**MONTANA STATE UNIVERSITY**

**FACULTY HANDBOOK**

**Policy: ANNUAL REVIEW**

**Effective date: July 1, 2017**

**Review date: Insert new review date**

**Revised: Insert date revision approved**

**Responsible Party: Office of the Provost**

1. **Introduction**

An annual review assesses a faculty member's performance over the preceding calendar year and is based upon the faculty member's letter of hire, assigned percentages of effort, annual assignments, annual productivity report using the reporting method approved by the Provost (Activity Insight is the approved method as of AY 2020) and evaluations of teaching. Reviews are conducted as outlined in the applicable role and scope documents and must be completed by the date specified by the provost. The annual review with ratings and any written appeals of the review shall be included in the faculty member's personnel file.

An annual review is an assessment of the faculty member's performance over a one-year period. This is in contrast to retention, tenure, and promotion reviews which are based upon the cumulative performance of the faculty member in each area of responsibility (teaching, scholarship, and service) over the entire review period appropriate to the review. Thus, a record of having favorable annual reviews does not guarantee the candidate has assembled and demonstrated a cumulative record that meets the standards for retention, tenure or promotion.

1. **Annual Review Process**
   1. The faculty member and the department head and/or department annual review committee annually review the faculty member's performance relative to the faculty member's assigned percentages of effort and current assigned responsibilities. Reviews assess the faculty member’s performance in each of the major areas of responsibility (teaching, scholarship and service) over the preceding calendar year. Student evaluations of teaching must be collected and considered in the evaluation of teaching.
   2. Faculty members on extended sick leave, faculty modified duties or leave without pay will be evaluated on the duties that were performed during the review period. Faculty on approved sabbatical leave during the review period will be reviewed for any period during the review period that they were not on sabbatical leave. A faculty member who is on sabbatical, extended sick leave or extended leave without pay at the time the annual review is performed will be reviewed in the first thirty days of the following fall semester. The annual review form should include a statement explaining any period that is not subject to review and provide a review for any period that the faculty member performed in any area of responsibility.
   3. If the faculty member has a split or joint appointment with 20% or more effort assigned to another unit, input from the other unit must be solicited and considered in the evaluation and rating of the faculty member.
   4. For Extension Specialists within academic departments, the Director of Extension will provide the department head or reviewing committee a letter addressing the faculty member’s work for Extension which will be considered in the evaluation and rating of the faculty member’s performance.
   5. The department head and/or department annual review committee rates the performance of each faculty member in each area of responsibility and determines an overall rating for the faculty member’s performance for the year, weighted by the assigned percentages of effort using the Annual Review form approved by the Provost. The faculty member will be given a copy or access to the completed form if created electronically.
   6. The faculty member will have the opportunity to meet with the reviewer(s).
   7. The head of the primary unit and the faculty member will develop goals and assignments for the next calendar year. The goals and assignments for individual members of the faculty will reflect departmental needs and professional opportunities consistent with departmental strategic plans or articulated departmental priorities.
   8. If the assigned percentages of effort are inconsistent with the faculty member’s current activities and levels of performance, a revision of the assigned percentages of effort should be discussed. If a modification of the assigned percentages of effort is made as outlined in Section 5, it will be documented using the Faculty Assigned Percentages of Effort Update form.
   9. The faculty member and the dean will be provided with a copy of or access to the annual review, ratings and any revision of the assigned percentages of effort. Copies of all annual reviews and the performance ratings of each faculty member in each area of responsibility will be maintained in the faculty member's personnel file in the department. These files shall be kept confidential and maintained as outlined in the [Faculty Personnel Files](https://www.montana.edu/policy/faculty_handbook/faculty_personnel_files.html) policy.
2. **Appeal of Review to Dean**

A faculty member who disagrees with an annual review or individual rating assigned to areas of responsibility may appeal by submitting a rationale for their disagreement and forwarding it to the dean. The rationale must be filed with the dean within ten (10) days of the receipt of the annual review in Section 2i. The dean shall consider the appeal and may support or assign a different performance rating in any area of responsibility. The dean shall notify the faculty member and department head, in writing, of the decision regarding the appeal within ten (10) days of receipt of the request.

1. **Performance Improvement Plans [NEW]**

A tenured faculty member who receives a rating of below expectations or unacceptable performance in an area of responsibility (teaching, scholarship and service) will be given a Performance Improvement Plan (PIP). Prior to the award of tenure, a faculty member may be given a PIP if renewed for an additional contract year.

The PIP will be developed by the department head in consultation with the faculty member and approved by the dean. If the faculty member has a split or joint appointment with 20% or more effort assigned to another unit, input from the other unit must be solicited and considered in the preparation of the PIP.

The PIP will provide guidance on the improvements in performance required to attain at least an “Acceptable Performance” rating on the following annual review. The PIP will describe the deficiencies in the faculty member’s performance; describe the benchmarks and performance goals designed to address the deficiencies; and outline any resources that may be available to the faculty member to assist with achieving acceptable performance. The PIP is usually designed to be completed within one year but may be designed to be completed over a longer period if reasonable to address the deficiencies. A PIP may also be extended at the discretion of the dean for good cause. A PIP may not exceed 2 years. For faculty members that have not attained tenure, the PIP, if offered, will not extend beyond the next scheduled retention or tenure review.

The PIP should be completed within thirty (30) days after the faculty member has received the "Below Expectations” or “Unacceptable Performance" rating or denial of the faculty member’s appeal, whichever is later. If the parties cannot agree to the terms of the plan, the dean will resolve the disagreement.

The faculty member who has received the "Below Expectations” or “Unacceptable Performance" rating will meet with the department head within 10 days of the annual review or the dean’s decision on the faculty member’s appeal. The purpose of this meeting is to allow consultation on the actions which will be taken to address the deficiencies identified in the Annual Review which will form the basis of the PIP. The faculty member may consult with colleagues regarding the PIP and may submit recommendations for benchmarks and performance goals. Once the PIP is finalized, the faculty member is responsible for the satisfaction of the requirements of the PIP. If the faculty member fails to participate in the development or performance of the PIP or fails to submit required materials, they may be subject to discipline under the [Corrective Action and Discipline Policy](https://www.montana.edu/policy/faculty_handbook/corrective_action_discipline.html).

For tenured faculty, failure to attain at least an “Acceptable Performance” rating in each of the areas of responsibility covered by the PIP will result in a Post Tenure Review (insert link).

Prior to the award of tenure, faculty members are subject to [BOR Policy 706.1](https://www.mus.edu/borpol/bor700/706-1.pdf); therefore reappointment shall be “at the discretion of the employer” with or without a PIP.

1. **Change in Assigned Percentages of Effort**

Either the faculty member or the department head can propose changing the faculty member’s percentages of effort, but mutual agreement must be reached before the change can be made. The revised percentages of effort might be for a specified term or might reflect a long-term change of focus for the faculty member and the department. If the revised percentages are for a specified term, the end date will be noted, and the percentages of effort will revert back to the assignments and assigned percentages of effort in place before the term.

Changes to a faculty member’s assigned percentages of effort are made using a Faculty Assigned Percentages of Effort Update Form. Any changes require approval by the faculty member, department head, and dean.