

CALIFORNIA POLYTECHNIC STATE UNIVERSITY, SAN LUIS OBISPO  
ACADEMIC SENATE

EXECUTIVE COMMITTEE - AGENDA

April 22, 1980

AG 241

3:00 PM

Chair, Max Riedlsperger  
Vice Chair, Stu Goldenberg  
Secretary, Allan Cooper

- I. Minutes
- II. Announcements
- III. Business Items
  - A. Resolution Regarding Personnel Evaluation of Tenured Faculty (Goldenberg)  
(Attachment)
- IV. Discussion Items
  - A. Report of Budget Committee on Proposition 9 (Conway)
  - B. Senate Sponsorship of an All-Faculty Forum on Proposition 9 (Riedlsperger)
  - C. Report of Ad Hoc Committee on Lectureships (Zalewski)

ACADEMIC SENATE  
of  
CALIFORNIA POLYTECHNIC STATE UNIVERSITY, SAN LUIS OBISPO

RESOLUTION REGARDING PERSONNEL EVALUATION OF TENURED FACULTY

Background:

The Legislature has requested that the CSUC system consider the advisability and actuality of implementing a process for regular evaluations of all tenured faculty.

The Statewide Academic Senate pass a resolution (AS-1119-79/FA) last November stating that evaluations should be used for faculty development. The Statewide Academic Senate provided another resolution (AS-1130-80/FA) objecting to the Faculty and Staff Affairs proposal, which was drafted without faculty input.

At the local level, the Personnel Policies Committee studied review and evaluation processes for tenured faculty. Their conclusions result in the following resolution:

- WHEREAS, Cal Poly is currently doing an excellent job in post tenure evaluations. This position is justified by consulting CAM sections 341.1.B., 341.1.C., AB 74-1, and Form 109. Additional sections which provide for suspension, dismissal, etc., are included in CAM section 345.5. (All sections are attached.); and
- WHEREAS, There is evidence that merit increases are not automatic, nor are promotions; therefore be it
- RESOLVED: That it is the opinoin of the Academic Senate, Cal Poly State University, San Luis Obispo, that Cal Poly, San Luis Obispo is currently exceeding proposed requirements being set forth by the Legislature.

## B. Performance Evaluations

Performance evaluations of all academic employees are made annually for promotions, for tenure, for reappointments, and for any other recommended personnel action. Performance evaluations for tenured academic employees who are not eligible for promotions and for full- and part-time lecturers are made annually by May 1. (See Faculty Evaluation Form, Appendix I.)

It is the responsibility of the department head to render all possible advice and assistance to members of the department in carrying out their teaching assignments, and particularly to new members of the department. This would include personal observation of the classes assigned new faculty members. The purpose of such observation is to assist the teacher through constructive criticism, to provide a more systematic basis for the evaluation process, and to assure that the fundamental objective of quality instructional programs is being met. Regular periodic conferences should be held at least once during the reappointment cycle and at other times as deemed necessary by the tenured reviewing faculty and academic administrators with each probationary faculty member to provide the latter with full perspective concerning strengths and weaknesses, possible means of improvement, and the current prospect for reappointment or tenure.

## C. Evaluation Criteria

Each school or other organizational unit shall develop, consistent with general university policy, its own written statement of procedures and criteria for each type of personnel action. Departments desiring to develop statements to serve as addenda to the schoolwide statement may do so. Members of the school and/or department, whether tenured or not, shall equally participate in the development and/or subsequent amendment of these procedures and criteria. School and departmental statements are subject to review and approval by the school dean and the Vice President for Academic Affairs. The President will approve criteria for personnel actions for the Division of Student Affairs.

Evaluative criteria shall emphasize teaching performance, but also should include scholarly and creative achievements, contributions to the community, contributions to the institution, and possession of appropriate academic preparation. Although teaching effectiveness is the primary and essential criterion, it alone is not sufficient for appointment, retention, tenure, and promotion. The intensity of the evaluation process will vary in accordance with the academic position of the faculty member. Thus, granting of tenure requires stronger evidence of worthiness than reappointment; promotion to Professor requires a more rigorous application of criteria than promotion to Associate Professor, etc.

However, evaluation of faculty involves a "comprehensive assessment" with appointment and retention seen as leading to tenure. It should be understood that if a faculty member is not likely to pass the test for obtaining tenure, then the individual should not be reappointed; if the faculty member does not have the potential for promotion to Associate Professor or beyond, tenure should not be accorded.

Each faculty member subject to evaluation is encouraged to provide a narrative description (which need not be in the form of a self-evaluation) of professional activities to those involved in the evaluation process. The basic evaluation of a faculty member's teaching ability and professional competence will be made by colleagues in that field and the department head. The faculty member will be evaluated in accordance with the established criteria for professional performance and comparatively against the performance of colleagues.

In those schools and/or departments where the evaluation procedure calls for a vote by faculty members conducting the evaluation and making a recommendation, the statement of procedures and criteria shall identify how abstention votes are to be treated.

Faculty members should be advised prior to initial appointment about the importance of teaching effectiveness and the emphasis on particular criteria which will prevail in later decisions on reappointment, tenure, and promotion. For example, if the doctorate is required for tenure, the faculty member should be so advised.

## GUIDELINES FOR STUDENT EVALUATION OF FACULTY

The subject of student evaluation of faculty has been discussed and seriously considered on this campus since 1967. Following is a history of its development to date:

A student-conducted program entitled ASSIST (Associated Students Survey of Instructional Teaching) was begun on a limited basis by students in early 1967 and two publications which included the student ratings of faculty teaching performance of voluntary participants were distributed in 1969 and 1970.

A joint Student-Faculty Committee on Faculty Evaluation began meeting in Fall, 1967, to cooperatively develop a program that would provide students the opportunity to be consulted in a systematic way on faculty performance.

Some schools developed an ongoing program for student evaluation of faculty in their schools prior to July, 1972.

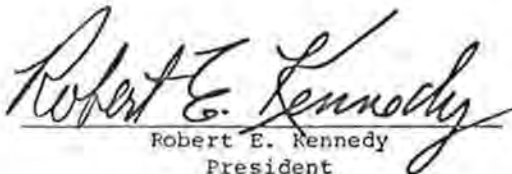
In July, 1972, an ad hoc Student Evaluation of Faculty Committee was appointed. Its membership consisted of three students designated by the ASI President; three faculty members designated by the Academic Senate Chairman; three administrators designated by the President--the director of personnel relations, one school dean, and one instructional department head; and a nonvoting coordinator and chairman. The assignment to this committee was to review the Spring 1972 pilot evaluation programs and to develop campuswide guidelines which would set some general standards and procedures within which each instructional school would operate its own student evaluation of faculty program.

The ad hoc committee recommended a set of guidelines to the President on September 6, 1972; the ASI President concurred with the committee recommendation on September 12, 1972; the Academic Council endorsed the guidelines on October 2, 1972; the Academic Senate accepted them on October 10, 1972, and recommended implementation on a one-year trial basis; the President approved the guidelines on October 24, 1972, with the provision that the guidelines would be reviewed at the conclusion of the first year's cycle.

The ad hoc committee completed its review of the 1972-73 year period of use of the originally approved and promulgated guidelines and after consideration of all proposed minor revisions recommended the attached Guidelines for Student Evaluation of Faculty to the President on November 30, 1973.

The attached Guidelines for Student Evaluation of Faculty are hereby promulgated to become a regular part of the University's personnel procedures.

APPROVED:

  
Robert E. Kennedy  
President

DATE: January 18, 1974

Note: This Administrative Bulletin should be filed in the Appendix of the Campus Administrative Manual and appropriate entries made in the CAM Index: "Evaluations--student, of faculty ....AB 74-1"; "Faculty--student evaluation of....AB 74-1"; "Student--evaluation of faculty....AB 74-1"; and the title added to the Administrative Bulletins title page.



GUIDELINES FOR STUDENT EVALUATION OF FACULTY

- I. The primary purpose of student evaluation of faculty is to assist in improving the quality and effectiveness of the instructional program of California Polytechnic State University, San Luis Obispo.
- II. Evaluation instruments should be developed with emphasis on those factors which students are especially capable of evaluating (e.g. course organization, quality of presentation, grading procedures, examinations, etc.).
- III. All classes (except for individual supervision courses) of every instructor shall participate in the student evaluation of faculty program at least annually.
- IV. Only students officially enrolled in an instructor's class will be permitted to participate in the evaluation. No signature or other methods by which individual students could be identified are to be requested on the evaluation form.
- V. The results of the annual evaluation will be used for both improvement of instruction and in partial substantiation of recommendations on faculty personnel actions regarding promotion, retention and tenure. There will be only one official evaluation required annually.
- VI. Subsequent to the issuance of the grades for the quarter for which the faculty member has been evaluated, the results of the program of student evaluation of faculty shall be made available to the individual faculty member, his tenured colleagues and department head for their deliberations and recommendations regarding personnel actions, and for the individual's aid in improving his performance.
- VII. To allow for obvious lack of similarity of various instructional programs, each of the seven schools shall be entitled to its own evaluation form. Additionally, it might be necessary for a department to develop its own evaluation instrument if its best interests will be served in that manner. The specific form, questions and methods of reporting results for the several types of instruction offered in any individual school or department shall be endorsed by the faculty, department head and dean of that department or school. Student school councils are charged with the responsibility of obtaining representative student opinion which shall be considered in the development of the questionnaire.
- VIII. Each department is responsible for furnishing its faculty with copies of these guidelines as well as with the necessary instructions to insure that proper procedures be followed in the administration of the evaluation. During any one quarter, faculty will provide not more than twenty-five minutes of any one class for the time necessary to complete the evaluation process. During the evaluation process, the instructor shall be absent from the classroom with the evaluation being administered in the classroom by students.

CALIFORNIA POLYTECHNIC STATE UNIVERSITY  
SAN LUIS OBISPO

FACULTY EVALUATION FORM

NAME \_\_\_\_\_ DEPARTMENT \_\_\_\_\_

POSITION/RANK \_\_\_\_\_ SCHOOL \_\_\_\_\_

DATE \_\_\_\_\_

Check Appropriate Blank:

\_\_\_\_ 1, \_\_\_\_ 2, \_\_\_\_ 3, \_\_\_\_ 4, \_\_\_\_ 5, \_\_\_\_ 6 probationary year evaluation.

\_\_\_\_ Tenure Evaluation

\_\_\_\_ Merit Salary Evaluation

\_\_\_\_ Promotion Evaluation

\_\_\_\_ Other

\_\_\_\_ Annual Performance Evaluation

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FACTORS OF CONSIDERATION

Justification for Recommendations (CAM 341.1, D)

Evaluative statements should be accompanied by supporting evidence. If the evidence does not appear to support the recommendations made, the file will be returned to the reviewing levels for amplification.

Inasmuch as this is the periodic evaluation, the evaluator should review effectiveness of the faculty member primarily during this evaluation period. The evaluation should reflect both (1) evidence of merit and (2) suggested areas for improvement. Reference any resources used for evaluation; such as student input, faculty colleagues, class visitation, conferences, and materials from faculty members. If more space is needed, use an additional page.

- \*I. Teaching Performance and/or Other Professional Performance: Consider such factors as the faculty member's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of course, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student consultations, and other factors relating to performance as a teacher. (Include results of Student Evaluation Program.)

Evidence of Merit:

(Over)

\*Nonteaching academic personnel are to be evaluated on their professional performance.

Form 109  
Rev. 12/76

Areas and Suggestions for Improvement:

- II. Professional Growth and Achievement: Consider such factors as the faculty member's original preparation and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies and publications, and professional registration, certification and licensing.

Evidence of Merit:

Areas and Suggestions for Improvement:

- III. Service to University and Community: Consider such factors as the faculty member's participation in academic advisement, placement follow-up, cocurricular activities, department, school and university committee and individual assignments, systemwide assignments, and service in community affairs directly related to the faculty member's teaching service area, as distinguished from those contributions to more generalized community activities.

Evidence of Merit:

Areas and Suggestions for Improvement:

- IV. Other Factors of Consideration: Consider such factors as the faculty member's ability to relate with colleagues, initiative, cooperativeness, dependability and health.

Evidence of Merit:

Areas and Suggestions for Improvement:



V. Summary: On the basis of the foregoing evaluation, I believe that \_\_\_\_\_:

1. ...has reached a high level of professional development and is making an outstanding contribution to the university which is readily recognizable.
2. ...fully meets the requirements of the present assignment and is making a valuable contribution to the university.
3. ...meets the requirements of the present assignment adequately and by following the preceeding suggestions for improvement may make a greater contribution to the university.
4. ...does not meet satisfactorily the requirements of the present assignment.

I RECOMMEND:

\_\_\_\_\_ Tenure

\_\_\_\_\_ Nontenure

\_\_\_\_\_ Promotion

\_\_\_\_\_ Nonpromotion

\_\_\_\_\_ Reappointment to a \_\_\_\_\_  
probationary year.

\_\_\_\_\_ Nonreappointment (*See* CAM 343.1 F. & I.  
for terminal notice year provisions)

\_\_\_\_\_ Merit Salary Increase

\_\_\_\_\_ No Merit Salary Increase

for the following reasons:

\_\_\_\_\_  
Department Head/Director's Signature

\_\_\_\_\_  
Date

I have read the above evaluation:

\_\_\_\_\_  
Signature of person being evaluated

\_\_\_\_\_  
Date

COMMENTS OF PERSON BEING EVALUATED:

NOTE:

The school dean or division head's evaluation statement will subsequently be attached to this form. If the person being evaluated is eligible for consideration for reappointment, tenure or promotion, the entire packet will be forwarded to the Vice President for Academic Affairs. The complete evaluation statement and attachments will be filed in the individual's personnel folder in the school/division office following action on the recommendations.

\_\_\_\_\_  
(Person Being Evaluated)

On the basis of the foregoing evaluation and the additional comments below, I recommend:

\_\_\_\_\_ Tenure

\_\_\_\_\_ Non-Tenure

\_\_\_\_\_ Promotion

\_\_\_\_\_ Non-Promotion

\_\_\_\_\_ Reappointment to a \_\_\_\_\_  
probationary year.

\_\_\_\_\_ Non-Reappointment (See CAM 343.1 I  
for terminal year provisions)

\_\_\_\_\_ Merit Salary Increase

\_\_\_\_\_ No Merit Salary Increase

COMMENTS OF SCHOOL DEAN:

\_\_\_\_\_  
School Dean's Signature

\_\_\_\_\_  
Date

345.4 (See CAM 388 for "Maternity Leave Policy and Benefits.")

345.5 Suspension, Dismissal, or Demotion for Cause

A. Education Code, Sections 89535-89536 provide that permanent or probationary university personnel may be suspended without pay, dismissed, or demoted at any time for the following causes:

1. Immoral conduct
2. Unprofessional conduct
3. Dishonesty
4. Incompetency
5. Physical or mental unfitness for position occupied
6. Failure or refusal to perform the normal and reasonable duties of the position
7. Conviction of a felony or conviction of any misdemeanor involving moral turpitude
8. Fraud in securing appointment
9. Drunkenness on duty
10. Addiction to the use of narcotics or habit-forming drugs

B. "Unprofessional conduct" as used above includes, but is not limited to:

1. Membership in, or active support of, a "communist front," a "communistic action" organization, or a communistic organization, as those terms are now defined in the Act of the Congress of the United States designated as "Internal Security Act of 1950."
2. Persistent active participation in public meetings conducted or sponsored by an organization indicated in "1" of this section.
3. Willful advocacy of the overthrow of the Government of the United States or of the State, by force, violence, or other unlawful means, either on or off the campus.
4. Willful advocacy of communism, either on or off the campus, for the purpose of undermining the patriotism of pupils, or with the intent to indoctrinate any pupil with communism or inculcate a preference for communism in the mind of any pupil.

C. Section 43526 of Title 5, California Administrative Code, provides that:  
 "...any employee of the California State University and Colleges who, following appropriate procedures at the campus, is found to have disrupted or to have attempted to disrupt, by force or violence, any part of the instructional program of a campus, or any meeting, recruiting interview or other activity authorized to be held or conducted at the campus may, in the discretion of the President, be disciplined pursuant to Section 89535 of the Education Code."

D. Temporary Suspension

"When there is strong and compelling evidence that the presence of an employee on his or her job might create serious problems, if such evidence were subsequently proven to be correct, a president or the Chancellor may temporarily suspend an employee pending investigation and/or the furnishing of formal notice of disciplinary action. Unless earlier terminated by the president or the Chancellor, as the case may be, such temporary suspension shall automatically terminate upon the furnishing of formal notice of disciplinary action, or unless extended as provided by this section 30 days after its commencement, whichever first occurs." (From Title 5, California Administrative Code, Section 43522.)

E. Disciplinary Actions

1. Suspension, dismissal, or demotion of academic employees shall be recommended by the President to the Chancellor. Recommendations of dismissal of tenured academic employees are subject to review by a committee of Trustees. (Procedures for disciplinary action for academic employees are contained in Administrative Bulletin 76-7 in the Appendix.)
2. Suspension, dismissal, or demotion of staff and administrative employees and other disciplinary actions affecting them shall be recommended by the President to the Chancellor.

F. Form of Notice of Suspension, Dismissal, or Demotion

The notice shall be in writing, signed by the appropriate individual, and be served on the employee, setting forth a statement of causes, the events or transactions upon which the case is based, the nature of the penalty and the effective date, and a statement of the employee's right to answer within 20 days and request a hearing before the State Personnel Board.