

# FACULTY EVALUATION PROCEDURES

## GENERAL PROCEDURES

The role of the Dean's Office is to facilitate and support all evaluation processes and house and maintain specific personnel documents. The following section describes general CME procedures and practices for the evaluation of all faculty as well as the specific requirements for temporary, tenure-track, and tenured faculty, each of which require a similar yet slightly different set of expectations and materials for review. The College adheres to all university policies and procedures for developing, maintaining, and accessing all faculty Personnel Action Files (PAF) and the Working Personnel Action File (WPAF) required for tenure-track and tenured faculty, as well as policies and procedures for evaluation of faculty and temporary faculty (8.0-11.0).

The Administrative Analyst/Specialist will work directly with the Department Personnel Committees (DPCs) and chairs to ensure that everyone is on track for the evaluation review process. A draft evaluation calendar is sent out in August, prior to the beginning of the semester (see [Appendix 1, Draft RTP Calendar](#)). Chairs should carefully review the names for accuracy. The Dean's office will email faculty eligible to go up for promotion to see if they would like to be included in the calendar. Faculty going up for promotion early or after their initial eligibility should notify the AAS to be included in the RTP calendar. The College will send out reminder notices two week prior to each calendar deadline and provide pre-populated appropriate forms to insure consistency and accuracy. The college office will hold any rebuttal until completion of the review level. The college staff are not responsible for editorial review, but simply provide the framework: calendar, reminder and circulation of rebuttals. The college office is committed to providing support through annual RTP workshop for chairs, faculty going up for review and personnel committee members. One member of each department committee should attend the Fall RTP workshop.

The Dean's Office creates a Personnel Action File (PAF) for each faculty member hired. The PAF is the official personnel file for all faculty members managed by and held in the Dean's office. The PAF contains correspondence about employment status and personnel actions (e.g., contract renewals; promotion; award of tenure), as well as information such as peer evaluations, signed statements of evaluation, and summaries of student evaluations. The PAF is maintained throughout the faculty member's career with CSU, Chico.

All faculty may view their PAF at any time when the Dean's office is open, but should either email office staff or call 898-4015 to reserve either the conference room or RTP room for review. Faculty may make copies of any PAF items, but may not alter the PAF in any way. Please reserve either the conference room or the RTP room to review files. Prior to reviewing the file, you will need to sign the front signature page indicating that you have reviewed the PAF. Faculty members may have access to their own file at any time during the normal working hours of the College office (see [FPPP Section 7.0.1-7.0.5](#) for more information).

CME's Student Evaluation of Teaching (SET) procedures follow FPPP guidelines regarding storage and are in compliance with the CBA (FPPP 3.0; 3.4a-b). The file does not leave the College office without approval from the AAS or Dean to take PAFs to CME conference room or the RTP room.

If, after examination of the PAF, the faculty member believes that any portion of the file is not accurate, he/she may request in writing a correction of the material, a deletion of a portion of the material, or both. Such a request shall be addressed to the Dean, with copies to the appropriate faculty committee, if such material was generated by a faculty committee, and *Appropriate Administrators* (see FPPP 7.0.7 and [CBA Article 11.6](#)).

Periodically, peer evaluations, comments from previous evaluations, and student evaluation summaries will be returned to faculty (in accordance with the FPPP 8.1.4). The faculty member may choose to keep or shred the returned documents. If a faculty member separates from CSU Chico, his/her PAF is placed in a holding file (in the College Office) and kept for a period of five years. During that time, it is still considered confidential and only authorized personnel may view it. If by the end of five years, the faculty member has not been re-employed by CSU, Chico, the entire PAF is destroyed.

The CME website will be the location of the CME Faculty Dossier Builder for Tenure-track and tenured faculty and a Temporary Faculty Supplemental Evidence File Builder that includes electronic Table of Contents and Template. Each academic year the CME website will showcase exemplary faculty dossiers and evidence binders selected by the dean (see [Appendix 8, Retention, Tenure and Promotion \(RTP\) File Purpose, Requirements, and Suggestions](#)).

### **TEMPORARY FACULTY EVALUATION PROCEDURES**

Temporary faculty will be evaluated according to the professional standards of the disciplines in which they are appointed and as defined by the Department/Unit as appropriate to their work assignments (FPPP 9.1.2.a-b). Temporary Faculty shall be evaluated in accordance with the periodic evaluation procedures (CBA 15.23-30).

Each semester chairs will notify all temporary faculty about evaluation dates and criteria. Temporary faculty are evaluated each year for their first two years of hire and every other subsequent year until their first three-year contract. In the final semester of the sixth year, temporary faculty undergo a cumulative evaluation.

Temporary faculty members shall document their teaching effectiveness, which is the primary criterion for evaluating temporary faculty. Evaluations are based upon meaningful evidence of teaching performance consistent with the candidate's Range classification and teaching responsibilities. Evidence should include at least one classroom visit resulting in a peer evaluation of teaching performance shall take place each review year (FPPP 9.1.2.c.1). Supplemental evidence that allows evaluators to accurately assess teaching performance should be included in a *Supplemental Evidence File* (see Appendix 9).

The Supplemental Evidence Files are housed in the department offices. Departments will notify temporary, part-time faculty when supplemental evidence binders are due to department offices.

Criteria for RANGE elevation for temporary faculty (excluding coaches) shall be appropriate to lecturer work assignments [CBA 12.19]. For elevation to the RANGE of Lecturer B or above, the individual must have achieved professional growth and development since the initial appointment or last RANGE elevation, whichever is more recent (FPPP12.0).

Professional growth and development for lecturer RANGE elevation eligibility is defined as teaching excellence and maintaining currency in the field, unless the faculty member's work assignment includes duties in addition to teaching. Refer to Department guidelines for a description or definition of Teaching Excellence. The list below may provide some suggestions of types of evidence that demonstrate maintaining currency in the field.

- Increased mastery of the discipline evidenced by additional relevant education or an additional degree
- Effectively using course materials that reflect the current state of knowledge and practices in the field
- Contributing to and planning professional development activities on campus
- Presenting original work at professional meetings and conferences
- Collaborative research and creative activity involving the campus and the community
- Publications, exhibitions, and/or performances that advance knowledge
- Research and/or creative activity in discipline related pedagogy
- Editing professional publications
- External fundraising and resource development related to the mission of the University
- Grant proposals to conduct research in the discipline, to support pedagogy, or to further the mission of the University

## Tenure Track (Probationary) and Tenured Faculty Evaluation Procedures

For tenured and tenure-track faculty, the evaluation process is focused on the stages of retention, tenure, and promotion (RTP) (FPPP 10.0-11.0). *Probationary* faculty are subject to two different types of performance evaluations. The first, called *periodic evaluation*, focuses on providing the *probationary* faculty member with important developmental feedback, both positive and negative, with the goal of maintaining and/or improving performance. The ultimate goals of excellence and a successful tenure/promotion decision are to be kept firmly in mind by all involved with the process. The second type of performance evaluation is called the *performance review*, wherein a critical assessment of the faculty member's performance is conducted and the probability of a successful tenure/promotion decision is estimated. Formal *ratings* of performance in each area of review are used, and a decision is made whether or not to retain the faculty member. Normally, *periodic evaluations* are done in the faculty members' first, third, and fifth years; *performance reviews* are conducted in the faculty members second, fourth, and sixth years. It is in this sixth year that the decision is made to offer tenure or to release the faculty member from employment (FPPP10.1.5).

Requests to apply for *accelerated tenure or promotion* must be made in writing to the Department Chair and the Dean (FPPP 10.5.4 and 11.1.4). See FPPP section 10.5 for qualification expectations and further information on accelerated tenure and promotion or 11.0 for qualifications and further information on accelerated promotion to full professor. Inasmuch as consideration of accelerated tenure or promotion is not the normal pattern, the recommendation for accelerated tenure or promotion must be accompanied by its justification as an exceptional record at each level of review. To facilitate creating the case for acceleration, faculty applying for accelerated tenure or promotion should include a detailed explanation of how they meet the criteria for exceptionality in their letter of request and dossier.

For the purpose of maintaining and improving a tenured faculty member's effectiveness, tenured faculty shall be subject to *periodic evaluation* at intervals no greater than five years. This evaluation is most commonly referred to as a *5<sup>th</sup> year Review* (FPPP 11.2). Faculty participating in the Faculty Early Retirement Program (FERP) are not required to undergo post tenure evaluation unless an evaluation is requested by the FERP participant or the Appropriate Administrator (FPPP 11.2.1.c).

All Tenure track and tenured evaluations begin with the *Working Personnel Action File (WPAF)* which is a combination of your CME PAF and your Dossier (FPPP 7.0 and [CBA Article 11](#)). This file documents your accomplishments in the areas of teaching, professional growth, and achievement, and other contributions to the university. All recommendations and decisions regarding retention, tenure, and promotion shall be based upon information contained in your WPAF. The College adheres to all university policies and procedures for developing, maintaining, and accessing the Personnel Action File and Working Personnel Action File (FPPP 7.0 and [CBA Article 11](#)).

The Dossier is the professional file created, maintained, and kept by each tenured or tenure-track faculty member. It contains data in the possession of the faculty member that documents accomplishments in the areas of teaching, professional growth and achievement, and other contributions to the university. When up for review, faculty will be notified when dossiers are due to the college office. The Dossier should be a 1.5” binder with an accompanying 3” Supplemental Evidence Binder (see [Appendix 8, Retention, Tenure and Promotion \(RTP\) File Purpose, Requirements, and Suggestions](#)).

Upon conclusion of a review cycle and after the grievance filing period has passed (45 days after last report), the college office shall notify (in writing) the faculty members whose dossiers remain in the custody of the Dean’s office to retrieve their dossiers. If the faculty member has not removed the dossier at the end of twenty working days after such notice, it shall be delivered securely to the faculty member (FPPP 8.1.3.c-d.). The Dossier is returned to the faculty member annually following the review cycle. Periodically, peer evaluations, comments from previous evaluations, and student evaluation summaries will be returned to faculty (in accordance with the FPPP 8.1.4.g). The faculty member may choose to keep or shred the returned documents.

If a grievance has been filed, the dossier shall remain in/with the PAF until the grievance is resolved. The faculty member has twenty working days following the grievance resolution to remove the dossier from the PAF so you can continually update it for reviews.

## **RTP TIMELINE AND LEVELS OF REVIEW**

The following is a brief Chronological Account of the RTP Process. Three LEVELS of review exist in this process (1) Department, (2) College, and (3) University (See FPPP Definitions sections). At all LEVELS of review, Candidates have the right to respond or submit a rebuttal statement or response in writing and/ or request an opportunity to discuss the recommendation with the recommending party no later than ten calendar days following receipt of the Recommendation (FPPP 7.0.7-7.0.9/[CBA 11.5-11.6](#)). If a rebuttal is submitted prior to the completion of a level of review, the college office will hold the rebuttal until completion of the review level. During the fall semester faculty will receive an RTP Deadline Calendar that functions as a timeline for the process from the Administrative Analyst/Specialist (AA/S). It is very important to note when your Dossier is due to the College Office.

- **DEPARTMENT.** Each department in the college has its own Personnel Review Committees and Personnel Guidelines. The DPC will review the materials in the PAF and your Dossier in accordance with FPPP 8.0. They will conduct a classroom observation/s and will hold an interview with you before submitting their report to your file and the next level of review. Departments within the college may choose to have a separate level of review for the department chair before submitting their reports for LEVEL 2 reviews. Separate and independent reports shall be issued by each level of review from each department personnel committee, department chair (if not included in the DPC) college committee and dean. Review by the College RTP Committee is guided primarily by FPPP 10.0,

“Evaluation of Tenure Track (Probationary) Faculty,” and [CBA 15.38-48](#), “Performance Review.”

- **COLLEGE.** The College RTP Committee participates only in performance reviews, which are evaluative and formative, judgmental and developmental. The CME college personnel committee composition is composed entirely of Professors. A majority of members come from within the college. The committee includes one representative from each department when possible. In cases where this is not possible, the CME college personnel committee may consist of three or more faculty unit employees from closely aligned disciplines outside the unit (FPPP4.1.11a-d). For College Personnel Committee procedures see the College Standing Committee section of this handbook.
- **DEAN.** After the College Dean has written his/her report and you have been given the appropriate response time, all the reports and your Dossier will be forwarded to the Provost for his/her review and decision.
- **UNIVERSITY.** After review of the files in cases of retention, tenure, and promotion, the Provost (as the President’s designee) shall inform each candidate by letter of the decision in regard to retention, tenure, and promotion. Once the President has made his/her personnel decision, the Provost shall supervise the return of the reports and recommendations to the PAF (FPPP 10.3.23).

Faculty have the right to respond or submit a rebuttal statement or response in writing and/or request an opportunity to discuss the Recommendation(s) from each level no later than ten calendar days following receipt of the Recommendation(s). A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to any previous Levels of Review. This provision shall not require that the timelines be altered or extended. Responses and rebuttals are to address interpretive issues; they are not vehicles for the introduction of new evidence (FPPP 10.2.8).