

ARTICLE 15

EVALUATION

General Provisions

- 15.1 The term "evaluation" as used in this Article shall refer to either a Periodic Evaluation or a Performance Review.
- 15.2 Faculty unit employees, students, academic administrators, and the President may contribute information to the evaluation of a faculty unit employee. Information submitted by the faculty unit employee and by academic administrators may include statements and opinions about the qualifications and work of the employee provided by other persons identified by name. Only tenured faculty unit employees and academic administrators may engage in deliberations and make recommendations to the President regarding the evaluation of a faculty unit employee. At the request of a department, the President may agree that a faculty unit employee participating in the Faculty Early Retirement Program may also engage in deliberations and make recommendations regarding the evaluation of a faculty unit employee. However, faculty committees established for this purpose may not be comprised solely of faculty participating in the Faculty Early Retirement Program.
- 15.3 Evaluation criteria and procedures shall be made available to the faculty unit employee no later than 14 days after the first day of instruction of the academic term. Evaluation criteria and procedures shall be made available to the evaluation committee and the academic administrators prior to the commencement of the evaluation process. Once the evaluation process has begun, there shall be no changes in criteria and procedures used to evaluate the faculty unit employee during the evaluation process.
- 15.4 The appropriate faculty unit committee may recommend timelines for conducting evaluations. All evaluations shall be conducted and completed within the period of time specified by the President. The Working Personnel Action File shall be forwarded in a timely manner to the next level of review.

- 15.5 At all levels of review, before recommendations are forwarded to a subsequent review level, faculty unit employees shall be given a copy of the recommendation and the written reasons therefore. The faculty unit employee may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation within ten (10) days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File and also be sent to all previous levels of review. This section shall not require that evaluation timelines be extended.
- 15.6 Administrative Level Reviews shall be conducted by the appropriate administrators.
- 15.7 The Working Personnel Action File shall be forwarded to the President who shall review and consider all materials thus submitted.
- 15.8 The Working Personnel Action File shall be defined as that file specifically generated for use in a given evaluation cycle. That file shall include all required forms and documents, all information specifically provided by the employee being evaluated, and information provided by faculty unit employees, students, and academic administrators. It shall also include all faculty and administrative level evaluation recommendations from the current cycle, and all rebuttal statements and responses submitted.
- 15.9 Materials for evaluation submitted by a faculty unit employee shall be deemed incorporated by reference in the Personnel Action File, but need not be physically placed in the file. An index of those materials shall be prepared by the faculty unit employee at the beginning of the cycle and submitted with the materials. That index shall be permanently placed in the Personnel Action File and appropriately updated to reflect any material added to the file during the course of the evaluation cycle. Materials incorporated by reference in this manner shall be considered part of the Personnel Action File for the actions set forth in provision 15.12c of this Article. Indexed materials shall be returned to the faculty unit employee.
- 15.10 Deliberations pursuant to this Article shall be confidential.

- 15.11 Recommendations pursuant to this Article shall be confidential except that the affected faculty unit employee, appropriate administrators, the President, and the peer review committee members shall have access to written recommendations.
- 15.12
- a. Prior to the beginning of the review process, the faculty unit employee subject to review shall be responsible for the identification of materials s/he wishes to be considered and for the submission of such materials as may be accessible to him/her. Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation not provided by the employee.
 - b. A specific deadline before the recommendation is made at the first level of evaluation shall be established by campus policy, at which time the Personnel Action File is declared complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after the date of this declaration must have the approval of a peer review committee designated by the campus and shall be limited to items that became accessible after this declaration. Material inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation and comment before consideration at subsequent levels of review. If, during the review process, the absence of required evaluation documents is discovered, the Working Personnel Action File shall be returned to the level at which the requisite documentation should have been provided. Such materials shall be provided in a timely manner.
 - c. Personnel recommendations or decisions relating to retention, tenure, or promotion or any other personnel action shall be based on the Personnel Action File. Should the President make a personnel decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the individual faculty member in question, those reasons shall be reduced to writing and entered into the Personnel Action File and shall be immediately provided to the faculty member. For the purposes of this section, course assignments shall not be considered personnel actions. However, course assignments shall not be punitive in nature.

- d. A request for an external review of materials submitted by a faculty unit employee may be initiated at any level of review by any party to the review. Such a request shall document (1) the special circumstances which necessitate an outside reviewer, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty unit employee.
- 15.13 The periodic or performance review for individuals holding a joint appointment in more than one (1) academic department or equivalent unit shall be conducted by each department in which the individual holds an appointment or in accordance with campus procedures may be conducted by a committee with representation from each department in which the individual holds an appointment.
- 15.14 When classroom visits are utilized as part of the evaluation of a faculty unit employee under this Article, the individual faculty unit employee being evaluated shall be provided a notice of at least five (5) days that a classroom visit is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es).

Process for Student Evaluations of Teaching

- 15.15 Written student questionnaire evaluations shall be required for all faculty unit employees who teach. A minimum of two (2) classes annually for each faculty unit employee shall have such written student evaluations. Student evaluations shall be conducted in classes representative of the faculty unit employee's teaching assignment. The results of these evaluations shall be placed in the faculty unit employee's Personnel Action File. Unless consultation has resulted in an agreement by the administration and faculty of a department or equivalent unit to evaluate all classes, the classes to be evaluated shall be jointly determined in consultation between the faculty unit employee being evaluated and his/her department chair. In the event of disagreement, each party shall select 50% of the total courses to be evaluated.

- 15.16 Students may, with the concurrence of the department and administrator, be provided an opportunity to consult with the department peer review committee.
- 15.17 a. Student evaluations collected as part of the regular student evaluation process shall be anonymous and identified only by course and/or section. The format of student evaluations shall be quantitative (e.g., "Scantron" form, etc.) or a combination of quantitative and qualitative (e.g., space provided on the quantitative form for student comments).
- b. Any student communications or evaluations provided outside of the regular evaluation process must be identified by name to be included in a Personnel or Personnel Action File.
- 15.18 A student evaluation program for Librarians may be developed at the campus level. If such a program is established, the evaluation process shall be developed by a committee comprised of faculty unit employees and administrators in the Library.
- 15.19 The CFA and CSU shall establish a committee to study the issue of best and most effective practices for the student evaluation of faculty teaching effectiveness. The committee's work shall include, but not be limited to, the review of instruments for student evaluation of teaching and on-line evaluation.¹ Possible bias factors prohibited in Article 16 will also be considered by the committee. The Statewide Academic Senate will be invited to participate in these discussions as an equal partner. The Parties agree that the committee shall consist of a maximum of three (3) members from each party and that the committee shall be convened within sixty (60) days of the effective date of the Agreement. The committee shall issue a report of its findings and recommendations (if any) within twelve (12) months of its convening.

Periodic Evaluation

¹ To allow for the full and open discussion of "on-line" evaluation issues, the Parties agree that the decision rendered in the related Fullerton "on-line" evaluation grievance (CFA Case Number 2006-212/CSU Case Number R03-2006-322) shall not be considered precedential concerning "on-line" evaluation issues between the Parties.

- 15.20 A periodic evaluation of a faculty unit employee shall normally be required for the following purposes:
- a. Evaluation of temporary faculty unit employees (see 15.23 – 15.27).
 - b. Evaluation of probationary faculty unit employees who are not subject to a Performance Review (see 15.28 – 15.31).
 - c. Evaluation of tenured faculty unit employees who are not subject to a Performance Review for promotion (see 15.32 – 15.34).
- 15.21 Periodic evaluation procedures shall be approved by the President after consideration of recommendations from the appropriate faculty committee(s). Such procedures shall, for tenure-track faculty unit employees who teach, include, but not be limited to, student evaluations of teaching performance, peer reviews and administrative reviews. Department chairs may make separate recommendations as a part of the periodic evaluation process. If such a separate recommendation is to be made the chair shall not participate as a member of the department peer committee.
- 15.22 The result of each stage of the periodic evaluation process shall be a written statement. Such statement with written rationale shall be placed in the Personnel Action File of the faculty unit employee in accordance with Article 11, Personnel Files.

Periodic Evaluation of Temporary Faculty Unit Employees

- 15.23 Full-time temporary faculty unit employees appointed for two or more semesters or three or more quarters, regardless of a break in service, must be evaluated in accordance with the periodic evaluation procedure. This evaluation shall include student evaluations of teaching performance for those with teaching duties, peer review by a committee of the department or equivalent unit as defined in provision 15.2, and evaluations by appropriate administrators. Evaluation of full-time temporary Coaching Faculty Unit Employees shall include an opportunity for peer input and evaluation by appropriate administrators.

- 15.24 Part-time temporary faculty unit employees appointed for two (2) or more semesters or three (3) or more quarters, regardless of a break in service, shall be evaluated in accordance with the periodic evaluation procedure. Such evaluations shall include student evaluations of teaching performance for those with teaching duties, evaluations by appropriate administrators and/or department chair, and an opportunity for peer input as defined in provision 15.2 from the department or equivalent unit. Evaluation of part-time temporary Coaching Faculty Unit Employees shall include an opportunity for peer input and evaluation by appropriate administrators.
- 15.25 A temporary faculty unit employee appointed for one (1) semester or two (2) quarters or less shall be evaluated at the discretion of the department chair, the appropriate administrator, or the department or equivalent unit. The employee may request that an evaluation be performed.
- 15.26 Temporary faculty unit employees holding three (3) year appointments pursuant to Article 12 shall be evaluated at least once during the term of their appointment and may be evaluated more frequently upon the request of either the employee or the President.
- 15.27 A written record of periodic evaluation shall be placed in the temporary faculty unit employee's Personnel Action File. The temporary faculty unit employee shall be provided a copy of the written record of the evaluation.

Periodic Evaluation of Probationary Faculty Unit Employees

- 15.28 If a probationary faculty unit employee is subject to a Performance Review as provided for in this Article, the Performance Review shall serve as the evaluation of the probationary faculty unit employee.
- 15.29 In an academic year or work year in which a probationary faculty unit employee is not subject to a Performance Review for retention, the probationary faculty unit employee shall be subject to periodic evaluation.

- 15.30 Periodic evaluations shall be conducted by the peer review committee of the department or equivalent unit, and the appropriate administrator. There shall be consideration of student evaluations of teaching performance, when teaching duties have been assigned and student evaluations are available.
- 15.31 A written record of a periodic evaluation shall be placed in the probationary faculty unit employee's Personnel Action File. A probationary faculty unit employee shall be provided a copy of the written record of the periodic evaluation.

Periodic Evaluation of Tenured Faculty Unit Employees

- 15.32 For the purpose of maintaining and improving a tenured faculty unit employee's effectiveness, tenured faculty unit employees shall be subject to periodic performance evaluations at intervals of no greater than five (5)² years. Such periodic evaluations shall be conducted by a peer review committee of the department or equivalent unit, and the appropriate administrator. For those with teaching responsibilities, consideration shall include student evaluations of teaching performance.
- 15.33 A tenured faculty unit employee shall be provided a copy of the peer committee report of his/her periodic evaluation. The peer review committee chair and the appropriate administrator shall meet with the tenured faculty unit employee to discuss his/her strengths and weaknesses along with suggestions, if any, for his/her improvement.
- 15.34 A copy of the peer committee's and the appropriate administrator's summary reports shall be placed in the tenured faculty unit employee's Personnel Action File.

Performance Review

- 15.35 A Performance Review of a faculty unit employee shall normally be required for the following purposes:

² This period may be changed to three (3) years depending upon the outcome of negotiations in Article 31 regarding a new salary increase program for tenured faculty.

- a. retention of a probationary faculty unit employee;
- b. award of tenure; and
- c. promotion.

15.36 A Performance Review shall consist of a minimum of the following reviews:

- a. evaluations of teaching performance, if the faculty unit employee teaches;
- b. peer reviews; and
- c. administrative reviews.

15.37 a. Performance Review procedures shall be approved by the President after consideration of the recommendations of appropriate faculty committee(s).

- b. Department chairs may make separate recommendations. Such recommendations shall be forwarded to subsequent levels of review. If the chair makes a separate recommendation, s/he shall not participate as a member of the peer committee.

15.38 The probationary and tenured faculty unit employees of the department or equivalent unit shall elect a peer review committee of tenured faculty unit employees for the purpose of reviewing and recommending faculty unit employees who are being considered for retention, award of tenure, and promotion. Probationary and tenured faculty unit employees shall elect tenured faculty unit employees to serve on higher level peer review committee(s). When there are insufficient eligible members to serve on the peer committee, the department shall elect members from a related academic discipline(s). At the request of a department, the President may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. However, these committees may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

- 15.39 A faculty unit employee shall not serve on more than one (1) committee level of peer review.
- 15.40 In promotion considerations, peer review committee members must have a higher rank/classification than those being considered for promotion. Faculty unit employees being considered for promotion are ineligible for service on promotion or tenure peer review committees.
- 15.41 Department and higher level peer review committee(s) may rank-order faculty unit employees recommended for promotion. The end result of a promotion ranking shall serve as a recommendation to the President.
- 15.42 Each peer review committee evaluation report and recommendation shall be approved by a simple majority of the membership of that committee.
- 15.43 The end product of each level of a Performance Review shall be a written recommendation. Such recommendation(s) shall be placed in the working Personnel Action File of the candidate.
- 15.44 If any stage of a Performance Review has not been completed within the specified period of time, the Performance Review(s) shall be automatically transferred to the next level of review or appropriate administrator and the faculty unit employee shall be so notified.
- 15.45 The President shall issue a decision regarding retention, award of tenure, or promotion. Such a decision shall be in writing and shall include the reasons for the decision. A copy of the decision shall be provided to the affected faculty unit employee and all levels of review. A copy of the decision shall be placed in the faculty unit employee's Personnel Action File.