Policies and Procedures for Faculty Undergoing Evaluation

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www.calstatela.edu/faculty/RTP2013.php
Policies Governing Evaluation of Faculty

• The Collective Bargaining Agreement between the CSU and the CFA

• University policy in the *Faculty Handbook*, which must conform to the contract

• Department and College ARTP documents, which must conform to University policy. *Revised ARTP documents are not yet in effect.*

• See [www.calstatela.edu/faculty/RTP2013.php](http://www.calstatela.edu/faculty/RTP2013.php)
The Nature of Reviews for Retention, Tenure and Promotion

• **Cumulative** in the sense that the progress or growth of the faculty member since joining the faculty is a factor in evaluation.

• Will take into account all and only the activities and achievements since the **initial probationary appointment** or promotion to associate professor.

• **Comparative** in the sense that the faculty member is evaluated against the quality and effectiveness of performance of colleagues, taking into account the broad range of activities in which different members of the faculty engage.
Types of Evaluations

• **Performance Review:**
  – For the dual purpose of determining whether or not a faculty member's performance warrants retention, tenure, or promotion, and to provide constructive feedback
  – Reviewed by all levels: department committee/chair, college committee, dean, Provost and President
  – Required for retention of probationary faculty, tenure, promotion (either rank), and range elevation.
Types of Evaluations

• Periodic evaluation:
  – A formative review for the purpose of providing feedback on performance (but, can be considered in future reviews).
  – Review is by the department (committee/chair) and Dean (no college committee)
  – Required for probationary faculty not undergoing performance review; for post-tenure review; and for temporary faculty not undergoing range elevation.
Evaluation Reports/Responses

• For each type of evaluation, each level of review will give you an evaluation report, which you must
  – Review,
  – Sign and return to that level.
• You have the right to file a rebuttal (within 10 days)
  – You should do so if report is **factually inaccurate**, or misleading (given record in file).
  – You *may* wish to do so if you take issue with evaluation on non-factual findings (such as the significance of an accomplishment).
  – Use to clarify, explain, put report in context.
  – A response to your rebuttal is not required.
  – Avoid a belligerent or negative tone!
Evaluative Terms

**Outstanding** - describes *truly exceptional* performance, for a faculty member at the particular rank and career stage.

**Commendable** - describes performance that is *better than satisfactory* and that exceed expectations for a faculty member at the particular rank and career stage.

**Satisfactory** - describes performance that meets expectations for a faculty member at the particular rank and career stage.

**Needs Improvement** - describes performance that does *not meet expectations* for a faculty member at the particular rank and career stage, in one or more specified areas of concern.

**Unsatisfactory** - describes performance that is *seriously deficient* for a faculty member at the particular rank and career stage.
Implications of Evaluative Terms
(Performance Reviews)

• A review that finds a faculty member's performance to be **satisfactory or better** in all areas shall be accompanied by a favorable recommendation for retention, tenure, or promotion, when eligible and not applying early.

• An evaluation of "**needs improvement**" *does not preclude* a reviewer/review committee from recommending **retention**.

• To receive a favorable recommendation for **tenure and promotion**, at least **satisfactory** performance must be demonstrated in all three categories.

• A judgment of **unsatisfactory** in any one area shall entail a negative recommendation for retention, tenure, or promotion (during a performance review).
Evaluation Timelines
- Assistant Professors -

- **First year**: *Periodic evaluation* in spring, unless appointed in Winter or Spring (no change).

- **Second year**: *Performance review* in Fall of second year. If found to be Satisfactory or better, a **two-year appointment** is given.

- If a two-year appointment is given, a periodic evaluation will occur the next year.

- Performance reviews are given in last year of the appointment.
Evaluation Timelines
- Assistant Professors-

- If a faculty member is undergoing a performance review in a year in which they have only one probationary year left, they shall only receive a one-year appointment, even if found to be satisfactory or better. The probationary period cannot be extended based on performance evaluation. Examples:
  - Review during the fifth probationary year
  - The case where there is only one probationary year left due to credit towards tenure.
Evaluation Timelines
- Assistant Professors-

- If a faculty member undergoing performance review for retention receives a rating of “Needs Improvement” in one or more categories, the reviewer may recommend as follows:
  - Recommendation for non-retention
  - Recommendation for a one-year appointment
  - Recommendation for a two-year appointment
- In any year in which an assistant professor is not undergoing a performance review, he or she will receive a periodic evaluation. (However, they may request a performance review in a year in which they are scheduled to receive a periodic evaluation.)
Promotion

• Faculty must be on campus at least two years before being considered for promotion.

• A faculty member shall not normally be promoted to associate professor during the six year probationary period (reviewed during year six; exception: early promotion).

• A faculty member may not be promoted to professor during the probationary period.

• Assistant professors who are awarded tenure shall be promoted concurrently to associate professor.

• Consideration for promotion to professor normally occurs when a faculty member has received tenure and is in the fifth year in rank as an associate professor.
Early Tenure and Promotion

• For early tenure and promotion to **associate professor**, one must have a **sustained outstanding record** at Cal State Los Angeles in categories A and B, "educational performance" and "professional achievement," and must have at least a satisfactory record in category C, "contributions to the University.“
Early Tenure and Promotion

• For early tenure and promotion to full professor, one must have a sustained outstanding record at Cal State Los Angeles in categories A and B, "educational performance" and "professional achievement," and must have at least a commendable record in category C, "contributions to the University."
Early Promotion to Full Professor

• For associate professors, a sustained outstanding record may be achieved by the following:
  – Ratings of outstanding performance at promotion to associate professor, and outstanding performance during review for early promotion to full professor.
  – If not outstanding at promotion to associate professor, associate professors may request additional performance reviews prior to consideration for early promotion.
Post-Tenure Review

- Post-tenure review of full professors (and associate professors delaying consideration for promotion to full professor) is a periodic evaluation.

- *FERP faculty no longer receive post-tenure review.*

- For 2012-13, the file closure deadline was October 4, 2013.

- Candidates must submit a Working Personnel Action File (supplemental file) containing current *curriculum vitae*, Personnel Information Form, and evidence of activities and accomplishments for the period under review.

- The permanent file must include summaries of Student Opinion Surveys, and *at least one peer observation of instruction.*
Evaluation Timeline – Temporary Faculty

- Temporary faculty with appointments of one year or more (regardless of time base) shall be evaluated at least once during the term of appointment.

- Temporary faculty with multi-year appointments may be evaluated more frequently at the request of the faculty member or the President (see your ARTP documents).

- All other temporary faculty, at a minimum, shall be evaluated at the completion of three quarters of teaching or at the end of two years from the time of initial appointment or last review, whichever comes first.
Evaluation of Temporary Faculty

- The evaluation of a temporary faculty member shall be appropriate to his or her assignment and based on the faculty member's performance of the essential duties of the position.
- The evaluation of a temporary faculty member's performance shall include an assessment of the individual's currency in the field (professional achievement or relevant instructional material, consistent with each college and department/division/school policy documents.)
Evaluation Timeline: Three-Year Temporary Appointments

- Temporary faculty employed during the prior academic year and possessing six or more years of prior consecutive service in a single department (two or more quarters per year) are eligible for a three-year temporary appointment, as are faculty completing the third year of a three-year appointment.

- Prior to an initial or renewal of a three-year appointment, **a cumulative periodic evaluation** must be done (covering all of the years that qualify the individual for the appointment).

- Be sure to include evidence of accomplishments from the entire period of evaluation.
Evaluation of Temporary Faculty for Three-Year Appointments

- Faculty are rated as either **satisfactory** or **unsatisfactory**. Satisfactory ratings may include narrative comments including constructive suggestions for development.
- The candidate must be rated “satisfactory” for appointment by the dean/associate dean.
- The dean/associate dean must also verify that the candidate has no “documented serious conduct problems”.

Evaluation Timeline – Range Elevation

- Temporary faculty shall be considered eligible for review for range elevation if (1) they have no more service-based salary increase (SSI) eligibility and (2) have served five years in their current range.

- Applications for range elevation should include evidence of effective teaching performance as well as evidence of currency in the faculty member's field.

- A cumulative performance review is performed.
Evaluation of Temporary Faculty: 
Range Elevation

• The evaluation of a temporary faculty member shall be appropriate to his or her assignment and based on the faculty member's performance of the essential duties of the position.

• A terminal degree will be considered a requirement for consideration of elevation to ranges C or D if appropriate to the faculty member’s assignment, based on the faculty member's performance of the essential duties of the position, and if specified as a requirement for employment in the faculty member's appointment letter.
Range Elevation Appeals

• Range elevation decisions are subject to appeal.
• The Appeals Committee shall review all range elevation decisions for which an appeal was filed, based on the relevant University, college, and department/division/school range elevation policies.
• A vote of the majority of the committee is required to overturn a denial of range elevation.
• Decisions of the committee are final and binding on all parties.
The RTP Review Calendar

- File closure date: **October 4, 2013**
  - Second year evaluation of permanent faculty for retention (performance review)
  - Post-tenure review (periodic evaluation)
- File closure date: **January 9, 2014** (performance reviews)
  - Retention, tenure and promotion
  - Range Elevation
- File closure date: **April 2, 2014** (periodic evaluations)
  - First year evaluation (new assistant professors)
  - Assistant professors not undergoing performance review
  - Temporary faculty, except Range Elevation
### Review Periods

#### Performance Review Periods:

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<th>Review:</th>
<th>Review Period Begins:</th>
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<td>Retention review for second year faculty</td>
<td>Date of appointment to probationary position</td>
<td>File closure (fall of second year)</td>
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<tr>
<td>Retention (probationary performance review years other than second)</td>
<td>File closure of previous performance review</td>
<td>Current file closure (winter of performance review years)</td>
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<tr>
<td>Tenure and Promotion</td>
<td>Date of appointment to probationary position</td>
<td>Current file closure (winter of tenure eligibility year)</td>
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<tr>
<td>Promotion to Professor</td>
<td>File closure of tenure and promotion performance review</td>
<td>Current file closure (winter of promotion eligibility year)</td>
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#### Periodic Evaluation Periods:

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<th>Evaluation:</th>
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<tr>
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<td>Date of appointment to probationary position</td>
<td>File closure (spring of first year)</td>
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<tr>
<td>Annual evaluation (probationary years not requiring retention review)</td>
<td>File closure of previous performance review</td>
<td>Current file closure (spring of current year)</td>
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<tr>
<td>Post-tenure review</td>
<td>File closure of last review</td>
<td>Current file closure (fall of current year)</td>
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Personnel Action Files
Your Personnel File

• “Personnel recommendations or decisions relating to retention, tenure, or promotion or any other personnel action shall be based on the Personnel Action File.”

• Consists of two parts:
  – Permanent file (PPAF)
  – Supplemental file (WPAF)
Permanent Personnel Action file (PAF)

- Kept in the Dean’s Office.
- PAF is cumulative with previous evaluations kept chronologically.
- No anonymous information can be placed in the file.
- Dean places material in the PAF.
- Nothing can go in without your prior knowledge.
- Faculty may request that a particular item not be entered (except RTP reports) and rebut material entered into the file.
Working Personnel Action File (WPAF)

• The “Supplemental File”
• The candidate is responsible for providing the following materials to his or her working personnel action file (WPAF) before the published date of the file closure:
  - a current curriculum vitae
  - a personnel information form (brag sheet) that summarizes and describes the candidate's activities and accomplishments during the period under review
  - evidence of these activities and accomplishments.
Working Personnel Action File (WPAF)

- Expectations for what should be included as evidence may differ across departments and colleges – discuss with Chair and Dean’s office to understand the department and college norms.
- File closure dates are firm.
- Preparation of file is your responsibility. Make sure it is well organized, with an index and tabbed dividers so that reviewers can find specific items.
- Include evidence of achievements in each area (don’t be excessive – this will only frustrate and annoy reviewers).
Categories of Activity/Review

A. Educational Performance
B. Professional Achievement
C. Service to University
Individualized Professional Plans

• Normally, Category A is given the greatest weight (but you must be at least satisfactory in all categories).

• Faculty have the discretion to develop, in collaboration with Chair and the appropriate department/division/school personnel committee, an individualized professional plan (IPP).

• With an IPP, you can specify goals and objectives and may alter the balance or focus of performance among categories A, B, and C for a specified period of time.
Category A.
Educational Performance

1. Teaching Performance
2. Related Educational Activities
A. 1. Teaching Performance

• Activities by the faculty member that directly contribute to student learning (including classroom teaching).

• A.1. can also include a wide range of activities such as supervising theses or projects; supervising student learning experiences in academic and community based settings; collaborating with students on research, performance, artistic, and other projects; mentoring students; and tutoring students.

• Evaluation must be based on:
  – Student opinion surveys
  – Report on Peer Observation of Instruction
  – At least one other source of information (the supplemental file)
Peer Observation of Instruction

- Faculty must be notified **five days** ahead by the department as to the date and evaluator.
- Observation is performed by a member of the department/division/school personnel committee, or by the department/division chair or school director or his or her designee.
- Reports are included in the faculty member's permanent personnel action file.
- Faculty may request a change to the time and place.
- Faculty may recommend peer evaluator, but selection is prerogative of the department,
- Observer must **consult** before or after observation with faculty.
Other Sources of Information

May include examples of:

- Course syllabi.
- Instructional materials (handouts, rubrics, etc.).
- Assessment methods.
- Assignments (including field assignments).
- Evidence of student work and accomplishments.
- Signed letters from students.
A. 2. Related Educational Activities

Related educational activities include, but are not limited to:

• academic advisement
• curriculum/program development
• programmatic assessment of learning outcomes
• membership on thesis committees
• the development and evaluation of comprehensive exams
• other academic support activities that enhance student retention and student achievement
A 2. Related Educational Activities

Evidence may include/involve:

- Student assessment of advising
- Advisement materials that they have created (handouts, etc.)
- Documentation of Field activities, Program assessment, Curriculum development, Curriculum innovation
- Written reports from the department/division chair or school director, students, faculty, and/or other individuals with first hand knowledge of the faculty member's activities
- Other such materials....
Category B - Professional Achievement
Examples of Areas of Professional Achievement

• Academic and scholarly contributions to the faculty member's profession and field.
• Innovative use of technology, textbooks, and original teaching or testing materials.
• Inventions, designs and innovations.
• Creation, exhibition, performance or publication in the arts or literature.
• Presentations at scholarly and professional meetings...
• Community-based participatory research, community service, and community based activities that involve the academic expertise of the faculty member.
• Participation in activities of scholarly or professional societies beyond mere membership.
• Receipt of fellowships, grants, contracts or other subsidies for the pursuit of research or study in the faculty member's field.
• Service to one's profession, in such cases where the activity is based on one's disciplinary expertise (for example, appointment to a granting agency's review board or service on a professional board).
• Holding significant special appointments.
• Professional practice that utilizes the faculty member's academic expertise in a manner that results in an advancement of the field.
Quality and Effectiveness?

• In evaluating these contributions in category B as to their relative merits, the quality and effectiveness, and not only the quantity of the contributions shall be the primary consideration.

• Make sure you indicate the importance of your accomplishments in your discipline (no, it’s not obvious!)
Category C - Contributions to the University
Examples of Contributions to the University

• Contributing to academic governance such as membership and participation in the activities of department/division/school, college, university, and system committees, and service in administrative capacities.

• Participating in any student organization or engaging in any service to colleges and/or the community or engaging in other activities which bring positive recognition to the faculty member and to the University.
• Delivering speeches, conducting colloquia, or otherwise conveying information about the faculty member's scholarship, profession, field and university to community groups.

• Organizing and engaging in significant university, college and dept/division/school activities which improve the educational environment and/or student or faculty life, such as organizing retreats, conferences, or orientations.

In evaluating these contributions in category C as to their relative merits, the quality and effectiveness, and not only the quantity of the contributions shall be the primary consideration.
Last bits of advice...

• Spend time putting together a clear, concise, well-organized file.
• Seek advice/direction from your Department Chair and your department colleagues (especially those just ahead of you in the process).
• Read the relevant documents.
• Ask for advice/guidance from others as well – colleagues, Academic Personnel Office, CFA.
• Respond to previous years’ reviews, and use reviews as a professional development tool.