
Title: Written Performance Summaries (Faculty) – Use in Annual Salary Adjustments and Personnel Actions

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The purpose of this document is to identify key policy statements related to annual written performance summaries, and to clarify related procedures.

1. Written Performance Summaries & Annual Salary Adjustments

Written performance summaries for all faculty have long been a part of the annual salary adjustment process. Policy language in the *Faculty Handbook* and the *Administrative Manual* has been revised in the past few years. The formal language can be found in the Appendix of this document, but here are the key points:

- For each faculty member, a written performance summary is created annually. This summary will include a performance rating (“less than satisfactory performance”, “satisfactory performance”, “exemplary performance”) which will inform the faculty member’s annual salary adjustment.
- The written performance summary will also be used in personnel actions (see below).
- Along with the performance rating, faculty can also be considered for a “special salary adjustment” due to equity concerns or other pertinent issues.
- Deans will report all performance ratings to the Provost. In certain cases, a justification for the rating is required. The written performance summary can serve as the justification, or a separate document can be created, if appropriate. Cases that need justification are:
 - All non-tenured regular faculty. (This has been in effect since Winter 2013.)
 - Tenured faculty whose rating is “less than satisfactory” or “exemplary”.
 - Faculty for which the Dean is recommending a “special salary adjustment”.

Additional guidelines from the Provost’s office:

- Unless problems have been identified, no special annual review process should apply to untenured regular faculty.
- However, for untenured regular faculty, or tenured faculty anticipating applying for promotion, the peer reviewers (or the unit head) should pay particular attention to any potential concerns regarding contract renewal, tenure, and promotion. It is appropriate to identify these potential concerns in the written performance summary.
- For untenured regular faculty, the unit head should present the faculty member with an original and a copy of the written performance summary. The faculty member will sign the original and return it to the unit head and retain the copy for later inclusion with

his/her review materials. This signature does not necessarily indicate he/she agrees with it, rather simply that he/she has received it.

- Although the *Faculty Handbook* is silent on this aspect, if the faculty member wishes, he/she may write a response of not more than one page, which will become part of their written performance summary.
- The unit head shall retain the signed copies of the written performance summaries (and any responses) and of justifications for salary recommendations of all untenured regular faculty, and shall place these in the unit files for future reference.
- A Unit Head's Checklist for these procedures is provided below.

2. Written Performance Summaries & Personnel Actions

In February 2016, the list of required candidate materials was revised in the *Administrative Manual*, to include written performance summaries. The actual language can be found in the Appendix. Connected to this revision, the Provost in late 2015 communicated guidelines to academic Deans regarding which performance summaries must be included in candidate materials for any personnel action:

- **Performance summaries composed in 2016 and thereafter are to be included.**
- **Other summaries from previous years are not required to be included, but can be if the candidate chooses, or if this is an expectation of the unit or college.**
- It is the responsibility of the candidate to retain his/her performance summaries and include these in their dossier. The unit head is encouraged to have a file copy maintained in the department files.

Appendix – Current Policy Language

Current *Faculty Handbook* Section 3.06.A.6.a states:

Unit heads must communicate salary adjustment ranges and a summary of performance in writing to each faculty member by the end of the winter semester. The written performance summary will include the unit head's summary, in writing, of the peer evaluations (or the unit head's recommendations if peer evaluations are not done). The written performance summary will also discuss the faculty member's performance in teaching, scholarship, and service as reflected in the FAP and FAR, and will, for tenure-track faculty who are untenured, address any departmental concerns regarding contract renewal, tenure, and promotion. The unit head will also discuss each faculty member's performance for the past year in a personal meeting held ordinarily by the end of the winter semester/term.

In addition, Section 3.06.A.6.b states:

- i. For tenured faculty members, written justification is not required for recommendations within the satisfactory range. However, appointing officers must prepare a written justification to the Provost to accompany salary adjustment recommendations in the ranges for "less than satisfactory performance", "exemplary performance," and "special salary adjustments." A copy of the justification for these adjustments needs to be provided to each affected faculty member ordinarily by the end of the winter semester/term.
- ii. For tenure-track faculty members who are untenured, written justification is required for recommendations in all ranges. Appointing officers must provide a written justification to the Provost to accompany all salary adjustment recommendations, a copy of which needs to be provided to each faculty member ordinarily by the end of the winter semester/term.

In February 2016, the list of required candidate materials was revised in the *Administrative Manual*. Along with a vita, personal statement, and examples of relevant work, Chapter 4, Section 2.10.5.D states:

Faculty Activity Reports (FARs), Faculty Activity Plans (FAPs), and written performance summaries from the Faculty Annual Salary Adjustment Program for the period relevant to the action under consideration. For probationary faculty, the relevant period shall be the time served as a tenure track faculty member. For tenured faculty, the relevant period shall be the previous six (6) years at the University or the length of service as a tenured and tenure track faculty member normally not to exceed a total of six (6) years.

Unit Head's Checklist

	Tenured Faculty	Untenured, Tenure-Track Faculty
Annual peer review (or unit head review) for salary recommendations	✓	✓
Complete Written Summary of Performance discussing faculty member's performance in teaching, scholarship, and service. Include summary of peer evaluations (or unit head's recommendation if peer evaluations are not done). (3.06.A.5.d; 3.06.1.6.a)	✓	✓
In Summary of Performance, include any departmental concerns regarding contract renewal, tenure, and promotion.		✓
Provide written justification for "less than satisfactory" and for "exemplary" performance (3.06.A.6.b.i)	✓	✓
Provide written justification for "satisfactory" performance (3.06.A.6.b.ii)		✓
Forward summary of peer evaluations and written performance summary to dean	✓	✓
Communicate salary adjustment range and summary of performance in writing to faculty member by end of Winter semester. Provide copy of justifications for salary adjustment to faculty member. (3.06.A.6.a)	✓	✓
Discuss faculty member's performance for past year in personal meeting. (3.06.A.6.a)	✓	✓
Have faculty member sign written performance summary and justifications for salary adjustment		✓
If faculty member desires, attach his/her response to the written performance summary and justifications. Send copy of response to dean.		✓
Retain written performance summaries (and responses, if any), in department file	*	✓

*It is the responsibility of the candidate to retain his/her performance summaries and include these in their dossier. The unit head is encouraged to have a file copy maintained in the department.