

# DEAN'S GUIDELINES

## ANNUAL REVIEW

(Accompanies Section 2.1 of the College Personnel Policy)

(Revised Fall 2005)

### I. REQUIREMENT FOR ANNUAL REVIEW

Each faculty member will be reviewed annually. Annual reviews shall assess performance in relationship to the Annual Work Plans for the period under review whenever Annual Work Plans are available, and they shall take into account patterns of career accomplishments and promise of continuing activity. Extramural reviews of research and creative activity are optional in annual reviews and are not generally solicited. However, if extramural reviews are to be obtained, the Dean's Office will facilitate their solicitation. Annual reviews and the evidence on which they are founded will become the basis for periodic career reviews.

A faculty member may waive consideration for an annual salary increase by informing the Dean of a desire to do so, through the chair of his or her division, department, or program (hereafter "unit"). However, because the annual performance evaluation process is tied to the Periodic Career Review process, faculty members may not be exempted from annual reviews and are required to submit the materials needed for such reviews.

### II. DEVELOPMENT OF UNIT PERSONNEL POLICIES

Each A&S unit in which faculty members may hold appointment shall develop a unit policy to implement the Arts and Sciences Personnel Policy concerning annual reviews. Each unit shall submit its policy document to the Arts and Sciences Personnel Committee and the Dean for approval. Among the elements that must be included in each unit policy are the following:

- A. The standards used to distinguish and differentiate between performance that is not proficient, proficient, highly proficient, and exceptional.
- B. The system by which money for annual salary increases will be distributed to those earning ratings of proficient, highly proficient, and exceptional.
- C. A description of the nature of the evidence that is expected to be in each review file. As stipulated in the College Personnel Policy, at a minimum, each file must contain a *curriculum vitae*, copies of Annual Work Plan documents, and information relevant to the quality of instruction for the review period, including copies of results of student evaluations for all courses taught at the University of Louisville during the

review period. Each faculty member's *curriculum vitae* shall be in a standard form as directed by the College and marked in some fashion to indicate those activities accomplished during the review period.

D. A definition of the evidentiary base that is used in reviews and a description of the rules for the submission of evidence of performance. Among other things, these rules should cover the submission of evidence concerning work in progress.

### **III. MAINTENANCE AND SUBMISSION OF FILES**

The individual A&S units shall have the responsibility of assembling the personnel files that shall be used in annual reviews. These files must be divided into sections for appropriate areas of activity and assembled in conformity with any additional guidelines issued by the Office of the Dean.

Reviewees have the right to place in their files any material they wish that relates to entries on their *curriculum vitae*. If they contribute substantially to interdisciplinary programs in the College or to the efforts of an A&S unit in which they hold no formal appointment, they are encouraged to solicit letters of evaluation from the heads of those units to place in their files. Unit personnel committees and chairs may at any point in the review process require the reviewee to submit additional evidence relating to activities indicated on the *curriculum vitae*.

Units must take care that records are maintained that satisfy the requirements concerning evidence in promotion and tenure reviews. As in all other personnel actions, the individual faculty member is ultimately responsible for the accumulation of evidence for annual reviews. However, the faculty member may be assisted in this task by his or her personnel committee and chair. Any reduced requirements concerning the presentation of evidence in annual reviews shall not be construed as reducing the burden of evidence to be presented in career reviews. The requirements concerning evidence in career reviews are established in the sections of the College Policies and Procedures and of the Dean's Guidelines dealing with career actions.

### **IV. EVALUATION OF FACULTY WITH PRIMARY AND SECONDARY APPOINTMENTS**

The annual review of faculty members with appointments in two or more A&S units shall be conducted by the unit in which the faculty member has the primary appointment. However, before the review of a faculty member with appointments in multiple units is conducted within the unit of primary appointment, the personnel committee of the primary unit shall forward a copy of that faculty member's *curriculum vitae* to any other A&S unit in which the faculty member holds a secondary appointment and solicit from both the personnel committee and chair of that secondary unit a written evaluation of the faculty member's

performance. The primary unit shall share with any secondary unit any materials requested from the reviewee's file. The faculty member under review shall be shown any evaluations prepared in a secondary unit and shall be allowed a three-day period to comment upon such evaluations before his or her case is considered by the personnel committee of the primary unit. The evaluations prepared in secondary units and responses to them shall become a part of the record in annual reviews and shall be forwarded to the Dean's Office along with the reports prepared in the primary unit.

For faculty members who hold appointments involving both the College of Arts and Sciences and another academic unit of the University, an annual review will be conducted within the College by the relevant unit and that review will consider only the contributions made by the reviewee to the mission of the College. The procedure within the College shall be the same as that stipulated for faculty with single appointments in A&S. However, the Dean of the College of Arts and Sciences will consult with the Dean of any other University unit in which the reviewee holds an appointment before deciding on a final annual evaluation and salary increase.

#### **V. EVALUATION OF FACULTY WITH ADMINISTRATIVE RESPONSIBILITIES**

Faculty members who have administrative responsibilities shall be evaluated for their administrative services as well as for their other faculty responsibilities. As specified in the College Personnel Policy, "each department shall develop specific policies for the evaluation of Chairs." It is suggested that in this regard unit policies include an opportunity for individual faculty members to comment on the performance of the chair.

As stipulated in the College Personnel Policy, the policies of units for the evaluation of chairs "must include gathering specific assessments of the Chair's performance from individuals such as the Dean." Furthermore, "the department Chair, together with the department personnel committee, will be responsible for identifying such individuals." When chair reviews are conducted within divisions or programs, these A&S units will follow procedures parallel to those of departments. The chair of the unit personnel committee will be the person who actually solicits the required assessments and collects them for use in the unit personnel committee's evaluation. When the Dean or other members of the Dean's Staff are asked to report on the performance of a chair, they shall limit their comments to objective reports on the chair's activities. Neither the Dean nor members of the Dean's Staff should be in a position to make recommendations about the evaluation of a faculty member at the unit level. The chair being reviewed has a right to see copies of statements submitted by individuals outside the unit and to comment on those statements in writing before the evaluation of the chair is conducted by the unit personnel committee. The period allowed for a

chair's response to comments from individuals outside the unit is three working days.

In the annual review of Associate Deans and other faculty members with administrative appointments within the College but outside the unit of their appointment (e.g., the Director of the Honors Program, the chair of the Division of Humanities), the chair of the unit in which those administrators hold primary appointment, in consultation with the unit's personnel committee, shall solicit statements from the Dean in which the Dean reports on the performance of those Associate Deans or other administrators. These reports should be objective in nature, rather than recommendations about how Associate Deans or other administrators should be evaluated at the unit level. If they wish, units may also solicit statements from others with whom the administrators under review interact. The Associate Deans or other administrators being reviewed have a right to see copies of statements submitted by individuals outside their units concerning their performance and to comment on those statements in writing before their evaluation is conducted by their unit personnel committee. The period allowed for a response to comments from individuals outside the unit is three working days.

## **VI. UNIT REPORTS AND DEAN'S DECISIONS**

Each unit personnel committees shall prepare a recommendation for a performance-based salary increase for each faculty member in the unit who is subject to review. This recommendation shall be addressed to the chair. The report must include a recommended evaluation level, as well as the reasoning involved in making the recommendation. If a faculty member is determined to be "not proficient," the review must include specific suggestions for improving performance.

Having considered the recommendations of the unit personnel committee, the unit chair shall recommend to the Dean an evaluation for performance-based salary increase for each member of the faculty subject to review in his or her unit. The report must include the reasoning behind the recommendation. A statement that the chair concurs with the reasoning of the unit personnel committee would satisfy this requirement. The chair shall also submit to the Dean a summary of awards recommended in the unit, indicating the rating for each faculty member by the chair and the personnel committee.

Any faculty member under review may offer rebuttal to any recommendation, and that rebuttal shall become part of the record forwarded to the next level of review. The period allowed for rebuttal shall be three working days after a copy of the recommendation in question is delivered to the reviewee. All recommendations prepared at the unit level shall be consistent with the policies and guidelines of the College and the unit.

Having considered the recommendations of unit personnel committees and chairs, the Dean shall make a decision concerning a rating and salary increase to be recommended to the Provost for each faculty member reviewed. The Dean shall inform the Arts and Sciences Personnel Committee of the results of all decanal decisions regarding ratings and performance-based salary increases.

Upon the request of any probationary or tenured faculty member, the chair of a unit shall provide to that faculty member a report of decanal ratings for the faculty members in the unit. However, this report shall not include the names of faculty members, but rather indicate the number of individuals rated not proficient, proficient, highly proficient, and exceptional.

## **VII. APPEALS OF THE DEAN'S DECISIONS**

After being informed of the Dean's decision concerning performance-based salary increase in his or her case, a faculty member may request review of that decision by the College Personnel Committee. The request for review must be submitted within ten working days of the notification of the decanal award. In those instances in which a review by the Arts and Sciences Personnel Committee is requested, the Committee may require additional evidence from the individual faculty member or the unit, as well as a summary of ratings for other members of the same unit.

Within thirty days of the receipt of an appeal, the College Personnel Committee shall review the case in question and submit to the Dean a written statement of its findings and recommendations. The committee shall send a copy of its findings to the reviewee, the chair of the reviewee's unit, and the chair of the reviewee's unit personnel committee. After considering the findings of the College Personnel Committee, the Dean shall make a final decision and shall make that decision known, in writing, to the chair of the College Personnel Committee, the reviewee, the chair of the reviewee's unit, and the chair of the reviewee's unit personnel committee.