modified as a result of the discussion. At the

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conclusion of the review process ~~for the annual evaluation~~, each faculty member shall sign the evaluation form indicating that ~~they she/he have has~~ had the opportunity to read the evaluation report and to discuss it with the unit administrator. If the faculty member disagrees with the contents of the review, the faculty member shall be permitted to append a report to the unit administrators' evaluation, detailing the nature of the dissent. A copy of the administrator's final evaluation is given to the faculty member. [*renumbered and rev. 7-01*]

f. College-Level Action. Copies of the performance evaluation materials forwarded by the unit administrator to the appropriate dean(s), for evaluation at the college(s) level, shall include:

- ~~including the~~ narrative evaluation on progress towards tenure, promotion, and/or continued satisfactory performance,
- ~~by the unit administrator and any evaluative comments provided by interdisciplinary/center administrators or from those administrators of faculty holding joint appointments, a dissent report (if any) by the faculty member, and~~
- the evaluation form, are forwarded to the appropriate dean for evaluation at the college level.

If the narrative evaluation and evaluative comments are not attached, the form materials will be returned to the department by the college.

~~If a~~ the event of a report of a dissent is filed by the faculty member, it shall be provided to the dean.; ~~†~~The dean shall arrange a meeting with the unit administrator and the faculty member to attempt to resolve the relevant issues. The dean enters an evaluation in the space provided on the evaluation form. A copy of that form is given to the faculty member and ~~the original another copy~~ is forwarded to the ~~President's Provost's~~ Office for permanent filing [see FSH 1470 and APM 65.02]. ~~A copy of the original~~ evaluation form is retained in the college office. If the dean concurs with the overall evaluation and rating of the faculty member by the unit administrator, no additional signature is required from the faculty member.

If there are any differences in any rating between the unit administrator and college dean, a narrative prepared by the dean shall be attached stating the reasons for these differences and ~~However, if the dean's evaluation and rating is different from that of the unit administrator,~~ a second and subsequent signature by the faculty member, acknowledging receipt of the dean's evaluation and rating, is required. The original evaluation form and narrative is ~~are~~ forwarded to the Provost's Office for permanent filing. If the narrative is not attached the form will be returned to the college by the provost. A copy of the evaluation form is retained in the college office. If the faculty member disagrees with the Dean's evaluation and the ~~difference~~ disagreement cannot be resolved at the college level, either party may choose to refer the matter to the University Ombuds (FSH 3820). If the matter remains unresolved at the college level, the Provost shall be notified of the ~~dissent~~ disagreement. [*renumbered and rev. 7-01, 12/06*]

A-2. SALARY DETERMINATION. This process is carried out at the departmental and higher levels of academic administration. ~~Each year the provost specifies the definitions of the salary increment categories to be used and prescribes their proportionate distribution. A "Salary Recommendation" form is completed for each faculty member according to the schedule established by the provost. [See also 3380 E and FSH 3420.]~~

~~**a. Departmental Action.** The unit administrator enters a recommended salary increment category in the space provided on each salary form. This recommendation will reflect the performance evaluation described in A, relative salary position, and other relevant factors. Special considerations should be noted in the "Comments" section at the bottom of the form or by an accompanying written statement. The unit administrator will submit written justification if his or her assignment of specified salary increment categories departs substantially from the prescribed distribution. Such justifications are taken into consideration by the dean in arriving at an equitable college-wide distribution among the categories. The unit administrator forwards the Salary Form for each faculty member to the dean, together with a listing of all members of the unit. [ed. 7-01]~~

Comment [AT2]: This language and a through f are basically verbatim to language in FSH 3420 B-1 through B-6. A-2 g. has been moved to B-7 in 3420.

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~~**b. College Action.** Deans, at their discretion, may require administrative officers under their jurisdiction to supplement their salary increment recommendations by such means as copies of the evaluation form, written statements, or personal conference. The dean enters a recommended salary increment category in the space provided on each Salary Form. The dean's distribution of faculty members among the salary categories is guided by the recommended proportions and takes into account possible differences in qualifications and merit among departments; e.g., it may be that the average members of an outstanding department are given consideration equal to that accorded the top members of an average department. When this stage has been completed, the dean meets individually with each unit administrator for review of the dean's recommendations. The dean forwards the Salary Form for each faculty member to the provost. *[ed. 7-01]*~~

~~**e. Presidential Action.** Review and action by the provost consists primarily of making adjustments necessary to arrive at an equitable distribution of faculty members among salary increment categories for UI as a whole. After a recommended salary increment category has been established at the departmental, college, and presidential levels, a copy is sent to the faculty member. The president determines, on the basis of funds available, the salary increment range applicable to each category.~~

~~**d. Budget Office Action.** The Budget Office provides computer printouts showing current salary and tentative salary for the coming year and sends the appropriate list to each dean.~~

~~**e. Review and Adjustment.** The dean, in consultation with each unit administrator in the college, makes corrections and minor adjustments as necessary to place each faculty member on the proper salary basis within the department. The aggregate of final salary recommendations must fall within the total salary-increase budget established for the college. *[ed. 7-01]*~~

~~**f. Final Approval.** The provost, after consultation with the deans, approves the corrected lists. When they have been approved by the president and the regents, faculty members are officially notified of their salaries for the coming year and "Salary Agreement" forms [see 3080] are sent to them for completion. *[ed. 7-97]*~~

~~**g. Merit-based Salary Increases Not Funded.** If, in any year or consecutive preceding years, funding is not provided for merit-based salary increases or funding is only provided for cost-of-living increases, the annual review reports will be retained at the unit level. At such time that as merit-based salary increases are available, the recommendation for merit increases shall be based upon the average scores of the current period and any preceding consecutive periods for which merit based funding was not provided. *[add. 7-01]*~~

B. PERFORMANCE BELOW EXPECTATIONS OF TENURED FACULTY MEMBERS (See also FSH 3190)

B-1. If the unit administrator determines that a faculty member is performing below expectations, the unit administrator should consider the variety of possible causes, other than ~~mere application of inadequate~~ effort on the faculty member's part, that might be responsible for the change.

It is not the unit administrator's role to diagnose the cause of the problem but to suggest sources of appropriate professional help and to encourage the employee to seek such help [<http://www.hr.uidaho.edu/default.aspx?pid=70192> www.uidaho.edu/hrs/benefits/health/eap.html]. Faculty members and unit administrators may obtain referral information and advice from the University Ombuds and Human Resources. *[ed. 12-06]*

B-2. FIRST ANNUAL OCCURRENCE.

a. In the event that a faculty member receives an annual evaluation concluding that the faculty member has performed below expectations (**2 or lower**) within one area of responsibility, the unit administrator will offer to meet with the faculty member to identify the reasons for evaluating the performance as below expectations.*

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(1) The faculty member and the unit administrator will review the current Position Description and ~~examine strategies that would permit the faculty member to improve his or her performance~~ revise it as necessary to address the issues identified during the discussion.

~~(2) The faculty member and the unit administrator will write a development plan that will assist the faculty member in improving his or her performance to meet expectations.~~

b. In the event that a faculty member receives an annual evaluation concluding that the faculty member has performed below expectations (2 or below) in the overall score, the unit administrator will offer to meet with the faculty member to identify the reasons for evaluating the performance as below expectations.*

~~(3) The unit administrator will appoint a mentoring committee by selecting three individuals from a list of five faculty members nominated by the faculty member, or if the faculty member makes no nominations, will appoint three faculty members of her/his choosing.~~ The mentoring committee's purpose is to help the faculty member improve performance. The members of the committee need not be drawn from the same unit as the faculty member. The faculty member or unit administrator may request that the University Ombuds attend ~~this~~ meetings of the mentoring committee and faculty member. [ed. 12-06]

bc. In the event that a faculty member receives an overall score of 1, the provost ~~can~~ may determine that further review of a faculty member's performance is required. This review will be conducted in accordance with the procedures prescribed in 3320 B-4.

*These steps will be taken within sixty days of the annual evaluation.

B-3. TWO CONSECUTIVE ANNUAL ASSESSMENTS OF BELOW EXPECTATIONS. In the event of two consecutive annual evaluations concluding that the faculty member has performed below expectations (~~an overall or within one or more areas of responsibility (ana overall summary score of 2 or lower)~~ an overall or within one or more areas of responsibility (ana overall summary score of 2 or lower)) the unit administrator will arrange a meeting of the faculty member, the unit administrator and the Dean of the College. The faculty member or the unit administrator may request that the University Ombuds attend the meeting. [ed. 12-06]

The intent of the meeting is to review:

- a. the current position description and revise it ~~as~~ if necessary to address the issues identified during the discussion.
- b. the ~~development plan strategies~~ implemented in the previous year and to identify why the ~~plan strategies~~ did not result in the faculty member meeting expectations. The parties should re-examine strategies that would permit the faculty member to improve his or her performance.

*These steps will be taken within sixty days of the annual evaluation.

B-4. THREE CONSECUTIVE ANNUAL EVALUATION ASSESSMENTS OF BELOW EXPECTATIONS. In the event of three consecutive annual evaluations below expectations overall or within one or more areas of responsibility, or a pattern of below expectations evaluations over five years (~~an overall~~ summary score of less than 2 or lower), the Dean shall initiate a formal peer review.

a. Composition of the Review Committee. The Review Committee will consist of six (6) members, appointed as follows:

- i. The Faculty member will submit to the unit administrator a list of the names of three faculty members from within the unit and three tenured faculty members from outside of the unit. The unit administrator will submit a similar list to the faculty member. From the list given to the faculty member, he/she will

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select one person from inside of the unit and one from outside the unit. From the list given to the unit administrator, he/she will select one person from inside of the unit and one from outside the unit.

- ii. The committee members will select as chair another faculty member from within the unit.
- iii. The Ombuds or his/her designee shall be an ex-officio member of the committee. [*ed. 12-06*]

b. Timing of the Review. The review and recommendation(s) will be completed within sixty days of the annual evaluation.

c. The Review. The purpose of the review is to assess the level of performance of the faculty member and the unit administrator's evaluation of that performance. To that end, the committee shall assess the reasonableness of the previous evaluations and the appropriateness of the development plans, as well as any material submitted by the faculty member and the unit.

The faculty member and chair will provide the following materials to the committee:

- Updated Curriculum Vitae of the faculty member
- Position Descriptions for the past four years
- Annual evaluation materials submitted by the faculty member for the past three years
- Annual Evaluations of the faculty member by the unit head and the Dean for the past three years
- Student and peer evaluations (if any) of teaching for the past four years
- A self-evaluation of teaching
- A self-assessment summary of what the faculty member has learned and achieved during the past four (4) years, including contributions to the department, university, state, nation, and field (about 2 pages).

The faculty member may submit any additional information he or she desires, and the committee may request additional materials as it deems necessary.

d. Responses to Committee Report. The faculty member, chair, and dean will receive the report and will have fifteen days from the report's date to submit written responses to the review committee. The review committee will send the report and all responses to the provost.

e. Provost. The Provost will be responsible for determining the appropriate resolution, which may include:

- 1) continuing the status quo;
- 2) mentoring to address area(s) of concern;
- 3) termination for cause;
- 4) consideration of other recommended resolution(s).

C. PERFORMANCE EVALUATION OF ACADEMIC ADMINISTRATORS.

C-1. EVALUATION BY FACULTY MEMBERS. Opportunity is provided for an annual performance evaluation of college deans, assistant and associate deans, and administrators of academic departments and other intracollege units by the faculty members of the respective units. The provost sends each faculty member an appropriate number of copies of the form, "Annual Faculty Evaluation of Academic Administrators" [form is appended to this section] to be used for evaluation of the departmental or intracollege-unit administrator, one to be used for evaluation of the dean, and one to be used for evaluation of each assistant or associate dean in the college.

C-2. EVALUATION OF DEPARTMENTAL OR INTRACOLLEGE-UNIT ADMINISTRATORS AND ASSISTANT AND ASSOCIATE DEANS. Completed copies of the form are sent directly to the dean. The dean furnishes the administrator evaluated a summary of the evaluations in such a way that the confidentiality of individual evaluations is preserved. The dean may arrange conferences with the administrator to discuss the

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evaluation. After these steps have been completed, individual faculty members' evaluations are destroyed by the dean and the written summary is filed in the dean's office.

C-3. EVALUATIONS OF DEANS. Completed copies of the evaluation form are sent directly to the provost. The provost furnishes each dean evaluated a summary of the evaluations in such a way that the confidentiality of individual evaluations is preserved and confers with the dean about the evaluation. After these steps have been completed, individual faculty members' evaluations are destroyed by the provost and the written summary is filed in the Office of Academic Affairs.

D. SEQUENCE OF EVALUATION OF FACULTY MEMBERS AND ADMINISTRATORS. The provost prepares the schedule for completion of steps in the performance evaluation and salary determination process each year. It will provide that faculty members' evaluations of departmental or intracollege-unit administrators and assistant and associate deans are in the hands of the dean before the administrators' recommendations on salary, promotion, and tenure are made known to the faculty and, similarly, that faculty members' evaluations of deans are in the hands of the provost before the deans' recommendations on salary, promotion, and tenure are made known to the faculty. Conversely, the summaries of faculty evaluations of departmental or intracollege-unit administrators, assistant and associate deans, and deans will be communicated to the persons evaluated after their recommendations on salary, promotion, and tenure have been transmitted to the provost.

(Forms on next five pages)