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Faculty Evaluation Handbook

As learning is flexible and evolving, so to is the faculty. Faculty are themselves life-long learners, even as they strive to provide the highest quality learning experience for their students. Faculty do not compete; rather they collaborate to produce knowledge and a learning environment. In the same way, faculty collaborate in assessing and evaluating the effectiveness of instructional practice, and in contributing expertise and experience to the governance of the whole institution. Through collaboration and mutual respect, faculty model citizenship in its broadest sense to students, through the curriculum and through relationships to peers and the whole institution.

Future Faculty Task Force Report, 1995



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INTRODUCTION TO THE EVALUATION PROCESS

The effectiveness and quality of an institution's total educational program depend upon the presence of a competent faculty. Therefore, the College has an obligation, in consultation with faculty, to evaluate substantively the performance of its faculty members and to provide support for their development on a continuing basis. This obligation emerges from collective bargaining agreements¹, accreditation requirements, and our personal commitment to continual professional development.

To fulfill this obligation, faculty and administrators have developed this document as a guide to the evaluation process at Lane Community College.² Its intent is to help faculty and administrators successfully and meaningfully participate in a substantive evaluation process that is primarily focused on professional development and only secondarily on corrective evaluation and action. To that end, this document provides information about the evaluation processes, forms and instructions.

Evaluations that support well developed professional growth will help assure the continuing competency of faculty. Such procedures, with sufficient resources, can help faculty remain current in their field, ensure job competency, identify deficiencies in performance, and provide options such as counseling, training programs, opportunities to observe peers, and, when appropriate, a remediation plan.

Evaluation Types and Source of Initiation

There are two types of substantive evaluations of faculty. The primary type is the Developmental Evaluation, which is initiated by time of service. A Corrective Evaluation is only initiated in response to indications of inadequate performance requiring significant intervention.

Purposes of Evaluations³

- 1 To ensure quality in the teaching and learning environment and enhance student learning.
- 2 To support each individual's growth and development.
- 3 To support periodic assessment, reflection, and mindful development by faculty of their professional service.
- 4 To support the continuous improvement of inservice programs and faculty professional development programs.
- 5 To support faculty creativity, experimentation, and risk-taking.
- 6 To support alignment of performance with new needs of the discipline and department, and promote departmental/divisional clarity of purpose.
- 7 To identify and overcome poor performance and to provide a basis for decisions regarding retention.

¹ Article 13 ² Article 13.11 ³ Article 13.12

Principles of Evaluations¹

- 1 The College is accountable for the evaluation of performance of faculty members and to provide reasonable resources for the professional development of faculty on a continuing basis, which shall be accomplished through the collaborative efforts of faculty and administration.
- 2 Every faculty member shall participate as the subject of a Developmental Evaluation at least every third year.
- 3 Multiple indices shall be utilized, both in terms of sources of information and activities evaluated, and may include teaching, scholarly performance and/or research, and service to the profession, college, and community.
- 4 The administration shall have access to all primary or raw data developed according to the evaluation plan.
- 5 Faculty participation in evaluation is critical to bringing subject matter and pedagogical knowledge substantively into the assessment process. At the discretion of the employee being evaluated, a team may be used to help in the Developmental Evaluation process. The extent of use of peer evaluation shall be by mutual agreement of the faculty members involved.

6 Where deficiencies in a faculty member's performance are identified, the faculty member is responsible for correcting the deficiencies, and the College will provide reasonable development opportunities and resources.

7 Corrective Evaluations shall not be initiated as a form of discipline, and any disciplinary action flowing from them will be conducted within just cause principles and will result from failure to meet improvement plans and objectives.

Evaluation limitations and requirements

1 Developmental Evaluations are required every three years, except for probationary faculty who will be required to complete a Developmental Evaluation during each year of probation².

2 After their first year, probationary employees may not be recommended for non-retention based on performance without receiving at least one Corrective Evaluation. Further, probationary employees may not be non-renewed during a Corrective Evaluation and the period of any subsequent improvement plan³.

3 The division manager will notify the Association of scheduled Corrective Evaluations⁴.

4 An Association representative may attend all evaluation meetings, if requested by the faculty member.

¹ Article 13.3 and 13.6 ² Article 13.4.1 ³ Article 13.8 ⁴ Articles 37.1 and 37.2

Use of Regular Student Evaluations

The regular student evaluations of classes may be used in evaluations of faculty provided that:

1 The evaluation instrument was properly used.

2 The faculty member received the complete results of the evaluation within a month of the end of the course in which the evaluation was solicited, or as soon as possible thereafter.

3 Any concerns raised by the evaluation results were given in writing to the faculty member within a month of the end of the course for which it was given, or as soon as possible thereafter.

4 Alternative explanations of negative results were sought and were seriously considered.

5 Anomalous results were discounted.

Use of Peer Evaluation and Teaching/Professional Development Portfolios²

Peer evaluation of employees and teaching/professional development portfolios can be important inputs to developmental planning. A faculty member has the discretion over their scope and use, but data provided within this scope shall be accessible upon request to the College. Peers have the discretion over being part of peer evaluations, and may decline to participate without prejudice. The use of any data and conclusions derived from a peer evaluation initiated by the employee separately from the evaluation process is at the discretion of the employee.

DEVELOPMENTAL EVALUATIONS

Developmental Evaluations shall be used to provide a structured and supported opportunity for faculty to periodically take stock of accomplishments, reflect on current and future directions, and connect those directions with the challenges facing the discipline and department/division. The experience within this type of evaluation is intended to be purely developmental and result in a development plan¹. Faculty may wish to develop a portfolio as part of the evaluation process (see Appendix A).

Probationary faculty are required to complete this type of evaluation each year of the three-year probationary period. For probationary employees, the evaluation schedule will be established as soon as possible and completed in time to communicate, if necessary, a decision of non-renewal by March 15.

Permanent faculty, and part-time faculty that have earned part-time seniority² or with five years of service to the College, will complete this type of evaluation every three years. It can take place at any time during the academic year provided it is completed within two consecutive terms. The evaluation schedule will be worked out with the individual being evaluated.

Procedures³

The Developmental Evaluation will be conducted consistent with the following:

- 1 The Developmental Evaluation shall be carried out by an evaluation team composed of the employee being evaluated, the division/department chair, and if desired by the faculty member, other staff chosen by the faculty member, subject to reasonable ability of the group to do its work. The manager is not required by the contract, but may be required by the Office of Instruction, to be present at Developmental Evaluation meetings.
- 2 The evaluation team shall meet in a planning conference to discuss the scope of the Developmental Evaluation, the kinds and sources of data that will be necessary to conduct the evaluation, and the manner by which the data are to be collected and analyzed. The division manager shall ensure that this work is accomplished and the results of this conference are reduced to writing and a copy provided the employee. At the request of the employee, a copy will be provided to the Association.
- 3 An evaluation conference of the evaluation team, shall be held to clarify any questions concerning the data, to clarify developmental issues, to make developmental recommendations, to identify sources of support, and to identify and discuss any constraints faced by the employee and to suggest ways to remove such constraints. The division manager shall ensure the evaluation conference takes place and the results of the evaluation conference are a development plan and a summary, which shall be reduced to writing.
- 4 The employee shall be provided a written copy of the results of the evaluation conference and shall be afforded the reasonable opportunity to provide an addendum in writing, which will be attached. The summary of the evaluation conference, including addenda to the summary, shall be placed in the employee's personnel file.

Evaluation Steps

Step 1: Planning the Evaluation

- 1 Manager notifies faculty member of upcoming evaluation during fall term for probationary faculty members and early in the first of the two terms decided upon for regular faculty members.
- 2 Faculty member identifies team members, if desired.
- 3 Planning meeting is scheduled.

Step 2: Collection and Review of Data

1. Gather data identified during planning conference. This data should include:

Observations (see page 7)

Student evaluations

Review of plans developed during the previous developmental evaluation

Other data as agreed upon

Data review – faculty member and manager complete criteria form (see pages 8-9)

1 Evaluation conference is scheduled.

2 Review of data in conference.

Step 3: Developmental Plan

1 Developmental summary and plan are completed (see page 10).

2 Developmental summary and plan submitted to Personnel Services by March 1 for probationary faculty and by the end of the second term for regular faculty.

Faculty Developmental Evaluation¹

Step 1: Planning the evaluation

Faculty member: _____ Date: _____ Probationary
faculty Regular faculty Part-time faculty

Members of the team²:

Scope of the evaluation (e.g. teaching and/or professional faculty responsibilities, scholarly performance, service to profession, college, community):

Kinds and sources of data (including performance observations by manager and student evaluations) necessary for the evaluation³:

Manner in which the data shall be collected and analyzed to include Developmental Evaluation Criteria Form to be completed by faculty member and manager:

Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, request that a copy be provided to the Association.

¹ This type of evaluation is intended to be purely developmental and result in a development plan.

² The employee being evaluated may select colleagues to be part of the evaluation team. If the manager is not a member of the team, then there shall be at least two additional members.

³ The faculty member has discretion over the scope and use of peer evaluations and material in the teaching/professional development portfolio, but data provided within this scope shall be accessible by request to the College. Peers have the discretion over being part of peer evaluations. Data and conclusions derived from peer evaluations initiated by the employee separately from the evaluation process may be used only at the discretion of the employee.

Faculty Developmental Evaluation

Step 2a: Observations

Instructor: _____ Observer: _____

Situation: _____ Date: _____

The following observation guidelines are intended to benefit the faculty member. The developmental evaluation team may agree to use other observation criteria. A copy should be submitted to the person observed immediately upon completion. As the observation proceeds, the observer should look for and comment on the following:

1. *Clarity and organization:* Addresses topics and items in a clear fashion and follows logical progression

2. *Enthusiasm:* Enthusiasm about the assignment and student learning is apparent.

3. *Communication skills:* Communicates clearly and succinctly in spoken language and with other aids

that are employed (e.g. blackboard, overhead, computer projection).
4. <i>Rapport and interaction with students</i> : Comfortable working with students; appropriately inviting questions and comments from them, and responding to their needs.
5. <i>Subject matter expertise</i> : Demonstrates a command of the information and ideas addressed in the class.
6. <i>Additional comments</i> : Areas for development and/or recommendations for continued growth.

Faculty Developmental Evaluation

Step 2b: Data Review (To be completed by the manager and faculty member.)

Faculty Member: _____ Date: _____

The following are suggested standards (from *Scholarship Assessed, Evaluation of the Professoriate* by Glassick, Huber, and Maeroff) for review of the data. Examples and comments should be provided for each item. Faculty and the administrator may agree upon additional criteria to guide their data review.

<i>Data reviewed by:</i>
<i>Clear Goals</i> : Are your goals for classes and/or professional faculty responsibilities clear, realistic, and achievable?
<i>Appropriate Preparation</i> : Have you maintained a current understanding of your field, developed necessary skills, and organized necessary resources?

<i>Appropriate Methods:</i> Do you effectively use appropriate instructional methods, modify procedures in response to changing circumstances?
<i>Significant Results:</i> How well do you achieve your goals? Does your work contribute to the work of other faculty, staff, and the college? Does your work support and open avenues for future work?
<i>Effective Presentation and Communication:</i> Do you use a suitable style, effective organization, and communicate with clarity and integrity in your work?
<i>Reflective Critique:</i> Do you critically evaluate your teaching and/or professional faculty responsibilities, assess student learning and use your evaluation to improve the quality of your work?
<i>Contribution to the college and community:</i> How do you contribute to your discipline, program, department, division, the college, and the community as a member of the faculty?
<i>Qualities of a scholar:</i> Do you practice and support the qualities of a scholar, especially integrity, perseverance, ethics, and courage?
<i>Professional Working Relationships:</i> Do you develop professional relationships conducive to a positive learning and working environment? Examples/comments:

• This document shall remain confidential and it shall not be placed in the faculty member's personnel file. • Copies of this document and any attachments have been provided to the faculty member. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, request a second evaluation conference.

Developmental Faculty Evaluation

Step 3: Summary of Evaluation Conference and Developmental Plan

Faculty Member: _____ Date: _____

Attended by:

Developmental issues identified:

Strengths identified:

Areas identified for growth:

Recommended development goals:

Constraints and ways to remove them:

Support needed from the College:

• Copies of this document and any attachments have been provided to the faculty member and shall be placed in the faculty member's personnel file. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, wish to exercise my right to prepare an addendum to the summary. I request a second evaluation conference.

CORRECTIVE EVALUATIONS

Corrective Evaluations shall be the response to indications of performance deficiencies requiring significant intervention. Their outcome shall be a clarification of the validity of deficient performance indications, a clarification of performance expectations, and/or an Improvement Plan if indicated by the evaluation.

Principles¹

Corrective evaluations may be implemented at any time during an academic year. All such evaluations shall be developed within the following principles:

- 1 *Due Process:* The investigation of performance and/or behavioral problems will be conducted using full due process.
- 2 *Thorough:* Any resulting improvement plan will clearly state expectations, timelines, and consequences of failure and success.
- 3 *Inclusive:* The Corrective Evaluation and correction process will have, as its primary objective, the continued employment of the individual. Therefore, the College will provide reasonable resources in support of the Corrective Evaluation Improvement Plan.
- 4 *Respectful:* All matters dealing with corrective evaluations will be conducted in such a way as to preserve the dignity of the individual involved, subject to the requirements of the faculty contract.
- 5 *Timely:* Corrective Evaluations will be conducted as soon as possible following the receipt of sufficient information regarding performance and/or behavioral problems. Decisions of non-renewal for probationary employees, based on failure to satisfy the objectives of the Improvement Plan, must be made prior to March 1.
- 6 *Consistent:* Investigations, Corrective Evaluations and Improvement Plans will be conducted within these guidelines.
- 7 *Union Participation:* The LCCEA will be expected to participate actively in all phases of the Corrective Evaluation process with the concurrence of the employee being evaluated. The Association shall be timely informed of the occurrence and results of every step
- 8 *Discipline and Non-Renewal:* Recommendations regarding discipline or non-renewal coming from this evaluation shall be appropriately based on the level of conformance to the performance expectations specified in the Improvement Plan.

Procedures²

Any corrective evaluation must include the following steps:

Step 1 - Initiation: The appropriate vice-president or manager will initiate the Corrective Evaluation process when he/she is made aware of allegations of deficient performance that requires significant intervention. The manager will prepare a statement of the allegations and a statement of the scope of further inquiry, which will closely correspond to the specific allegations of poor performance. The employee will be informed of the initiation of this process and of his/her right to representation, and will be given a copy of the statement.

Step 2 - Planning the Investigation: Following a reasonable preparation time for the employee, the manager and the employee will meet to discuss the details of the allegation of poor performance, the

¹ Article 37.1 ² Article
37.2

scope of further inquiry, including kinds and sources of data required for the inquiry, and the manner in which the data will be collected and analyzed. The results of this meeting will be reduced to writing, with copies provided to the faculty member.

Step 3 - Working With the Data: Following receipt of the data, the manager and employee will meet to clarify any questions concerning the data and engage in an evaluation/developmental discussion. The intent of this discussion will be to identify strengths and weaknesses in the employee's performance that fall within the scope of the inquiry, to suggest ways to enhance the employee's performance, and discuss any constraints faced by the employee and ways to remove such constraints.

Step 4 - Conclusions: The results of this evaluation conference shall be reduced to writing and shall include statements of confirmed poor performance with attendant performance expectations and statements of exoneration for allegations that were not confirmed by the findings. Upon request of either the employee or the manager, a mutually acceptable third person may be selected to help interpret the data.

Step 5 - Employee Response: The employee shall be provided a written copy of the results of the evaluation conference, and shall be afforded the opportunity to respond in writing. If the employee submits a timely request, he/she will be granted a second evaluation conference. The employee will be provided a reasonable time to respond. The response will be attached to the evaluation prior to the time that it is placed in the personnel file. In either event, the employee agrees to sign the evaluation.

Step 6 - Improvement Plan: If following the Corrective Evaluation, the College determines that the performance of an employee is substandard, an Improvement Plan will be developed to provide an opportunity and support for the employee to improve his/her performance. The Improvement Plan will include:

- Measurable outcomes of improvement
- Reasonable timelines for success
- List of types of assistance that will be provided by the College
- Support and direction by the immediate supervisor
- Schedule of frequent conferences with written progress reports

The improvement plan *shall not* be placed in the faculty member's personnel file.

Step 7 - Results of the Plan: Following complete implementation of the Improvement Plan, the employee's supervisor shall prepare a summary of performance and a recommendation regarding retention, which shall be placed in the employee's personnel file.

Note: Due to the potential for discipline arising from the Corrective Evaluation process, the LCCEA will be timely informed of the meetings and results of the various steps. The employee retains the discretion as to whether representation is present in the meetings. If a LCCEA representative plans to attend a meeting, he/she shall make a good faith effort to so notify the division manager at least two working days prior to the meeting.

Faculty Corrective Evaluation

Step 1: Initiation

Due to the potential for discipline arising from the Corrective Evaluation process, you have the right to have an Association representative attend any of the meetings.

Faculty Member: _____ Date: _____

Allegations and related scope of this evaluation:

When and where the evaluation planning session will be held:

• A copy of this notice has been provided to the faculty member. • The faculty member has been notified his/her right to Association representation. • The Association shall be immediately be notified of the initiation of this corrective evaluation. Division Chair, Director or Date Faculty Member Associate Vice President

Date

¹ The faculty member must be provided with one-week notice of the scheduled meeting. 13

Faculty Corrective Evaluation

Step 2: Planning the Investigation

Faculty Member: _____ Date: _____

Attended by:

Scope of the inquiry:

Kinds and sources of data to be utilized:

Manner by which data shall be collected and evaluated¹:

When and where the evaluation meeting will be held²:

• A copy of this document has been provided to the faculty member. • The Association shall be immediately informed of the results of this step of the evaluation. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, wish to have a copy of this document sent to the Association.

¹ A mutually acceptable third person may attend the meeting to help interpret the data.

² Due to the potential for discipline arising from the Corrective Evaluation process, you have the right to have an Association representative attend any of the meetings.

Faculty Corrective Evaluation

Faculty Member: _____ Date: _____

Steps 3-5: Working With the Data, Conclusions, and Employee Response

Attended by ¹ :
Questions concerning data:
Strengths and weaknesses of performance falling within scope of evaluation:
Ways to enhance performance:
Constraints and ways to remove them:
Results ² :
When and where the Improvement Plan meeting will be held ³ :
• A copy of this document has been provided to the faculty member. • The Association shall be immediately informed of the results of this step of the evaluation. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, wish to exercise my right to: Have a second evaluation conference. Prepare an addendum before this evaluation is placed in my personnel file. Have a copy of this document sent to the Association.

¹ A mutually acceptable third person may help interpret the data. ² Specify which of the initiating allegations, if any, are supported by the evaluations and the extent to which an improvement plan and/or statement of exoneration is needed.

³ *Due to the potential for discipline arising from the Corrective Evaluation process, you have the right to have an Association representative attend any of the meetings*

Faculty Corrective Evaluation

Step 6a: Improvement Plan¹

Faculty Member: _____ Date: _____

Areas of Deficiency:

Measurable outcomes sought:

Timeline of the plan and schedule of conferences (*attach progress reports of each conference*²):

Types of assistance provided by the College:

Support and direction provided by the division manager:

When and where the first progress conference will be held³:

• A copy of this document has been provided to the faculty member. • The Association shall be immediately informed of the results of this step of the evaluation. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, wish to have a copy of this document sent to the Association.

¹ An Improvement Plan is intended to provide an opportunity and support for employee performance improvement. The plan *shall not* be placed in employee's personnel file unless it results in a recommendation for non-renewal. ² Use the progress report form in Step 6b.

³ Due to the potential for discipline arising from the Corrective Evaluation process, you have the right to have an Association

representative attend any of the meetings

Faculty Corrective Evaluation

Step 6b: Progress Reports¹

Faculty Member: _____ Date: _____

Attended by:

Progress achieving the requirements of the Improvement Plan:

Additional assistance needed from the College and/or the division manager:

When and where the next progress conference will be held²:

• A copy of this document has been provided to the faculty member. • The Association shall be immediately informed of the results of this step of the evaluation. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, wish to have a copy of this document sent to the Association.

¹ Attach all progress reports to the evaluation plan (Step 6a).

² Due to the potential for discipline arising from the Corrective Evaluation process, you have the right to have an Association representative attend any of the meetings

Faculty Corrective Evaluation

Step 7: Result of the Improvement Plan

Faculty Member: _____ Completion Date: _____

The result of the Improvement Plan includes:	Recommendation for renewal	Recommendation for non-renewal
	A follow-up Developmental Evaluation	

This result is appropriate for the following reasons:

• A copy of this document has been provided to the faculty member. • The Association shall be immediately informed of the results of this step of the evaluation. Division Chair, Director or Date Faculty Member Date Associate Vice President I, the faculty member, wish to: Exercise my right to respond in writing before this evaluation is placed in my personnel file. Waive my right to respond in writing before this evaluation is placed in my personnel file. Have a copy of this document sent to the Association.

APPENDIX A: PILOT PORTFOLIO GUIDELINES

A teaching portfolio may be used for professional development purposes. It should demonstrate the teacher's abilities and professionalism, as well as encourage collaboration and experimentation.

The development of the portfolio should be supported rather than managed by the department/division chair. Since the purpose of the teaching portfolio is formative and produced by the teacher, its composition will necessarily be individualized. The portfolio should characterize and represent a faculty member's unique, distinguishing work as a teacher. Although a teaching portfolio integrates many different kinds of information, it is not expected to be a complete reflection of the faculty member's work.

Portfolio Items

The teaching portfolio should be a selective gathering of materials chosen by the faculty member that reflects and critically evaluates three areas: Work as a Teacher (or the appropriate role(s) for non-teaching faculty), Scholarship, and Service to the College.

Work as a Teacher - some examples include:

- Description of academic responsibilities.
- Representative course syllabi.
- Information from students, peers, and chair.
- Description of students, their learning styles and reasons for taking the course.
- Conferences with students, including tutoring, academic advising, and mentoring.
- Coordination and supervision of student activities directly related to the academic program.
- Coordination and supervision of academic programs.
- Writing letters of recommendations.
- Evaluation of library holdings and recommendation of resources to be ordered by the library.
- Review, selection, and procurement of equipment, software, supplies, books, films/videos, and other materials for classroom use.
- Other similar activities.

Scholarship - some examples include:

- Curriculum preparation, design and development.
- Statement of teaching/academic philosophies and methodologies.
- Steps taken to evaluate and improve one's teaching or academic work.
- Personal criteria of efforts for assessing teaching/academic performance.
- Description of professional development efforts.
- Experiments in teaching methods and academic-oriented research.

Development of new courses and academic programs or services.

Documentation of on going reading, research, and course work, to maintain proficiency in one's field.

In the case of fine arts, performing arts, and physical education, regular practice and performance to maintain and develop professional skills.

In the case of professional technical education, attending workshops and training sessions, visiting work sites, etc., to maintain and develop professional skills.

Research intended to lead to publication in scholarly journals and books or presentation to professional society or group in one's fields.

Editing professional journals and serving as referee of manuscripts that have been submitted to a journal.

Reviewing texts in one's field to be used in courses and/or for a publisher.

Holding membership or an office in a professional association.

Attendance and participation in meetings, conferences, workshops, and conventions in one's field, including professional associations.

Writing proposals for and/or working on SLI projects and other similar projects.

Writing and/or implementing grant proposals.

Consulting with faculty on professional development proposals and projects.

Discipline-connected consultation or discipline-connected community service.

- Other similar activities.

Service to the College - some examples include:

Service on department/division and college-wide committees.

Service on Association executive board and/or committees.

Service on joint governance committees.

Participation in college-sponsored activities to recruit students and new faculty.

Screening and interviewing candidates for faculty and staff appointments.

Coordination, advisement, and supervision of student organizations or student activities not directly related to the academic program.

Advising and counseling of students during registration.

Participation in college-sponsored community service or community projects.

Taking inventory of equipment and supplies.

Service as the designated representative of the College.

Participation in community-sponsored activities with the college (such as the United Way).

Discipline-related public service.

Other similar activities.