

## **FACULTY EVALUATION AND PERFORMANCE REVIEW**

### **Policy Number: CU-AA-64**

#### **GENERAL**

It is a standard of the Higher Learning Commission, a rule of the Higher Education Policy Commission, and best-practice that faculty be evaluated regularly and that the university have processes and resources for assuring that instructors are current in their disciplines and adept in their teaching roles.

#### **PURPOSE**

This policy has been enacted to establish and define the process for the evaluation of Instructional Faculty.

#### **SCOPE**

This policy is applicable to faculty, both full-time and part-time, regardless of rank or status.

#### **POLICY**

It is the policy of Concord University to evaluate instructional faculty to assure instructors are current in their disciplines, adept in their teaching roles, and meeting performance expectations as set forth in their job descriptions, contracts, and/or Board, university, college, or departmental policy.

#### **FACULTY EVALUATIONS**

Thoughtful and candid evaluations encourage professional growth and development of the faculty and assist in making personnel decisions.

Faculty members shall receive a written, annual evaluation of their performance directly related to the responsibilities and expectations defined by the University. Primary duties and responsibilities include, but are not limited to, excellence in teaching, research and/or creative activity, and university and professional service.

The written, annual evaluation will be maintained as part of the faculty members' academic personnel files in the Office of the Provost for the duration of the faculty members' employment, as well as seven years thereafter. Copies of evaluation materials and recommendations are to be maintained in the College Dean's office for the duration of employment plus seven years.

#### **COLLEGE PERSONNEL COMMITTEE**

Each College of the University shall constitute a personnel committee to consider appraisals of performance and applications for tenure and/or promotion. The membership of the College Personnel Committee (Committee) is as follows:

1. The Committee shall have two tenured faculty members elected from each department.
2. The Committee shall select one tenured faculty member from outside of the College.
3. The College Deans and Department Chairs are not eligible to serve on the Committee.

4. In the event there is not a tenured faculty member to serve as the department's representative, then a non-tenured faculty member from the department may serve.
5. For promotion or tenure recommendation reviews, one tenured member must be from the same department as the person being evaluated, if there is such a person.
6. In the event there is not a tenured faculty member from the same department, a tenured faculty member from another institution may be considered for participation in the review.

### **PERFORMANCE REVIEW**

The Performance Review for faculty varies by classification and tenure status.

#### **Adjunct Faculty Review**

Adjunct faculty are contingent or temporary, part-time, non-tenure-track faculty who provide instruction for one to three classes for a given semester. The Department Chair will complete an evaluation of adjunct faculty at the end of each semester with consideration of student and faculty input as available. The Chair should provide feedback to the faculty member on the evaluation.

#### **Full-Time Faculty Review**

All full-time faculty shall have an annual evaluation, which will include the submission of an Annual Self-Evaluation, a current Professional Activities Summary, a current CV, and student course evaluations for the current year. In addition, tenure-track faculty and non-tenure-track faculty should arrange for a peer observation of their teaching performance each year, and submit that observation report with their other materials during the annual review.

The review processes for tenure-track faculty in their third year and sixth year, along with those undergoing post-tenure review, are more extensive and are detailed in the sections below titled Tenure-Track (Probationary) Faculty Review—Third Year Review Process, Tenure-Track (Probationary) Faculty Review—Critical Sixth-Year Review Process, and Post-Tenure Review Process. Faculty members during these years will develop an electronic Faculty Portfolio of professional evidence to be presented to reviewers at the time of the annual review. Guidelines for the Faculty Portfolio are outlined in the Appendix.

#### **Full-Time Faculty Review Process (in years other than Third Year, Sixth Year, and Post-Tenure Review Years)**

1. Faculty Members will provide an Annual Self-Evaluation, a current Professional Activities Summary, a current CV, and student course evaluations for the past year to their Department Chair, along with a peer observation of their teaching performance if they are a non-tenure-track faculty member. Persons in tenure-track appointments, or persons preparing for a post-tenure or promotion review, should have peer observations of their teaching performance as well, but would only need to submit them at the designated times during their respective review process.
2. The Department Chair will review and then forward these materials, including any supplemental materials set forth by the department, peer observations (if needed), as well as the Department Chair's recommendation, to the Dean of the College.
3. The Dean of the College will review all materials and the Department Chair's recommendation.
  - a. In the event of a positive annual evaluation, the review process stops with the Dean evaluation.
  - b. In the event of a negative annual evaluation, the process will automatically proceed to the next step.

4. The Dean of the College will forward all materials, including the Dean's recommendation, to the Provost.
5. The Provost will review all materials and recommendations and advise the faculty member of the result of the evaluation.

At each step in the review process, the reviewer's recommendation will be sent to the person at the next level of review and to the faculty member. The faculty member will be provided an opportunity to add a written response at each step for consideration by the next level reviewer. No material may be added to, or taken away from, the body of materials, with the exception of these additional written statements from the faculty member being reviewed.

### **TENURED AND TENURE-TRACK PERFORMANCE REVIEW—THIRD YEAR, SIXTH YEAR, AND POST-TENURE REVIEW YEARS**

#### **Tenure-Track (Probationary) Faculty Third Year Review**

A third-year review process is essential to evaluate the performance of the tenure-track faculty member in the progress toward tenure. This intensive review should demonstrate the faculty member's achievement in, and planning improvement for, teaching, scholarship, and service. By conducting the third-year review, the faculty member will have adequate time to address any recommended corrective actions and/or recommendations to improve teaching, scholarly activities, and service.

For this review, the tenure-track faculty member will submit a full Faculty Portfolio to the College Personnel Committee instead of the normal yearly review materials. Guidelines for the Faculty Portfolio are outlined in the Appendix.

#### **Tenure-Track (Probationary) Faculty Critical Sixth-Year Review**

The critical sixth-year review process is essential to evaluate the performance of the tenure-track faculty member in order to determine whether tenure should be awarded. This intensive review should demonstrate the faculty member's achievement to date in teaching, scholarship, and service.

For this review, the tenure-track faculty member will submit a full Faculty Portfolio to the College Personnel Committee instead of the normal yearly review materials. Guidelines for the Faculty Portfolio are outlined in the Appendix.

#### **Post-Tenure Review**

Tenured faculty shall complete a post-tenure review process each six years beginning six years from the award of tenure.

The post-tenure review will include an extensive review of teaching, scholarship or creative endeavors, and service. The most critical aspect for tenured faculty at the University is teaching, which should be well-documented. Results of the post-tenure review may be combined with a bid for promotion.

For this review, the tenured faculty member will submit a full Faculty Portfolio to the College Personnel Committee instead of the normal yearly review materials. Guidelines for the Faculty Portfolio are outlined in the Appendix.

### **Full-Time Faculty Review Process During the Third Year, Sixth Year, and Post-Tenure Review Years**

1. Faculty Members will provide a completed, full Faculty Portfolio to the College Personnel Committee by the date specified by the Dean of the College.

2. The College Personnel Committee will review the Faculty Portfolio, including any supplemental materials set forth by the department. After that review, the College Personnel will forward these materials, along with their written recommendation, to the Department Chair.
3. The Department Chair will review and then forward these materials, along with the Department Chair's recommendation, to the Dean of the College.
4. The Dean of the College will review and then forward all materials, along with the Dean's recommendation, to the Provost.
5. The Provost will review all materials and recommendations and advise the faculty member of the result of the evaluation.

## **NON-TENURE-TRACK AND TERM FACULTY PERFORMANCE REVIEW**

### **Full-Time Non-Tenure-Track Faculty and Term Faculty Review**

Full-time non-tenure-track faculty (i.e., faculty who are not tenured, on a tenure-track, term, or in a librarian track) are typically employed in the rank of instructor or lecturer, with a term or regular faculty appointment.

Term faculty are contingent, full-time or part-time, non-tenure-track faculty hired for a specific period of time, whether for a semester or an academic year. Term faculty are hired year-to-year or semester to semester, and the University may make a term appointment of up to three years. No number of term appointments shall create any presumption of a right to future term appointments or a right to appointment as tenure-track or tenured faculty.

Non-tenure-track and term faculty will be evaluated primarily with respect to their performance in teaching.

The non-tenure-track or term faculty member is expected to be involved in light to modest levels of service and scholarship unless there are specified scholarship and/or service requirements of the appointment.

The annual faculty review process will focus on teaching performance, unless the appointment specifies otherwise, and the faculty member should arrange for a peer observation of their teaching performance each year.

### **Full-Time Non-Tenure-Track and Term Faculty Review Process**

1. Faculty Members will provide an Annual Self-Evaluation, a current Professional Activities Summary, a current CV, and student courses evaluations for the past year to their Department Chair.
2. The Department Chair will review and then forward these materials, including any supplemental materials set forth by the department, peer observations, as well as the Department Chair's recommendation, to the Dean of the College.
3. The Dean of the College will review all materials and the Department Chair's recommendation.
  - a. In the event of a positive annual evaluation, the review process stops with the Dean evaluation.
  - b. In the event of a negative annual evaluation, the process will automatically proceed to the next step.
4. The Dean of the College will forward all materials, including the Dean's recommendation, to the Provost.

5. The Provost will review all materials and recommendations and advise the faculty member of the result of the evaluation.

#### **RESPONSIBILITY FOR IMPLEMENTATION**

The Department Chair, College Dean, and Provost have primary responsibility for assuring the ongoing and periodic assessments of faculty performance outcomes and behaviors are completed and that such outcomes meet university expectations.

All participants are responsible for meeting time tables as established by the Provost's office and the College Deans.

#### **AUTHORITY FOR INTERPRETATION**

The final authority for interpretation of this policy rests with the President and Provost.

#### **AMENDMENTS**

This Policy may be amended to change names, links to information, and contact information without resorting to the rulemaking process.

Federal and State laws, rules and regulations change. Any portion of this policy may be modified in practice to ensure the due process rights of the individuals involved are provided and to conform with any current Federal and State law, rules and regulations. Subject to the institution's rulemaking policy, the institution will change this policy to conform to the most current laws and regulations within a reasonable time of discovering the change.

#### **REFERENCE / AUTHORITY**

HEPC Title 133, Series 9, Academic Freedom, Professional Responsibility, Promotion, And Tenure; §18B-8-7, Authority of Governing Boards relating to faculty; and BOG Policy CU-AA-39, Faculty Promotion in Rank.

This policy supersedes Concord University Faculty Handbook sections regarding faculty evaluations to the extent any conflict between the two exists.

#### **APPROVAL**

Intent to Plan Approved by the CU Board of Governors: April 19, 2022

Approval by the Board of Governors: June 07, 2022

Effective Date: June 07, 2022

## **APPENDIX**

### **GUIDELINES FOR FACULTY PORTFOLIO**

#### **The Faculty Portfolio**

The portfolio is a compilation of materials that allows Tenure-Track (probationary) faculty, faculty seeking promotion and/or tenure, or tenured faculty undergoing a post-tenure review to document their work in a variety of ways. The portfolio is used to demonstrate fulfillment of performance expectations.

#### **Contents**

The electronic portfolio should be clearly organized into the following sections:

1. Annual Self-evaluation (limited to 6 pages) – a reflection of the evaluation period of the faculty member's teaching, professional development, and service.
2. Professional Activities Summary (PAS). Include all years since last review for tenure-track and tenured faculty.
3. Current CV.
4. Peer teaching evaluations by a member of the College Personnel Committee, or faculty in Department and Department Chair.
5. Supervisory / personnel evaluations on same schedule as PAS.
6. Student evaluations for each class for all the years since previous review requiring a faculty portfolio.
7. Evidence of teaching effectiveness (examples offered below).
8. Evidence of scholarly and/or creative activities (examples offered below).
9. Evidence of service (examples offered below).

The judicious inclusion of materials dated prior to the most recent year of service is acceptable, but the portfolio should focus on providing data relevant to academic accomplishments in the years since the last review.

Sections Six (6) through eight (8) of the Portfolio provide faculty an opportunity to define their teaching, scholarship, and service by choosing representative artifacts to incorporate into the portfolio.

Examples of evidence for scholarly and creative activities include, but are not limited to, copies of publications; records of presentations, performances, or exhibits; excerpts from successful grant proposals; scholarly awards; statement of research philosophy; description of current research; or other evidence of scholarship, including future development plans.

Examples of evidence for service include, but are not limited to, contributions to program or institutional assessment; grants received to develop and promote service activities; written acknowledgements of professional or campus service; meritorious service awards; or other evidence of service, including future development plans.

### **Criteria for Teaching, Scholarship and Service Teaching (65%)**

- Peer review of teaching and advising, including classroom observation, review of syllabus, review of LMS course activity, etc.
- Student perceptions of teaching through student courses evaluations
- Engaging in activities to enhance teaching effectiveness demonstrated through examples such as participation in pedagogical workshops or conferences, development of innovative teaching techniques, activities, or materials; or mentoring undergraduate research

### **Scholarship (Between 10% and 20%):**

- Staying current in one's field, demonstrated through such activities as ongoing reading of scholarship and monitoring trends, maintaining membership and being active in a professional organization, or attending conferences or professional workshops.
- Engaging in scholarly activity or producing scholarly work, demonstrated through such activities as conducting original research, presenting at a professional conference, publishing material in a scholarly journal, publishing or editing a scholarly text, exhibiting or performing artistically or publishing a creative work, engaging in continuing education, producing reports or other documents for accreditation purposes, or submitting grant proposals, manuscripts, or professional reports.

### **University and Professional Service (Between 15% and 25%):**

- Participation in university, college, or departmental committees, demonstrated through statements from committee colleagues or chairs.
- Engaging in other service to the university, including such activities as participating in admissions, orientations, or recruiting events, contributing to program or institutional assessment or accreditation efforts, supervising labs or other facilities, or sponsoring or advising student organizations.
- Engaging in professional service to the larger community, including such activities as participating in professional societies and organizations, engaging in educational outreach to the larger community, serving on boards or other community organizations or committees, serving as a consultant or resource liaison for community organizations or businesses.