

1 **Evaluation of Permanent Instructional Faculty**

2 (Senate: 8/3/76, 5/24/77, 7/28/82[EA], 5/24/83, 11/3/87, 7/25/89, 11/7/89, 8/21/90, 7/30/91,
3 2/4/92, 10/26/93, 5/10/94, 8/22/95, 5/9/00, 5/10/11, 1/24/12, 5/28/13, 12/2/14; President:
4 8/16/76, 6/14/79, 9/8/82, 6/14/83, 6/22/88, 8/16/89, 11/24/89, 11/1/90, 10/7/91, 3/11/92,
5 12/13/93, 6/29/94, 6/24/96, 6/6/00, 7/14/11, 2/23/12, 7/9/13, 1/26/15; Editorial Amendment:
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10 California State University and the California Faculty Association, the term "permanent faculty"
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12 permanent instructional faculty. Although librarians, counselors, and coaches fall within the
13 faculty bargaining unit, some aspects of their assignments differ from those of instructional
14 faculty and thus they are subject to specific evaluation criteria. Relevant evaluation policies for
15 each of these groups can be found in their respective evaluation policies elsewhere in this
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17 **Overview**

18 The purpose of the University's instructional evaluation policy is to maintain and enhance the
19 high quality of the academic programs at Cal State LA by assuring that all permanent faculty
20 members meet and maintain high standards of performance as teachers, scholars, and
21 members of the campus community. The policy aims to achieve this objective by establishing
22 criteria for fair, thorough, and consistent evaluation of individual faculty members.

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24 effectiveness of educational performance, professional achievement, and other contributions
25 to the University by the faculty member under review.

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27 individual's qualities, achievements, and promise during the year or years included in the
28 review period.

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30 member's performance and special professional interests and accomplishments.

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38 current curriculum vitae, a personnel information form that summarizes and describes the
39 candidate's activities and accomplishments during the period under review, and evidence of
40 these activities and accomplishments.

41 **I. Types of Evaluation**

42 There are two types of evaluations of permanent faculty members:

43 **performance reviews**, required for retention, tenure and promotion of
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45 **periodic evaluations**, conducted when an evaluation is required, but in periods
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47 promotion.

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49 member's performance warrants retention, tenure, or promotion, and of providing the faculty
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66 Permanent instructional faculty members at Cal State LA shall be evaluated on the basis of their
67 educational performance, professional achievement, and contributions to the University.

68 Permanent faculty evaluations shall utilize the following official evaluative terms:

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83 recommending retention. To receive a favorable recommendation for tenure and promotion at
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90 probationary faculty members who are appointed in a term other than fall shall end in spring
91 term of the second academic year of service.

92 During the first year of an initial probationary appointment, a faculty member shall undergo a
93 periodic evaluation, with the exception of those appointed in spring semester (who will not be
94 reviewed in the first [partial] year of appointment). During the second year of an initial
95 probationary appointment, a faculty member shall undergo a performance review for
96 retention.

97 For the purposes of calculating tenure eligibility, the first year shall begin with the first fall term
98 in which a probationary faculty member is employed.

99 It is possible to receive approval for a one-year extension of the probationary period when
100 participating in specified leave programs. Information related to extensions may be found in
101 Articles 13.7 and 13.8 of the Collective Bargaining Agreement.

102 If found to be satisfactory or better during a performance review for retention, probationary
103 faculty members shall be reappointed for subsequent two-year appointment(s) unless they
104 have only one year remaining in their probationary period, in which case they will receive a
105 one-year appointment. If a probationary faculty member is found to be less than satisfactory,
106 he or she *may* receive a one-year appointment. During each year between retention reviews
107 probationary faculty shall undergo periodic evaluations.

108 Probationary faculty members may request a performance review during any year in which
109 they would otherwise receive only a periodic evaluation.

110 Consideration for tenure normally occurs during the sixth year of service as a probationary
111 faculty member minus any credit toward tenure.

112 A faculty member shall not normally be promoted to associate professor and may not be
113 promoted to professor during the probationary period. Assistant professors who are awarded
114 tenure shall be promoted concurrently to associate professor.

115 A faculty member must be employed by Cal State LA and in the current rank for at least two
116 years before applying for tenure or promotion to a higher rank.

117 **Early Tenure and/or Promotion for Probationary Faculty**

118 Consideration for tenure normally occurs during the sixth year of service as a probationary
119 faculty members minus any credit toward tenure. A probationary faculty member applying for
120 early tenure or early promotion shall demonstrate that they have, in a shorter period of time,
121 (A) achieved the level of development in all areas of review that is expected of candidates for
122 tenure; and (B) established a record of accomplishments that exceeds the standards and level
123 of performance expected during the probationary period. Probationary faculty members shall
124 not be promoted beyond the rank of associate professor. Prior to the final decision for early
125 tenure or early promotion, candidates may withdraw without prejudice from consideration at
126 any level of review. If a faculty member has applied for *and been denied* early tenure or early
127 promotion, the faculty member cannot apply again for early tenure or early promotion while in
128 the same rank.

129 **Post-Tenure Performance Reviews and Periodic Evaluations**

130 Once tenured, a faculty member will typically undergo a performance review during the fifth
131 year in rank as an associate professor, for consideration for promotion to the rank of
132 professor. A faculty member who does not wish to apply for promotion within five years of
133 receiving tenure/promotion to associate professor, must undergo a periodic evaluation in the

134 fifth year in rank. All tenured professors (at any rank) shall be evaluated at intervals no greater
 135 than five years. Participants in the Faculty Early Retirement Program (FERP) shall not be
 136 required to undergo evaluation unless an evaluation is requested by either the FERP participant
 137 or the college dean.

138 Tenured faculty members may be evaluated more frequently at the request of the faculty
 139 member or the president.

140 The faculty member's evaluation for promotion to the rank of professor emphasizes the scope
 141 and depth of teaching performance, the degree of professional recognition within and beyond
 142 the University, and the distinctiveness of contributions to the general welfare of the faculty
 143 members department/division/school, college, and University. Such a review must
 144 necessarily include a careful evaluation of each individual achievement, with the aim of
 145 determining its value to the faculty member, the students and the University.

146 **Early Promotion for Tenured Faculty Members**

147 Tenured associate professors may request to be considered for early promotion to the rank of
 148 professor. Tenured associate professors applying for early promotion shall demonstrate that
 149 they have achieved, in a shorter period of time, a record of accomplishments that exceeds the
 150 standards and level of performance that would be expected during the normal five-year period
 151 of time in rank as an associate professor. A faculty member cannot apply for early promotion if
 152 they have applied for and been denied early promotion while in the same rank.

153 **Review Periods**

154 Performance Review Periods:

Review:	Review Period Begins:	Review Period Ends:
Retention review for second year faculty	Date of appointment to probationary position	File closure (fall semester of second year)
Retention (probationary performance review years other than second)	File closure of previous performance review	Current file closure (fall semester of performance review years)
Tenure and Promotion	Date of appointment to probationary position	Current file closure (fall semester of tenure ELIGIBILITY <u>elegibility</u> year)
Promotion to Professor	File closure of tenure and promotion performance review	Current file closure (fall semester of promotion eligibility year)

155 Periodic Evaluation Periods:

Evaluation:	Evaluation Period Begins:	Evaluation Period Ends:
First year evaluation	Date of appointment to probationary position	File closure (spring semester of first year)
Annual evaluation (probationary years not requiring retention review)	File closure of previous performance review	Current file closure (spring semester of current year)
Post-tenure review	File closure of last review	Current file closure (spring semester of current year)

156 **IV. Criteria Governing Evaluations of Permanent Faculty**

157 Reviews for retention, tenure, and promotion to associate professor are cumulative in the
158 sense that the progress or growth of the faculty member since joining the faculty is a factor in
159 evaluation. Generally, the evaluation of a probationary faculty member will take into account
160 all and only the activities and achievements since the initial probationary
161 appointment. Reviews are comparative in the sense that the faculty member is evaluated
162 against the quality and effectiveness of performance of colleagues taking into account the
163 broad range of activities in which different members of the faculty engage. Performance
164 reviews for promotion to the rank of professor are similarly cumulative and comparative - i.e.,
165 the progress or growth of faculty members while in their present rank is assessed against the
166 quality and effectiveness of colleagues' performance, taking into account the broad range of
167 activities in which different members of the faculty engage. EXCEPT WHEN APPLYING FOR
168 EARLY PROMOTION TO THE RANK OF PROFESSOR, FOR A FACULTY MEMBER TO RECEIVE
169 PROMOTION TO THE RANK OF PROFESSOR, THEY SHALL DEMONSTRATE A LEVEL OF
170 ACHIEVEMENT THAT IS COMMENSURATE WITH THAT OF OTHER CANDIDATES RECOMMENDED
171 FOR PROMOTION TO THE RANK OF PROFESSOR, REGARDLESS OF THE NUMBER OF YEARS SINCE
172 EARNING TENURE AT CAL STATE LA.

173 Permanent faculty members are evaluated on the basis of their performance in the following
174 categories:

- 175 A. Educational Performance
- 176 B. Professional Achievement
- 177 C. Contributions to the University.

178 Of the three categories, category A normally shall have the greatest weight. In the case of a
179 faculty member who is appointed or elected to a non-teaching position, special consideration
180 shall be given to performance in that assignment. In such cases, a faculty member should
181 consider preparing an individualized professional plan; the individualized professional plan is
182 described in section V. B.

183 Although the criteria governing performance reviews are the same for retention, tenure, and
184 promotion cases, reviewers should recognize qualitative differences between these types of
185 reviews. This difference, however, is one of degree, not kind, and it may be summed up under
186 the concept of growth or progress. At the time of the performance review of the faculty
187 member for retention during the probationary period, judgment is based on demonstrated
188 growth, performance and promise in categories A, B, and C.

189 At the time of candidacy for tenure and/or promotion, however, a faculty member is expected
190 to have demonstrated substantive achievements in each of the three areas; promise of future
191 growth will not be sufficient to warrant a positive recommendation for tenure or
192 promotion. Special consideration will be given to the continuity and growth of the activities
193 comprising this total performance.

194 **Category A, Educational Performance**, consists of two elements:

- 195 1. teaching performance, and
- 196 2. related educational activities.

197 1. Teaching performance includes those activities by the faculty member that directly
198 contribute to student learning. Effective teaching can include many pedagogical approaches,
199 such as lectures, individual and group exercises, inquiry-based learning, discussion sessions, and
200 other techniques. It can also include a wide range of activities such as supervising theses or
201 projects; supervising student learning experiences in academic and community based settings;
202 collaborating with students on research, performance, artistic, and other projects; mentoring
203 students; and tutoring students.

204 The evaluation of teaching performance is an assessment of the quality and effectiveness of the
205 efforts of faculty members that contribute to student learning. This evaluation must include
206 multiple measures:

- 207 a. A summary of the quantitative responses to the "Student Opinion Survey on Instruction."
- 208 b. Evaluation of teaching performance based upon a peer observation of instruction.
- 209 c. At least one other source of information, such as course syllabi, instructional
210 materials, assessment methods, assignments (including field assignments), evidence of
211 student work and accomplishments, and signed letters from students.

212 2. Related educational activities include, but are not limited to: academic advisement,
213 curriculum/program development, programmatic assessment of learning outcomes,
214 membership on thesis committees, the development and evaluation of comprehensive exams,
215 and other academic support activities that enhance student retention and student
216 achievement.

217 The evaluation of related educational activities is based upon such items as surveys of student
218 opinions of advisement, student mentoring, tutoring, field activities, etc.; written reports from

219 the department/division chair or school director, students, faculty, and/or other individuals
220 with first hand knowledge of the faculty member's activities; and other such documentation
221 provided by the faculty member regarding participation in program assessment, curriculum
222 development, and other related educational activities.

223 **Category B, Professional Achievement**, is defined as performance of discipline-related activities
224 that include, but are not limited to the following broad areas identified in no particular order:

- 225 • Academic and scholarly contributions to the faculty member's profession and field, that are
226 externally evaluated and published or formally accepted for publication such as research,
227 critical essays and analyses, and theoretical speculations.
- 228 • Innovative use of technology, textbooks, and original teaching or testing materials which
229 are adopted for professional and/or instructional use outside the faculty member's
230 department/division/school.
- 231 • Inventions, designs and innovations that have been favorably evaluated by authorities
232 outside the University.
- 233 • Creation, exhibition, performance or publication in the arts or literature. Producing and
234 directing events in the performing arts, including visual arts, music, dance, and theatre,
235 beyond normal instructional duties.
- 236 • Presentations before meetings of scholarly and professional societies, and presentations as
237 an invited authority in the faculty member's field before scholarly and professional
238 audiences.
- 239 • Participation in activities of scholarly or professional societies beyond mere membership,
240 such as elective office, fellowship status, committee membership, receipt of special awards,
241 organization of symposia, and chairing of conference sessions.
- 242 • Receipt of fellowships, grants, contracts or other subsidies and commissions for scholarly
243 activities in the faculty member's field.
- 244 • Holding special appointments such as visiting professorships, lectureships, or consultant
245 assignments in other academic, scholarly, professional, or governmental institutions.
- 246 • Editing or reviewing of scholarly or professional publications.
- 247 • Professional practice that utilizes the faculty member's academic expertise.
- 248 • Service to one's profession, in such cases where the activity is based on one's disciplinary
249 expertise (for example, appointment to a granting agency's review board or service on a
250 professional board).
- 251 • Community based participatory research, community service, and community based
252 activities that involve the academic expertise of the faculty member.
- 253 • In evaluating these contributions as to their relative merits, the quality and effectiveness,
254 and not only the quantity of the contributions in category B shall be the primary
255 consideration.

256 **Category C, Contributions to the University**, is defined as all other service to the University,
257 profession, or community that contributes to the mission and governance of the University
258 such as, but not limited to, those activities listed below.

- 259 • Contributions to academic governance such as membership and participation in the
260 activities of department/division/school, college, university, and system committees, and
261 service in administrative capacities.
- 262 • Participation in any student, faculty, professional, or community organization or
263 engagement in any service to colleges and/or the community or engagement in other
264 activities that bring positive recognition to the faculty member and to the University.
- 265 • Delivery of speeches, conducting of colloquia, or otherwise conveying information about
266 the faculty member's scholarship, profession, field and university to community groups.
- 267 • Organization of and engagement in significant university, college and
268 department/division/school activities that improve the educational environment and/or
269 student, staff, or faculty life, such as organization of retreats, conferences, or orientations.
- 270 • In evaluating these contributions in category C as to their relative merits, the quality and
271 effectiveness, and not only the quantity of the contributions shall be the primary
272 consideration.

273 **V. Additional Evaluation Policies**

274 **A. External Review**

275 A request for an external review of materials in one's personnel file may be made by any of the
276 parties involved in the review. Any request for an external review must be directed to the
277 President or his designee and must indicate (1) the extraordinary circumstances warranting
278 external review, and (2) the materials to be reviewed. For such a review to take place, the
279 faculty member under review must concur with the request for external review. The dean of
280 the college shall select appropriate external reviewer(s), with the approval of the President or
281 designee and the concurrence of the faculty member under review, and transmit to the
282 reviewers the materials to be reviewed. A copy of the relevant parts of this policy shall
283 accompany the materials to be reviewed.

284 Once the external reviewer(s)' report is received, the file is returned to the initial stage of
285 review and the review commences from that level forward with the reviewers' report added to
286 the permanent personnel action file (PPAF).

287 **B. Individualized Professional Plans (IPP)**

288 Each faculty member shall have the discretion to develop, in collaboration with his or her chair
289 or director and the appropriate department/division school personnel committee, an
290 individualized professional plan (IPP). Such plans shall specify the candidate's goals and
291 objectives and may alter the balance or focus of performance among categories A, B, and C for
292 a specified period of time.

293 A faculty member may choose to prepare an IPP when either his or her work assignment or
294 area of specialization warrants a departure from the usual evaluation criteria, or when the
295 faculty member's work is of a nature that it makes it difficult to apply the established

296 evaluation criteria articulated above. Such a plan must indicate the time period during which it
297 will apply to the evaluation of the faculty member's performance. No IPP may be retroactively
298 applied, and in no case shall an IPP exceed three years in duration. However, an IPP may be
299 renewed. An IPP must be approved by the faculty member, the department/division chair or
300 school director, the dean, the Provost and the President. The IPP must indicate (1) the unusual
301 circumstances or work assignment that warrant(s) the creation of the plan, (2) the work plan
302 (and expected outcomes) for the faculty member over the course of the IPP's duration, and (3)
303 where necessary, the criteria by which the faculty member will be evaluated. An individualized
304 professional plan will still require that a faculty member be evaluated in all areas of expected
305 performance. Whenever an IPP is approved, it must be placed in the permanent personnel
306 file. An IPP will be effective upon its approval and will govern only that part of the evaluation
307 period during which it is in place.

308 **C. Evaluation of Faculty Active in Interdisciplinary Programs**

309 When a faculty member with an appointment in a specific department/division/school devotes
310 all or part of his or her efforts to instruction in or participates in the development and
311 administration of an interdisciplinary program, that faculty member may request an assessment
312 of his or her performance in the activities associated with the interdisciplinary program. In that
313 case, prior to the file closure date, the coordinator of the interdisciplinary program shall
314 provide a written assessment of the contributions of the faculty member to that program for
315 the faculty member's permanent personnel action file. This assessment shall be part of the
316 evidence upon which the evaluation is based.

317 **D. Evaluation of Faculty with Joint Appointment**

318 The criteria for evaluating faculty with joint appointments shall be consistent with those used
319 for comparable evaluations of faculty members appointed to a single
320 department/division/school.

321 Faculty with joint appointments in two or more departments/divisions/schools or equivalent
322 units shall be evaluated either by the peer review committee, in each
323 department/division/school or by a joint committee of faculty from each
324 department/division/school. If a joint committee is utilized, this committee will consist of
325 members of all academic units within which the candidate holds a joint appointment. Each
326 academic unit shall elect the committee members representing the unit and each unit shall be
327 represented in as close to equal proportion as possible to proportion of the candidate's time
328 assigned to that unit. If not a member of the peer review committee, the chair or director of
329 each academic unit shall write an independent evaluation. A faculty member appointed in two
330 different colleges will be evaluated by the college-level peer review committee in each college
331 in which he or she is appointed.

332 College dean(s), in consultation with the faculty member holding a joint appointment and the
333 department/division chair(s) or school director(s), shall determine whether the faculty member

334 will be evaluated in each department/division/school or by a joint committee; this
335 determination should be made at least 30 days prior to the file closure date for the faculty
336 member's first evaluation. In subsequent years, changes to the department/division/school-
337 level review process can be effected either at the recommendation of the faculty member with
338 dean's approval or at the discretion of the dean after consultation with the faculty
339 member. Such changes will become effective for any review cycles beginning 30 days after the
340 change is instituted.

341 In every case, the department/division/school and college-level recommendations shall be
342 forwarded to the respective dean(s) of the college(s) in which an appointment is held; each
343 dean shall conduct an evaluation and forward a recommendation to the Provost. For
344 individuals holding a joint appointment, the President shall make a single decision regarding
345 retention, tenure, or promotion.

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100 participating in specified leave programs. Information related to extensions may be found in
101 Articles 13.7 and 13.8 of the Collective Bargaining Agreement.

102 If found to be satisfactory or better during a performance review for retention, probationary
103 faculty members shall be reappointed for subsequent two-year appointment(s) unless they
104 have only one year remaining in their probationary period, in which case they will receive a
105 one-year appointment. If a probationary faculty member is found to be less than satisfactory,
106 he or she *may* receive a one-year appointment. During each year between retention reviews
107 probationary faculty shall undergo periodic evaluations.

108 Probationary faculty members may request a performance review during any year in which
109 they would otherwise receive only a periodic evaluation.

110 Consideration for tenure normally occurs during the sixth year of service as a probationary
111 faculty member minus any credit toward tenure.

112 A faculty member shall not normally be promoted to associate professor and may not be
113 promoted to professor during the probationary period. Assistant professors who are awarded
114 tenure shall be promoted concurrently to associate professor.

115 A faculty member must be employed by Cal State LA and in the current rank for at least two
116 years before applying for tenure or promotion to a higher rank.

117 **Early Tenure and/or Promotion for Probationary Faculty**

118 Consideration for tenure normally occurs during the sixth year of service as a probationary
119 faculty members minus any credit toward tenure. A probationary faculty member applying for
120 early tenure or early promotion shall demonstrate that they have, in a shorter period of time,
121 (A) achieved the level of development in all areas of review that is expected of candidates for
122 tenure; and (B) established a record of accomplishments that exceeds the standards and level
123 of performance expected during the probationary period. Probationary faculty members shall
124 not be promoted beyond the rank of associate professor. Prior to the final decision for early
125 tenure or early promotion, candidates may withdraw without prejudice from consideration at
126 any level of review. If a faculty member has applied for *and been denied* early tenure or early
127 promotion, the faculty member cannot apply again for early tenure or early promotion while in
128 the same rank.

129 **Post-Tenure Performance Reviews and Periodic Evaluations**

130 Once tenured, a faculty member will typically undergo a performance review during the fifth
131 year in rank as an associate professor, for consideration for promotion to the rank of
132 professor. A faculty member who does not wish to apply for promotion within five years of
133 receiving tenure/promotion to associate professor, must undergo a periodic evaluation in the

134 fifth year in rank. All tenured professors (at any rank) shall be evaluated at intervals no greater
 135 than five years. Participants in the Faculty Early Retirement Program (FERP) shall not be
 136 required to undergo evaluation unless an evaluation is requested by either the FERP participant
 137 or the college dean.

138 Tenured faculty members may be evaluated more frequently at the request of the faculty
 139 member or the president.

140 The faculty member's evaluation for promotion to the rank of professor emphasizes the scope
 141 and depth of teaching performance, the degree of professional recognition within and beyond
 142 the University, and the distinctiveness of contributions to the general welfare of the faculty
 143 members department/division/school, college, and University. Such a review must
 144 necessarily include a careful evaluation of each individual achievement, with the aim of
 145 determining its value to the faculty member, the students and the University.

146 **Early Promotion for Tenured Faculty Members**

147 Tenured associate professors may request to be considered for early promotion to the rank of
 148 professor. Tenured associate professors applying for early promotion shall demonstrate that
 149 they have achieved, in a shorter period of time, a record of accomplishments that exceeds the
 150 standards and level of performance that would be expected during the normal period of time in
 151 rank as an associate professor. A faculty member cannot apply for early promotion if they have
 152 applied for and been denied early promotion while in the same rank.

153 **Review Periods**

154 Performance Review Periods:

Review:	Review Period Begins:	Review Period Ends:
Retention review for second year faculty	Date of appointment to probationary position	File closure (fall semester of second year)
Retention (probationary performance review years other than second)	File closure of previous performance review	Current file closure (fall semester of performance review years)
Tenure and Promotion	Date of appointment to probationary position	Current file closure (fall semester of tenure ELIGIBILITY <u>elegibilty</u> year)
Promotion to Professor	File closure of tenure and promotion performance review	Current file closure (fall semester of promotion eligibility year)

155 Periodic Evaluation Periods:

Evaluation:	Evaluation Period Begins:	Evaluation Period Ends:
First year evaluation	Date of appointment to probationary position	File closure (spring semester of first year)
Annual evaluation (probationary years not requiring retention review)	File closure of previous performance review	Current file closure (spring semester of current year)
Post-tenure review	File closure of last review	Current file closure (spring semester of current year)

156 **IV. Criteria Governing Evaluations of Permanent Faculty**

157 Reviews for retention, tenure, and promotion to associate professor are cumulative in the
158 sense that the progress or growth of the faculty member since joining the faculty is a factor in
159 evaluation. Generally, the evaluation of a probationary faculty member will take into account
160 all and only the activities and achievements since the initial probationary
161 appointment. Reviews are comparative in the sense that the faculty member is evaluated
162 against the quality and effectiveness of performance of colleagues taking into account the
163 broad range of activities in which different members of the faculty engage. Performance
164 reviews for promotion to the rank of professor are similarly cumulative and comparative - i.e.,
165 the progress or growth of faculty members while in their present rank is assessed against the
166 quality and effectiveness of colleagues' performance, taking into account the broad range of
167 activities in which different members of the faculty engage. Except when applying for early
168 promotion to the rank of professor, for a faculty member to receive promotion to the rank of
169 professor, they shall demonstrate a level of achievement that is commensurate with that of
170 other candidates recommended for promotion to the rank of professor, regardless of the
171 number of years since earning tenure at Cal State LA.

172 Permanent faculty members are evaluated on the basis of their performance in the following
173 categories:

- 174 A. Educational Performance
- 175 B. Professional Achievement
- 176 C. Contributions to the University.

177 Of the three categories, category A normally shall have the greatest weight. In the case of a
178 faculty member who is appointed or elected to a non-teaching position, special consideration
179 shall be given to performance in that assignment. In such cases, a faculty member should
180 consider preparing an individualized professional plan; the individualized professional plan is
181 described in section V. B.

182 Although the criteria governing performance reviews are the same for retention, tenure, and
183 promotion cases, reviewers should recognize qualitative differences between these types of

184 reviews. This difference, however, is one of degree, not kind, and it may be summed up under
185 the concept of growth or progress. At the time of the performance review of the faculty
186 member for retention during the probationary period, judgment is based on demonstrated
187 growth, performance and promise in categories A, B, and C.

188 At the time of candidacy for tenure and/or promotion, however, a faculty member is expected
189 to have demonstrated substantive achievements in each of the three areas; promise of future
190 growth will not be sufficient to warrant a positive recommendation for tenure or
191 promotion. Special consideration will be given to the continuity and growth of the activities
192 comprising this total performance.

193 **Category A, Educational Performance**, consists of two elements:

- 194 1. teaching performance, and
- 195 2. related educational activities.

196 1. Teaching performance includes those activities by the faculty member that directly
197 contribute to student learning. Effective teaching can include many pedagogical approaches,
198 such as lectures, individual and group exercises, inquiry-based learning, discussion sessions, and
199 other techniques. It can also include a wide range of activities such as supervising theses or
200 projects; supervising student learning experiences in academic and community based settings;
201 collaborating with students on research, performance, artistic, and other projects; mentoring
202 students; and tutoring students.

203 The evaluation of teaching performance is an assessment of the quality and effectiveness of the
204 efforts of faculty members that contribute to student learning. This evaluation must include
205 multiple measures:

- 206 a. A summary of the quantitative responses to the "Student Opinion Survey on Instruction."
- 207 b. Evaluation of teaching performance based upon a peer observation of instruction.
- 208 c. At least one other source of information, such as course syllabi, instructional
209 materials, assessment methods, assignments (including field assignments), evidence of
210 student work and accomplishments, and signed letters from students.

211 2. Related educational activities include, but are not limited to: academic advisement,
212 curriculum/program development, programmatic assessment of learning outcomes,
213 membership on thesis committees, the development and evaluation of comprehensive exams,
214 and other academic support activities that enhance student retention and student
215 achievement.

216 The evaluation of related educational activities is based upon such items as surveys of student
217 opinions of advisement, student mentoring, tutoring, field activities, etc.; written reports from
218 the department/division chair or school director, students, faculty, and/or other individuals
219 with first hand knowledge of the faculty member's activities; and other such documentation

220 provided by the faculty member regarding participation in program assessment, curriculum
221 development, and other related educational activities.

222 **Category B, Professional Achievement**, is defined as performance of discipline-related activities
223 that include, but are not limited to the following broad areas identified in no particular order:

- 224 • Academic and scholarly contributions to the faculty member's profession and field, that are
225 externally evaluated and published or formally accepted for publication such as research,
226 critical essays and analyses, and theoretical speculations.
- 227 • Innovative use of technology, textbooks, and original teaching or testing materials which
228 are adopted for professional and/or instructional use outside the faculty member's
229 department/division/school.
- 230 • Inventions, designs and innovations that have been favorably evaluated by authorities
231 outside the University.
- 232 • Creation, exhibition, performance or publication in the arts or literature. Producing and
233 directing events in the performing arts, including visual arts, music, dance, and theatre,
234 beyond normal instructional duties.
- 235 • Presentations before meetings of scholarly and professional societies, and presentations as
236 an invited authority in the faculty member's field before scholarly and professional
237 audiences.
- 238 • Participation in activities of scholarly or professional societies beyond mere membership,
239 such as elective office, fellowship status, committee membership, receipt of special awards,
240 organization of symposia, and chairing of conference sessions.
- 241 • Receipt of fellowships, grants, contracts or other subsidies and commissions for scholarly
242 activities in the faculty member's field.
- 243 • Holding special appointments such as visiting professorships, lectureships, or consultant
244 assignments in other academic, scholarly, professional, or governmental institutions.
- 245 • Editing or reviewing of scholarly or professional publications.
- 246 • Professional practice that utilizes the faculty member's academic expertise.
- 247 • Service to one's profession, in such cases where the activity is based on one's disciplinary
248 expertise (for example, appointment to a granting agency's review board or service on a
249 professional board).
- 250 • Community based participatory research, community service, and community based
251 activities that involve the academic expertise of the faculty member.
- 252 • In evaluating these contributions as to their relative merits, the quality and effectiveness,
253 and not only the quantity of the contributions in category B shall be the primary
254 consideration.

255 **Category C, Contributions to the University**, is defined as all other service to the University,
256 profession, or community that contributes to the mission and governance of the University
257 such as, but not limited to, those activities listed below.

- 258 • Contributions to academic governance such as membership and participation in the
259 activities of department/division/school, college, university, and system committees, and
260 service in administrative capacities.
- 261 • Participation in any student, faculty, professional, or community organization or
262 engagement in any service to colleges and/or the community or engagement in other
263 activities that bring positive recognition to the faculty member and to the University.
- 264 • Delivery of speeches, conducting of colloquia, or otherwise conveying information about
265 the faculty member's scholarship, profession, field and university to community groups.
- 266 • Organization of and engagement in significant university, college and
267 department/division/school activities that improve the educational environment and/or
268 student, staff, or faculty life, such as organization of retreats, conferences, or orientations.
- 269 • In evaluating these contributions in category C as to their relative merits, the quality and
270 effectiveness, and not only the quantity of the contributions shall be the primary
271 consideration.

272 **V. Additional Evaluation Policies**

273 **A. External Review**

274 A request for an external review of materials in one's personnel file may be made by any of the
275 parties involved in the review. Any request for an external review must be directed to the
276 President or his designee and must indicate (1) the extraordinary circumstances warranting
277 external review, and (2) the materials to be reviewed. For such a review to take place, the
278 faculty member under review must concur with the request for external review. The dean of
279 the college shall select appropriate external reviewer(s), with the approval of the President or
280 designee and the concurrence of the faculty member under review, and transmit to the
281 reviewers the materials to be reviewed. A copy of the relevant parts of this policy shall
282 accompany the materials to be reviewed.

283 Once the external reviewer(s)' report is received, the file is returned to the initial stage of
284 review and the review commences from that level forward with the reviewers' report added to
285 the permanent personnel action file (PPAF).

286 **B. Individualized Professional Plans (IPP)**

287 Each faculty member shall have the discretion to develop, in collaboration with his or her chair
288 or director and the appropriate department/division school personnel committee, an
289 individualized professional plan (IPP). Such plans shall specify the candidate's goals and
290 objectives and may alter the balance or focus of performance among categories A, B, and C for
291 a specified period of time.

292 A faculty member may choose to prepare an IPP when either his or her work assignment or
293 area of specialization warrants a departure from the usual evaluation criteria, or when the
294 faculty member's work is of a nature that it makes it difficult to apply the established

295 evaluation criteria articulated above. Such a plan must indicate the time period during which it
296 will apply to the evaluation of the faculty member's performance. No IPP may be retroactively
297 applied, and in no case shall an IPP exceed three years in duration. However, an IPP may be
298 renewed. An IPP must be approved by the faculty member, the department/division chair or
299 school director, the dean, the Provost and the President. The IPP must indicate (1) the unusual
300 circumstances or work assignment that warrant(s) the creation of the plan, (2) the work plan
301 (and expected outcomes) for the faculty member over the course of the IPP's duration, and (3)
302 where necessary, the criteria by which the faculty member will be evaluated. An individualized
303 professional plan will still require that a faculty member be evaluated in all areas of expected
304 performance. Whenever an IPP is approved, it must be placed in the permanent personnel
305 file. An IPP will be effective upon its approval and will govern only that part of the evaluation
306 period during which it is in place.

307 **C. Evaluation of Faculty Active in Interdisciplinary Programs**

308 When a faculty member with an appointment in a specific department/division/school devotes
309 all or part of his or her efforts to instruction in or participates in the development and
310 administration of an interdisciplinary program, that faculty member may request an assessment
311 of his or her performance in the activities associated with the interdisciplinary program. In that
312 case, prior to the file closure date, the coordinator of the interdisciplinary program shall
313 provide a written assessment of the contributions of the faculty member to that program for
314 the faculty member's permanent personnel action file. This assessment shall be part of the
315 evidence upon which the evaluation is based.

316 **D. Evaluation of Faculty with Joint Appointment**

317 The criteria for evaluating faculty with joint appointments shall be consistent with those used
318 for comparable evaluations of faculty members appointed to a single
319 department/division/school.

320 Faculty with joint appointments in two or more departments/divisions/schools or equivalent
321 units shall be evaluated either by the peer review committee, in each
322 department/division/school or by a joint committee of faculty from each
323 department/division/school. If a joint committee is utilized, this committee will consist of
324 members of all academic units within which the candidate holds a joint appointment. Each
325 academic unit shall elect the committee members representing the unit and each unit shall be
326 represented in as close to equal proportion as possible to proportion of the candidate's time
327 assigned to that unit. If not a member of the peer review committee, the chair or director of
328 each academic unit shall write an independent evaluation. A faculty member appointed in two
329 different colleges will be evaluated by the college-level peer review committee in each college
330 in which he or she is appointed.

331 College dean(s), in consultation with the faculty member holding a joint appointment and the
332 department/division chair(s) or school director(s), shall determine whether the faculty member

333 will be evaluated in each department/division/school or by a joint committee; this
334 determination should be made at least 30 days prior to the file closure date for the faculty
335 member's first evaluation. In subsequent years, changes to the department/division/school-
336 level review process can be effected either at the recommendation of the faculty member with
337 dean's approval or at the discretion of the dean after consultation with the faculty
338 member. Such changes will become effective for any review cycles beginning 30 days after the
339 change is instituted.

340 In every case, the department/division/school and college-level recommendations shall be
341 forwarded to the respective dean(s) of the college(s) in which an appointment is held; each
342 dean shall conduct an evaluation and forward a recommendation to the Provost. For
343 individuals holding a joint appointment, the President shall make a single decision regarding
344 retention, tenure, or promotion.