

Effective Date: 7 / 19 /2019

Definition: A policy governing the evaluation of lecturer faculty at CSUSM.

Authority: The collective bargaining agreement between The California State University and the California Faculty Association.

Scope: Lecturer Unit 3 faculty at CSUSM.



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7/19/19
Approval Date



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7/16/19
Approval Date

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I. PURPOSE

This document establishes a university-wide procedure for CSUSM for the periodic evaluation of Lecturer Faculty, including librarians and counselors (SSP-ARs), taking into account the need to:

- A. Comply with Board of Trustees policies, Title 5 of the California Administrative Code, the California Education Code; the Unit 3 Collective Bargaining Agreement (CBA), and other applicable State and Federal laws pertaining to the employment of Lecturer Faculty.
- B. Be consistent with the terms outlined in the appointment letters issued to Lecturer Faculty.
- C. Provide Lecturer Faculty with feedback to improve teaching and student learning.
- D. Provide evaluators with materials for the periodic evaluation of Lecturer Faculty.
- E. Provide appropriate administrators with documentation to base reappointment and other personnel actions relating to Lecturer Faculty.

II. DEFINITIONS

- A. A *Lecturer Faculty* member (or *Lecturer*) is a full-time or part-time Unit 3 employee appointed for one or more semesters off the tenure track. *Full-time* refers to an appointment totaling fifteen units in a semester, within one department, program or equivalent. *Part-time* refers to an appointment totaling fewer than fifteen units in a semester.
- B. A *semester or equivalent* means an academic semester or a four-month appointment period.
- C. The *evaluation cycle* is the period of service being evaluated as specified in this procedure; e.g. one semester, one academic year, three years, or six years. The evaluation cycle includes summer and winter intersession terms and/or special session terms, if the Lecturer was appointed to non-overload, entitlement-bearing activities in these sessions.
- D. The *appropriate administrator* for each college and the library is the Dean or Associate Dean. The *appropriate administrator* for counselors is Director of Student Health and Counseling or the Associate Vice President of Student Development Services.

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E. Composition of the Peer Review Committee (PRC)

The Department or appropriate academic unit is responsible for determining the size and election conditions of the PRC. The Department Chair shall ensure that there is an election of a PRC. Where no Department Chair exists, the department or appropriate faculty governance unit will ensure that there is an election of a PRC.

The PRC shall be composed of at least three full-time tenured faculty nominated and elected by the tenure-track and Lecturer Faculty in the department (or equivalent), with the chair elected by the committee. If there are not enough eligible faculty members in a department or program, the department or program shall elect Peer Review Committee members from eligible university faculty in related academic disciplines.

Each College or equivalent unit shall adopt procedures for electing a Peer Review Committee from the eligible faculty. These procedures must follow the CBA Article 15 provisions for Periodic Evaluation of Temporary Faculty Unit Employees.

F. The Working *Personnel Action File* (WPAF) shall be defined as that file specifically generated for use in a given evaluation cycle. That file shall include all required forms and documents, all information specifically provided by the Lecturer being evaluated, and information provided by faculty, students and academic administrators. It shall also include all faculty and administrative level evaluation recommendations from the current evaluation cycle, and all rebuttal statements and responses submitted (CBA 15.8). The WPAF may be submitted in electronic format. Guidelines for electronic submission may be obtained from the college / division.

The materials in the WPAF shall be incorporated by reference into the PAF. At the beginning of the evaluation cycle, the Lecturer being evaluated shall prepare an index of these materials and submit it with the WPAF. Lecturer faculty shall appropriately update the index to reflect any material added to the WPAF during the course of the evaluation. This index and the CV shall be permanently placed in the PAF by the Dean's office (or appropriate administrator). At the end of the evaluation cycle, the WPAF shall be returned to the Lecturer (CBA 15.9).

G. The *Personal Action File* (PAF) shall be defined as "the one (1) official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee." Only the official PAF shall be used as the basis of personnel actions (CBA 11.1).

H. Colleges/divisions and/or departments/programs may also provide additional evaluation criteria, which may be termed *Standards*. Such *Standards* must be approved in accordance with campus policy, such as the policy on *Temporary Faculty Unit 3 Employees-Department Level Standards and Additional Material for Evaluations*.

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- I. Throughout this document, the word “*shall*” indicates mandatory action; the word “*may*” indicates voluntary action.

III. GENERAL PROCEDURE

- A. No later than 14 days after the first day of instruction of the academic term, the Office of Faculty Affairs shall provide each Lecturer a copy of the *Procedure for Periodic Evaluation of Lecturer Faculty*. During that time frame, the college/division and/or department/program shall provide its specific evaluation standards and/or criteria (if any). Evaluation criteria and procedures shall be made available to the peer review committees and the academic administrators prior to the commencement of the evaluation process. Once the evaluation process has begun, there shall be no changes in evaluation criteria and procedures (CBA 15.3).
- B. Each academic year, the Office of Faculty Affairs shall publish *Timetables for the Periodic Evaluation of Lecturer Faculty*. The timelines shall include deadlines for submission of the WPAF as well as for each stage of the evaluation. All Lecturer evaluations must be completed in accordance with the established deadlines. Each spring, the Dean’s Office or appropriate administrator shall give to department chairs and their equivalents a list of Lecturers appointed in their program areas, including the terms of their appointments and entitlements (if any).
- C. Prior to the beginning of the evaluation process, the Lecturer shall be responsible for the identification of materials they wish to be considered and for the submission of such materials. (CBA 15.12a)
- D. Review for Completeness: evaluating committees and administrators shall be responsible for identifying materials relating to the evaluation *not* provided by Lecturers (CBA 15.12 a.). For Lecturer appointments specified in Sections IV.A and IV.C, below, department chairs shall review the file for completeness and contribute such information to the appropriate administrator.
- E. Once a WPAF is declared complete, additional material may only be inserted with the approval of the peer review committee, as applicable, and the appropriate administrator and shall be limited to items that became accessible after this declaration. Material inserted in this fashion shall be returned to the initial level peer review committee, as applicable, for review, evaluation and comment before consideration at subsequent levels of review (if any). If, during the evaluation process, the absence of required evaluation documents is discovered, the WPAF shall be returned to the level at which the requisite documentation should have been provided. Such materials shall be provided in a timely manner (CBA 15.12 b).

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- F. The WPAF shall be forwarded in a timely manner to the next level of review, as applicable (CBA 15.4). At all levels of review, before recommendations are forwarded to the next level, the Lecturer shall be given a copy of the recommendation and the written reasons thereof. The Lecturer may submit a written rebuttal or response within ten (10) days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to the previous level of review, as applicable (CBA 15.5).
- G. Faculty, students, academic administrators and the President may contribute information to the evaluation of Lecturer Faculty. Information submitted by the Lecturer and by academic administrators may include statements and opinions about the qualifications and work of the Lecturer provided by other persons identified by name. (CBA 15.2)
- H. Only tenured faculty and academic administrators may engage in deliberations and make recommendations on the evaluation of Lecturers (CBA 15.2). Only tenured faculty can serve on peer review committees (PRC).
- I. Probationary and Lecturer Faculty may provide peer input, if so requested by the Lecturer being evaluated, but they may not engage in deliberations or make recommendations.
- J. Written or electronic Student Evaluations of Instruction shall be required for all Lecturers who teach, in accordance with the CBA. The results of these evaluations shall be placed in the Lecturer's PAF or may be stored in electronic format and incorporated by extension into the PAF. Individuals involved in evaluations and personnel recommendations and decisions shall be provided secure access for these purposes (15.15).
- K. Lecturers with appointments in more than one department, program or equivalent shall be evaluated separately by each department, program or equivalent based on their appointment in that department, program or equivalent.
- L. A request for an external review of materials submitted by a Lecturer may be initiated at any level of review and by any party to the review. Such a request shall specify the special circumstances that necessitate an outside reviewer and the nature of the materials needing external review. The request must be approved by the President or President's designee with the concurrence of the Lecturer (CBA 15.12 d).
- M. When classroom visits are utilized as part of the evaluation, the Lecturer shall be provided at least five (5) days' notice that a peer visit is to take place. There shall be consultation between the Lecturer and the individual who visits their classes (CBA 15.14).

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- N. The Lecturer shall be provided an electronic copy of the evaluation, which must be signed and returned by the Lecturer (electronically or in hard copy). The signed evaluation shall be placed in the Lecturer's PAF (CBA 15.27). If the signed evaluation is not returned in 10 days, an unsigned copy shall be placed in the Lecturer's PAF.
- O. All reappointment decisions and other personnel actions shall be based only upon evidence in the Lecturer's PAF (CBA 11.1).

IV. EVALUATION REQUIREMENTS BY TYPE OF APPOINTMENT

- A. **Lecturer Hired for One Semester or Less:** A Lecturer hired for one semester or less shall be evaluated at the discretion of the department chair, the appropriate administrator, or the department or equivalent. The Lecturer may request that an evaluation be performed (CBA 15.25).
- B. **Full-Time Lecturer Not Eligible for a Three-Year Appointment:** A full-time Lecturer appointed for an academic year but not eligible for a three-year appointment shall be evaluated on a yearly basis. This evaluation shall include Student Evaluations of Instruction, if applicable, evaluation by a PRC of the department or equivalent, evaluation by the appropriate administrator, and an opportunity for peer input, if requested by the Lecturer (CBA 15.23).
- C. **Part-Time Lecturer Not Eligible for a Three-Year Appointment:** A part-time Lecturer appointed for an academic year but not eligible for a three-year appointment shall be evaluated on a yearly basis. This evaluation shall include Student Evaluations of Instruction, if applicable, evaluation by the department chair or the appropriate administrator, and an opportunity for peer input, if requested by the Lecturer (CBA 15.24).
- D. **Full- or Part-Time Lecturer Eligible for an initial Three-Year Appointment:** A full- or part-time Lecturer eligible for a three-year appointment shall be evaluated in the academic year preceding the issuance of a three-year appointment. This evaluation shall include Student Evaluations of Instruction, if applicable, evaluation by a PRC of the department or equivalent, evaluation by the appropriate administrator, and an opportunity for peer input, if requested by the Lecturer. The evaluation shall consider the Lecturer's cumulative work performance during the entire qualifying period for a three-year appointment and shall rate the Lecturer as "satisfactory" or "unsatisfactory" (CBA 15.28).¹

¹ "A three-year appointment shall be issued if the temporary faculty unit employee is determined by the appropriate administrator to have performed in a satisfactory manner in carrying out the duties of their position. The determination of the appropriate administrator shall be based on the contents of the Personnel Action File and any materials generated for use in any given evaluation cycle pursuant to 15.8. Where the appropriate administrator

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- E. **Full- and Part-Time Lecturer Holding a Three-Year Appointment:** A full- or part-time Lecturer holding a three-year appointment shall be evaluated in the third year of the appointment. The Lecturer may be evaluated more frequently upon their request or at the request of the President or designee (CBA 15.26). This evaluation shall include Student Evaluations of Instruction, if applicable, evaluation by a PRC of the department, evaluation by the appropriate administrator, and an opportunity for peer input, if requested by the Lecturer.

The evaluation shall consider the Lecturer's cumulative work performance during the entire three-year appointment and shall rate the Lecturer as "satisfactory" or "unsatisfactory" (CBA 15.29).²

V. WORKING PERSONNEL ACTION FILE (WPAF)

- A. A WPAF is required for all Lecturer Faculty being evaluated.
- B. For the purposes of the periodic evaluation, the WPAF for Lecturers with teaching duties shall include:
1. WPAF Checklist, completed and signed by the Lecturer (Appendix A)
 2. Index of Materials
 3. Current curriculum vitae
 4. A list of all courses taught in the department or equivalent
 5. One representative syllabus for each course taught during the evaluation cycle
 6. The complete university-prepared report of the Student Evaluations of Instruction for all courses evaluated in accordance with the CBA during the evaluation cycle (CBA 15.15)³ For cases in which a Lecturer is appointed to non-overload, entitlement-bearing courses or other activities in summer or winter intersession terms and/or special session terms, within the evaluation cycle: The scope of evaluation includes these courses and activities, and Student Evaluations of Instruction for these courses, and/or documentation of other assigned activities, shall be included in the WPAF.

determines that a Temporary Faculty Unit Employee has not performed their duties in a satisfactory manner, then the reasons for their determination shall be reduced to writing and placed in the Personnel Action File" (CBA 15.28).

² "A subsequent three-year appointment shall be issued if the temporary faculty unit employee is determined by the appropriate administrator to have performed in a satisfactory manner in carrying out the duties of their position. The determination of the appropriate administrator shall be based on the contents of the Personnel Action File and any materials generated for use in any given evaluation cycle pursuant to 15.8. Where the appropriate administrator determines that a Temporary Faculty Unit Employee has not performed their duties in a satisfactory manner, then the reasons for their determination shall be reduced to writing and placed in the Personnel Action File" (CBA 15.29).

³ "All classes taught by each faculty unit employee shall have such student evaluations unless the President has approved a requirement to evaluate fewer classes after consideration of the recommendation of appropriate faculty committee(s)."

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7. Course materials such as sample lesson plans, assessments of student learning outcomes, assignments, and examples of student work (with students' names removed), pertaining to the evaluation cycle
 8. Materials required in accordance with approved college/division and/or department/program or equivalent criteria
 9. Copies of all prior periodic evaluations with responses/rebuttals (if any)
 10. A copy of the relevant university procedure, and all college /division, and department/program Lecturer evaluation criteria
 11. Mailing address to which a copy of the Lecturer's evaluation may be sent
- C. For the purposes of the periodic evaluation, the WPAF for Lecturers, Librarians and Counselors whose primary duties are not teaching shall include:
1. WPAF Checklist, completed and signed by the Lecturer (Appendix B)
 2. Index of Materials
 3. Job Description or Assignment of Responsibility
 4. Current curriculum vitae
 5. Materials required in accordance with approved college/division and/or department/program or equivalent criteria
 6. Copies of all prior periodic evaluations with responses/rebuttals (if any)
 7. A copy of the relevant university procedure, and all college /division, and department /program Lecturer evaluation criteria
 8. Mailing address to which a copy of the Lecturer's evaluation may be sent
- D. For the purposes of the periodic evaluation, the WPAF may also include:
1. Any other evidence relevant to the duties of the appointment
 2. Evidence of scholarship, professional development, creative activities, and/or service to the campus, the community and/or the profession, whether or not these are required by the appointment. (If these activities are not required by the appointment but are performed voluntarily, they may be recognized as an additional positive factor in the evaluation. However, a lack thereof shall not be considered a negative factor in the evaluation.)
 3. Optional peer input from the period being evaluated
 4. A self-assessment or reflection with respect to the duties of the appointment for the evaluation cycle

VI. CONSIDERATIONS

- A. Lecturers shall be evaluated in compliance with the Unit 3 CBA, in accordance with this procedure, and following the criteria approved by their colleges/divisions and by departments /programs (if any). In case of conflict between college/division criteria or department/ program criteria and this University-wide procedure, the University-wide

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procedure shall prevail. This procedure is subject to Board of Trustees policies, Title 5 of the California Administrative Code, the California Education Code, the Unit 3 CBA, and other applicable State and Federal laws.

- B. Lecturer Faculty shall present the relevant evidence in each category (or area) of performance of their appointment. Each level of review is responsible for evaluating the quality and significance of all evidence presented.
- C. Every evaluator, at all levels of review, shall read the Lecturer's WPAF.
- D. In the evaluation of teaching performance, Student Evaluations of Instruction shall not constitute the sole evidence of teaching quality.
- E. The Lecturer shall have access to their WPAF at all reasonable times except when the WPAF is undergoing review.
- F. Maintaining confidentiality is an extremely serious obligation on the part of reviewers. Lecturers who believe that confidentiality has been broken may pursue relief under the CBA (CBA 10).
- G. The issuance of a three-year appointment shall be determined by the appropriate administrator based on the contents of the Lecturer's PAF and any materials generated for use in any given evaluation cycle. Where the appropriate administrator determines that a Lecturer has not performed their duties in a satisfactory manner, then the reasons for their determination shall be reduced to writing and placed in the PAF (CBA 15).

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APPENDIX A

**WPAF Required Items Checklist for Lecturers
with Teaching Duties**

Faculty initials	Item
	Completed Checklist (initialed, signed, and dated by review candidate)
	Index of materials
	Current Curriculum Vitae
	A list of all courses taught in the department or equivalent
	One representative syllabus for each course taught during the evaluation cycle
	The complete university-prepared report of the Student Evaluations of Instruction for all courses evaluated in accordance with the CBA during the evaluation cycle
	Course materials such as sample lesson plans, assessments of student learning outcomes, assignments, and examples of student work, pertaining to the evaluation cycle
	Materials required in accordance with approved college/division and/or department / program or equivalent criteria
	Copies of all prior periodic evaluations with responses/rebuttals (if any)
	A copy of the relevant university procedure, and all college / division, and department / program Lecturer evaluation criteria
	<i>Optional:</i> Any other evidence relevant to the duties of the appointment
	<i>Optional:</i> Evidence of scholarship, professional development, creative activities, and/or service to the campus, the community and/or the profession, whether or not these are required by the appointment.
	<i>Optional:</i> Peer input from the period being evaluated.
	<i>Optional:</i> A self-assessment or reflection with respect to the duties of the appointment for the evaluation cycle.

I verify that all items are included in the file:

Signature

Date

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APPENDIX B

**WPAF Required Items Checklist for Librarians, Counselors
 and Lecturers whose Primary Duties are not Teaching**

Faculty initials	Item
	Completed Checklist (initialed, signed, and dated by review candidate)
	Index of materials
	Job Description or Assignment of Responsibility
	Current Curriculum Vitae
	Materials required in accordance with approved college/division and/or department / program or equivalent criteria
	Copies of all prior periodic evaluations with responses/rebuttals (if any)
	A copy of the relevant university procedure, and all college / division, and department / program Lecturer evaluation criteria
	<i>Optional:</i> Any other evidence relevant to the duties of the appointment
	<i>Optional:</i> Evidence of scholarship, professional development, creative activities, and/or service to the campus, the community and/or the profession, whether or not these are required by the appointment.
	<i>Optional:</i> Peer input from the period being evaluated.
	<i>Optional:</i> A self-assessment or reflection with respect to the duties of the appointment for the evaluation cycle.

I verify that all items are included in the file:

 Signature

 Date