



Faculty and Staff Evaluation and Development: Concepts, Challenges and Opportunities

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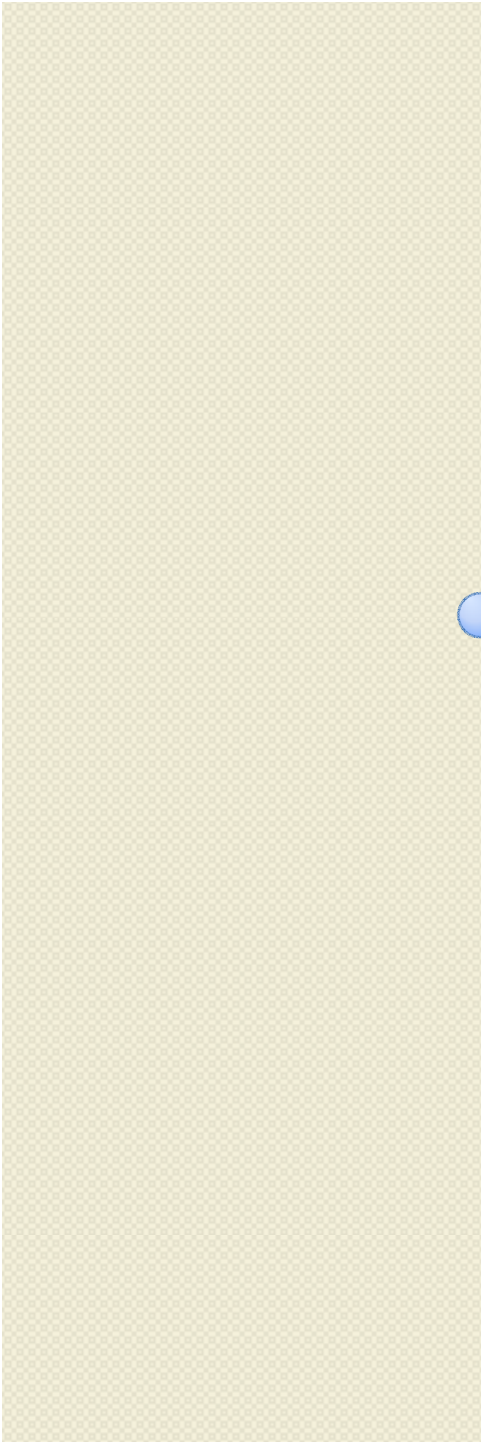
Topics & Objectives

- Introduction – Who *IS* This Guy?
- General Concepts and Philosophies of Evaluation and Assessment – Why *DO* We Do This?
- Some Models of Faculty and Staff Evaluation and Development
- About Instructional Observations
- About the Evaluation Meeting
- Achieving Balance and Alleviating Fears
- Avoiding Legal Pitfalls
- Some Thoughts to Ponder
- Resources and Readings – You Are Not Alone!
- Questions and Conversation



Introduction –

Who *IS* This Guy?



General Concepts and Philosophies of Evaluation and Assessment –

**Why *DO*
We Do This?**



Evaluation Defined

Evaluation – from French, *evaluer*, (to see value)

- To ascertain or fix the value or worth of.
 - To examine and judge carefully; appraise.
 - To judge or determine the significance, worth, or quality of.
-
- Faculty/staff and administrators work together to establish standards of performance and the rules of evidence.
 - Focus of evaluation – collection, analysis, and interpretation of *evidence* of faculty/staff progress (such as toward tenure and promotion).



More than Measurement

Evaluation also involves issues of:

- **Value**
- **Quality**
- **Effectiveness**
- **Judgment**

And includes:

- **Self-reflection**
- **Peer judgment**
- **Institutional standards**



Overview of Current Policy

Draft Employee Evaluation Policy Spring 2008

Full-time employees of Southern Union State Community College shall be evaluated annually by their immediate supervisor or designee as defined on the organization chart. The specific criteria outlined in the established employee evaluation forms will carry equal weight. Faculty members who receive the response “*Meets Expected Goals*” will be satisfactorily completing all parts of their respective job descriptions. Staff members who receive a response of three or four on their respective form will be satisfactorily completing all parts of their respective job descriptions.



Context of Evaluation: Dual Roles

1. Individual role

(Faculty/staff growth and development)

- Feedback for faculty/staff member with goal of better understanding of his/her own work and ways to improve
- Information to guide faculty/staff development
- Guide for career pathing



Context of Evaluation: Dual Roles

2. Institutional role

(Meeting institutional needs)

- Avenue to judge faculty/staff performance in light of institution's expectations
- Information regarding personnel decisions (retention, tenure, promotion, etc.)
- Rewards



Two Overarching Purposes of a Faculty and Staff Evaluation System

- ✓ *Provide feedback* –
for self-improvement
- ✓ *Provide data* –
for personnel decisions



Purpose of Evaluations

- Identify people's strengths
- Identify areas where improvement is needed
- Document performance in writing
- Stay focused on professional goals/growth.
- Meet institutional and external policy and accreditation requirements



An effective evaluation process provides the means for improving and building a strong reputation for quality within each department, and division of an institution.



We Measure What Matters to *Us!*

SUSCC Faculty Performance

Performance Categories

- **Knowledgeable and teaches well organized, well developed courses which meet course expectations and student needs.**
- **Demonstrates use of technology and resources to meet and improve student learning and outcomes.**
- **Student oriented and works well with all types of students. Uses student evaluations to improve teaching and student outcomes.**
- **Follows posted work schedule and assists students during office hours.**
- **Meets administrative responsibilities and requests in a timely, accurate, and professional manner.**
- **Demonstrates an ability to work well with colleagues and administrators contributing to a positive work environment**
- **Participates in Professional Development. Shows achievement in professional and educational areas.**



We Measure What Matters to *Us!*

SUSCC Faculty Performance

Performance Categories

- **Supports and is involved in institutional and community services.**
- **Meets or shows progress in meeting goals and objectives stated in the last evaluation**
- **Demonstrates integrity and ethical behavior with colleagues and students.**
- **Maintains timelines, open and effective communications with students taking on-line/teleconference classes.**
- **Knowledgeable and demonstrates ability to meet course content, goals, and objectives of online/teleconference courses.**
- **Works closely and effectively with the MIS Department/Library to maintain the integrity of online/teleconference courses, tests, assignments, and student information.**
- **Uses appropriate online/teleconference lab experiences that meet student learning objectives.**



A Note on Purpose

- In cases where certain circumstances exist, such as:
 - No merit-based salary increase policy
 - Collective bargaining
 - Tenure granting policies
- The focus of evaluation may – and should – be more on quality improvement than on punitive or prescriptive administrative oversight.
- This underscores the importance of developing an institutional *philosophy* of faculty/staff evaluation and development



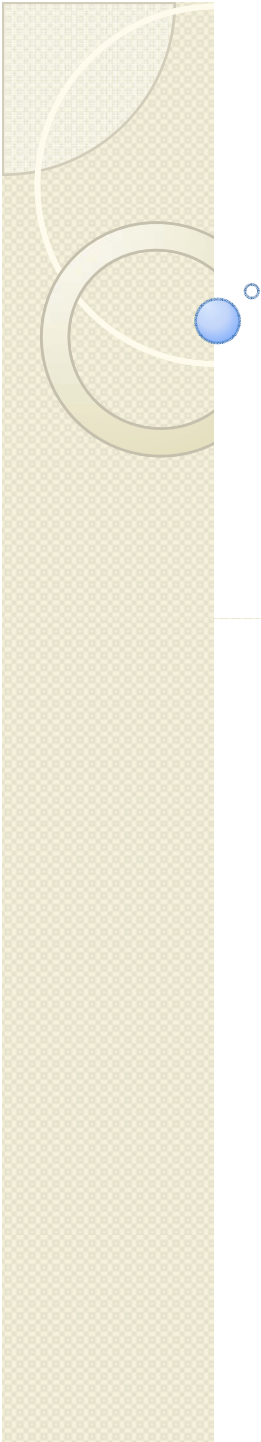
Traditional Assumption:

Base Profession Knowledge

+ Skills =

Good Teacher or Staff Member

Base Profession knowledge and expertise is a necessary but insufficient condition for Good Teaching or Student Service



The *Meta-Profession*
of *College Teaching and Service* –
requires base professional skills
and knowledge –
PLUS – skills and knowledge in:

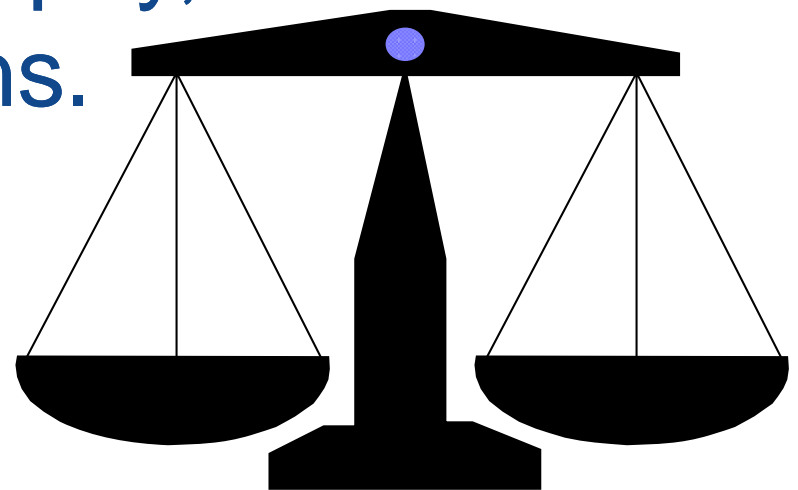
For Faculty:

- ✓ Instructional Design
- ✓ Instructional Delivery
- ✓ Instructional Assessment
- ✓ Student Success and Student Development
- ✓ Institutional Mission and Philosophy

For Staff:

- ✓ Program/Service Design and Delivery
- ✓ Student Success and Student Development
- ✓ Institutional Mission and Philosophy

Faculty and Staff Evaluation Systems for Personnel Decisions must provide decision-makers with relevant, reliable data concerning faculty/staff performance on which to base promotion, tenure, continuation, merit pay, or other personnel decisions.





A single, comprehensive faculty and staff evaluation system can serve both purposes if:

- ✓ Detailed, diagnostic information is provided in confidence to the faculty/staff member for self-improvement purposes
- ✓ Only summary data is forwarded for decision-making purposes



**Some Models
for Faculty and
Staff Evaluation
and Development**

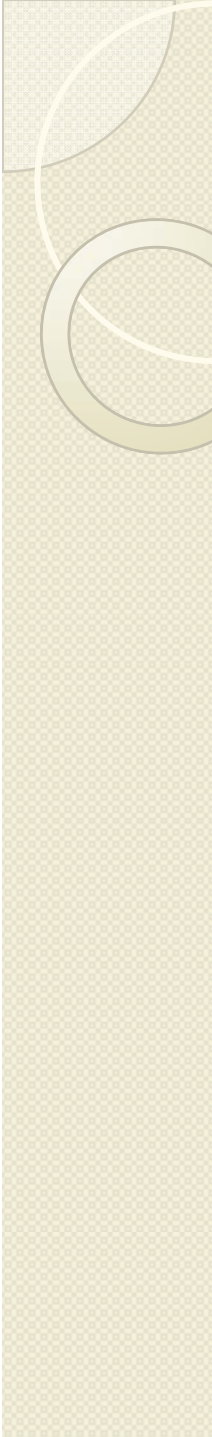


Some Theoretical Models and Research Findings Regarding Faculty Performance That Might Be Considered

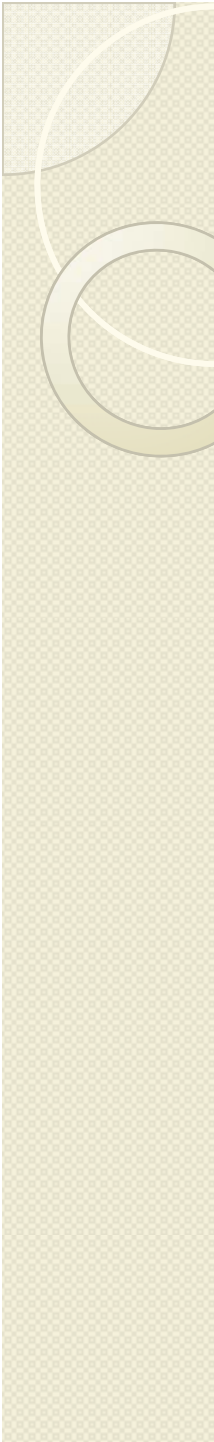
- Astin – Assessment for Excellence
- Banta – Assessment in Practice
- Nichols – Institutional Effectiveness
- Angelo & Cross – Classroom Assessment
- Fink – Significant Learning Experiences
- Barr & Tagg – The Learning College
- Ernest Boyer – Multiple Dimensions of Scholarship
- Ken Bain – What the Best College Teachers Do
- Arreola – 8-Step Model of Faculty Evaluation



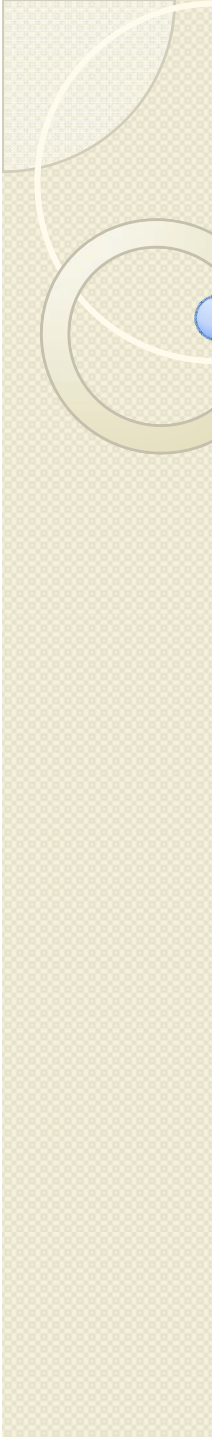
Key Elements of an Effective Faculty and Staff Evaluation System



1) Promotes faculty and staff development in addition to providing information for personnel decisions.

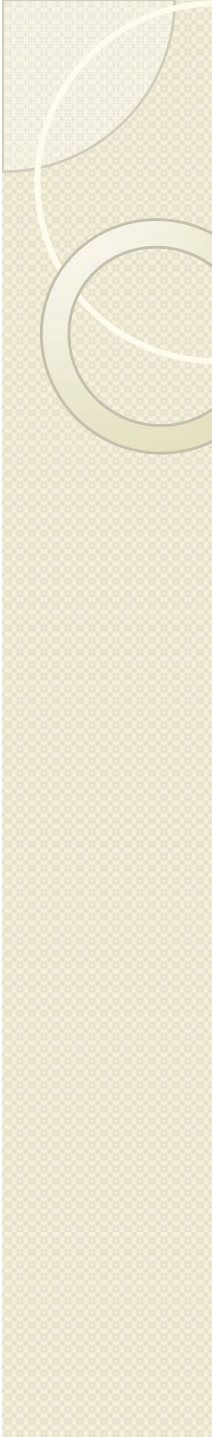


2) Collects information from a number of different sources while adhering to the “best source principle.”



“Best Source Principle:
Get information from
those who have *first-hand*
experience with the
performance in question.”

Raoul A. Arreola, Ph.D.

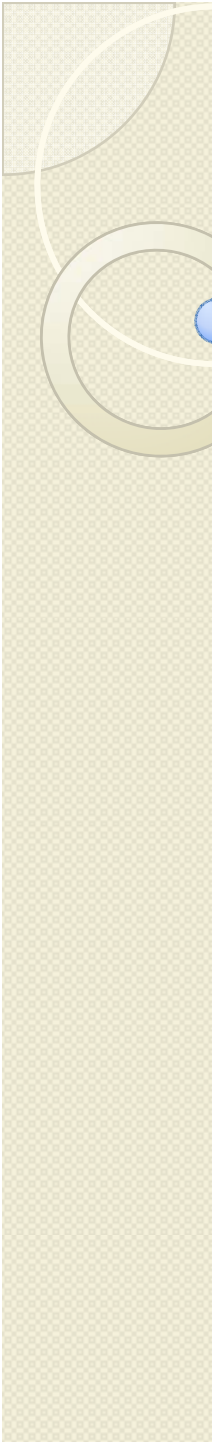


3) Involves faculty and staff in the development of the evaluation system including input on what areas are evaluated.



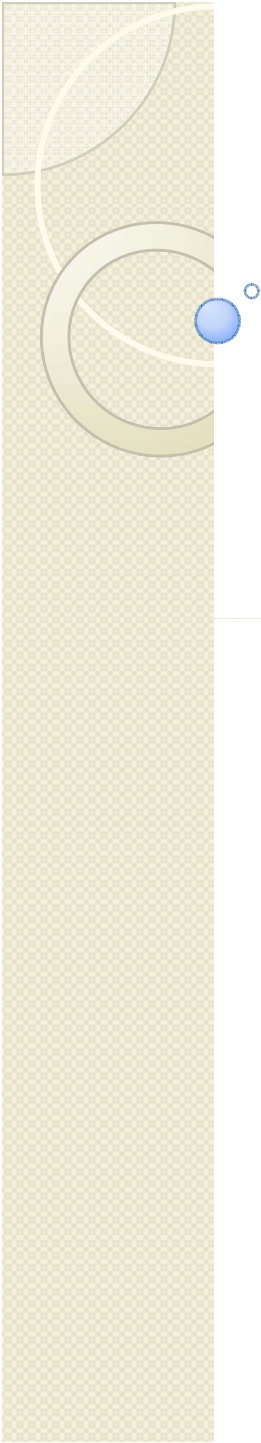
4) Allows for consistency
and flexibility.

You still can individualize
the evaluation to reflect differing
responsibilities and assignments.



The measurement instruments used in a faculty and staff evaluation system should achieve a level of objectivity, but the evaluation process is, by definition, *subjective* -

***Objective Evaluation
is an oxymoron.***



*Consistency of
Conclusions* may be
achieved by what
Arreola calls
controlled subjectivity.

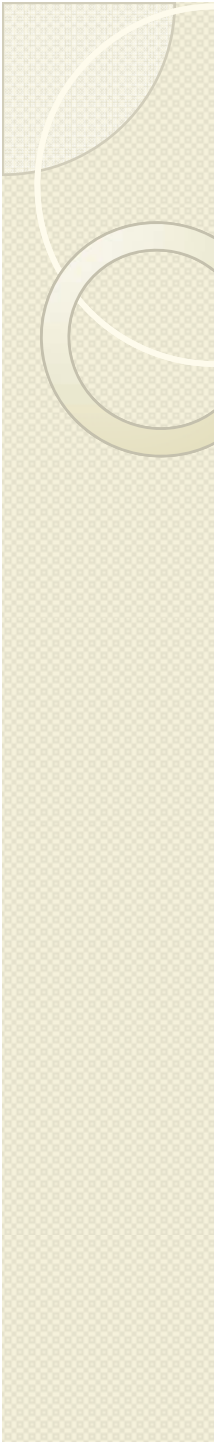


“Controlled Subjectivity”

The process of evaluation is subjective by definition. *Consistency of conclusions*, however, may be achieved through “controlled subjectivity.”

This is achieved with “the consistent application of a consensus-based set of values in the interpretation of measurement data.”

Raoul A. Arreola, Ph.D.



Arreola recommends an 8-step process for achieving *controlled subjectivity*:

1. Determine the Faculty Role Model
2. Determine the Faculty Role Model Parameter Values
3. Define Roles
4. Define Roles Component Weights
5. Determine Appropriate Sources of Information
6. Determine Source & Source Impact Weights
7. Determine how information from each source should be gathered
8. Design or select appropriate form(s)

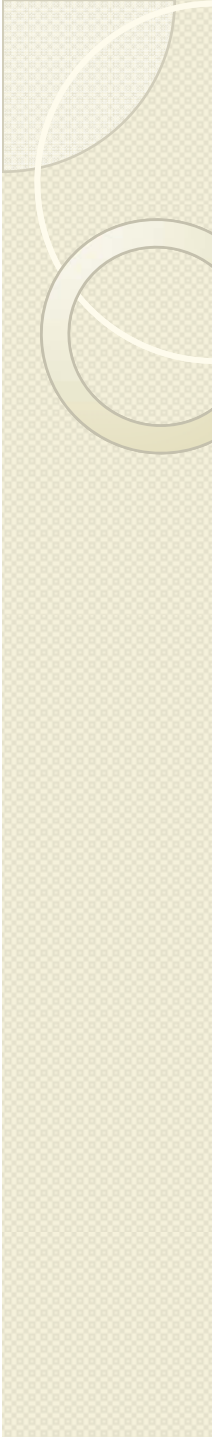
Step #1 – Determine the Faculty Role Model – Reach consensus on which of the many activities faculty engage in should be evaluated.





Examples of faculty activities categories (roles):

- ✓ Teaching
- ✓ Advising
- ✓ Research
- ✓ Scholarly & Creative Activities
- ✓ Community Service
- ✓ Professional Development
- ✓ Publishing Articles & Books
- ✓ Administration & Management
- ✓ Participation in Professional Organizations



Arreola suggests that,
beginning with the
determination of roles,
all faculty be involved
in the process.

Step # 2 – Determine Faculty Role Model Parameter Values –
Establish the relative importance of each role to the institution.
That is, determine how much value or weight may be placed on each role in the Faculty Role Model.





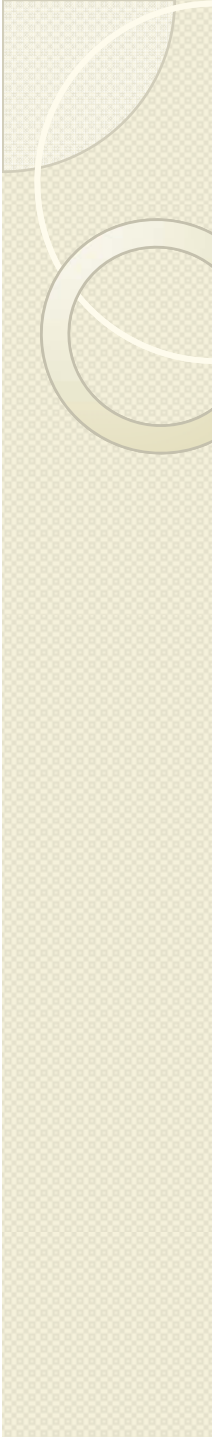
Example of a *Dynamic* Faculty Role Model:

Minimum <u>weight</u>		Maximum <u>weight</u>
50%	Teaching	85%
0%	Research	35%
10%	Faculty Service	25%
5%	Community Service	15%



Step # 3 – *Define Roles*

Define all roles in the faculty
Role Model in terms of
observable or documentable
achievements, products, or
performances.



Teaching is defined as:
“Engaging in specifically
designed interactions with
the student that facilitate,
promote, and result in
student learning.”



Components of the Teaching Role:

- ✓ *Content Expertise*
- ✓ *Instructional Delivery Skills*
- ✓ *Instructional Design Skills*
- ✓ *Course Management*



Step # 4 – *Define Role Component Weights*

Determine how much value or weight should be placed on the several components of each role.

Component Weights for the Teaching Role

Figure 4.1 Component Weights of the Teaching Role

Source Impact Matrix for <u>TEACHING</u>					
Role Components	Sources				Component Weight
Instructional Delivery Skills					(30 %)
Instructional Design Skills					(40 %)
Content Expertise					(25 %)
Course Management					(5 %)
Total Source Impact Weights					= 100 %

Arreola, R. A. (2000). *Developing a Comprehensive Faculty Evaluation System 2/e*. Bolton, MA: Anker Publishing Co., Inc.



Step # 5 – *Determine Appropriate Sources of Information*

Reach consensus on which source or sources should provide the information on which the evaluation of each role will be based.



**** *Best Source Principle* ****

Get information from those
who have first-hand
experience with the
performance in question.



Possible sources:

- Students
 - Department Chair/
Program Coordinator
 - Peers
 - Self
 - Others
-

Source Identification for the Teaching Role Components

Figure 5.1 Source Identification Matrix for the Teaching Role

Source Identification Matrix for <u>TEACHING</u>				
	Source			
Role Components	Students	Peers	Dept. Head	
Instructional Delivery Skills	Yes	No	No	
Instructional Design Skills	Yes	Yes	No	
Content Expertise	No	Yes	Yes	
Course Management	No	No	Yes	

Arreola, R. A. (2000). *Developing a Comprehensive Faculty Evaluation System 2/e*. Bolton, MA: Anker Publishing Co., Inc.



Observations may be used as a component of faculty development.

If they are used in this way the same criteria do not apply.



Step # 6 – *Determine Source & Source Impact Weights*

Determine how much value or weight should be placed on the information provided by the various selected sources for each component of each role. In other words, determine the impact the information from the various sources will have on the overall evaluation of each role.

Source Weights for Teaching Role Components

Figure 6.1 Source Weights for Teaching Role Components

Role Components	Sources			
	Students	Peers	Dept. Head	
Instructional Delivery Skills	100%	0%	0%	
Instructional Design Skills	25%	75%	0%	
Content Expertise	0%	80%	20%	
Course Management	0%	0%	100%	

Arreola, R. A. (2000). *Developing a Comprehensive Faculty Evaluation System 2/e*. Bolton, MA: Anker Publishing Co., In

Completed Source Impact Matrix

Figure 6.3 Completed Source Impact Matrix for the Teaching Role

Role Components	Sources				Component Weight
	Students	Peers	Dept. Head		
Instructional Delivery Skills	100 30	0 0	0 0		(30 %)
Instructional Design Skills	25 10	75 30	0 0		(40 %)
Content Expertise	0 0	80 20	20 5		(25 %)
Course Management	0 0	0 0	100 5		(5 %)
Total Source Impact Weights	40	50	10		= 100 %

Arreola, R. A. (2000). *Developing a Comprehensive Faculty Evaluation System 2/e*. Bolton, MA: Anker Publishing Co., Inc.

Using this process it is possible to arrive at a single number or Overall Composite Rating to use in making personnel decisions

Figure 9.4 Computation of Professor Drake's Overall Composite Rating (OCR)

Role	Assigned Weight	×	Composite Role Rating	=	Weighted Composite Rating
Teaching	50%	×	3.45	=	1.73
Research	35%	×	3.20	=	1.12
Faculty Service	10%	×	3.60	=	0.36
Community Service	5%	×	2.60	=	0.13
OVERALL COMPOSITE RATING			OCR	=	3.34

Arreola, R. A. (2000). *Developing a Comprehensive Faculty Evaluation System 2/e*. Bolton, MA: Anker Publishing Co., Inc.



Step # 7 – *Determine How Information from Each Source Should Be Gathered*

Determine what type of form, questionnaire, checklist, or other data gathering procedure or method will be used to obtain the specified information from each source.

Data Gathering Tools – Teaching Role

Figure 7.1 Data Gathering Tool Specification Matrix for the Teaching Role

Role	Sources			
	Teaching	Students	Peers	Dept. Head
Instructional Delivery Skills	Questionnaire			
Instructional Design Skills	Questionnaire	Peer Review of Materials		
Content Expertise		Peer Analysis of Course		Interview
Course Management				Checklist/ Grade Report

Arreola, R. A. (2000). *Developing a Comprehensive Faculty Evaluation System 2/e*. Bolton, MA: Anker Publishing Co., Inc.



Step # 8 – *Design or Select Appropriate Form(s)*

Design/develop/select the questionnaire, forms, procedures & protocols for your system. Strive for objectivity, reliability & validity.



About Instructional Observations



A Format for Instructional Visitation Appraisal (Dallas County Community College District)

1. A date and time for the instructional visitation is established by the instructor and supervisor.
2. Part I is to be filled out by the instructor and given to the supervisor at least 24 hours in advance of the visit.
3. At the request of either the instructor or supervisor, an instructional visitation may be preceded by a conference for discussion on the instructional visitation process.
4. Part II is to be filled out by the supervisor and returned to the instructor within one week of the visit.



A Format for Instructional Visitation Appraisal (Dallas County Community College District)

5. A follow-up conference to evaluate strengths, weaknesses, and directions for future growth will be held within two weeks after the visit, or with the agreement of both instructor and supervisor, may be held at the time of the Mid- Year Review.
6. Part III is completed by the instructor after reviewing the supervisor's comments and/or discussing the class visitation with the supervisor.
7. Signatures are to be added after completion of Parts I, II, and III and the follow- up conference.



A Format for Instructional Visitation Appraisal (Dallas County Community College District)

Part I: Class Session/ Learning Experience Description

1. Briefly describe your objectives for this class session/ learning experience in relation to the overall course plan.
2. Describe the method of instruction to achieve these objectives.
3. How will the students participate?



A Format for Instructional Visitation Appraisal (Dallas County Community College District)

Part II: Class Session/Learning Experience Review (Supervisor's Comments)

1. The instructor clarified the objectives for the students.
2. The method of instruction was appropriate in the meeting the objectives.
3. The instructor was well prepared for the class session/ learning experience.
4. The instructor communicated effectively with students.



A Format for Instructional Visitation Appraisal (Dallas County Community College District)

Part II: Class Session/Learning Experience Review (Supervisor's Comments)

5. Students participated in activities as expected by the instructor.
6. Support materials (media, manuals, equipment) were appropriately and effectively utilized.
(Note if not applicable)
7. The objectives for the class session/ learning experience were achieved.

Part III: Instructor's Comments



**About
the Evaluation
Meeting**



Do your homework!

- Review your faculty/staff handbook.
- Review previous documentation.
- Review employee's self-evaluation.
- Review your written evaluation.
- Review student & peer evaluations.



The Meeting – An Overview

- Give yourself enough time.
- Be clear about intent & purpose.
- Establish a ***dialogue***.
- Review performance documentation.
- Review a plan for the next year.
- Leave time for questions, feedback and collaborative brainstorming.



The Meeting – Communication Is Key!

- Be honest.
- Be objective.
- Be constructive.
- Be consistent.
- Be straightforward.
- Don't shy away from difficult issues or concerns.
- Don't be intimidated.
- Remember that you are *partners* with the employee in this process.



The Meeting – Wrapping It Up

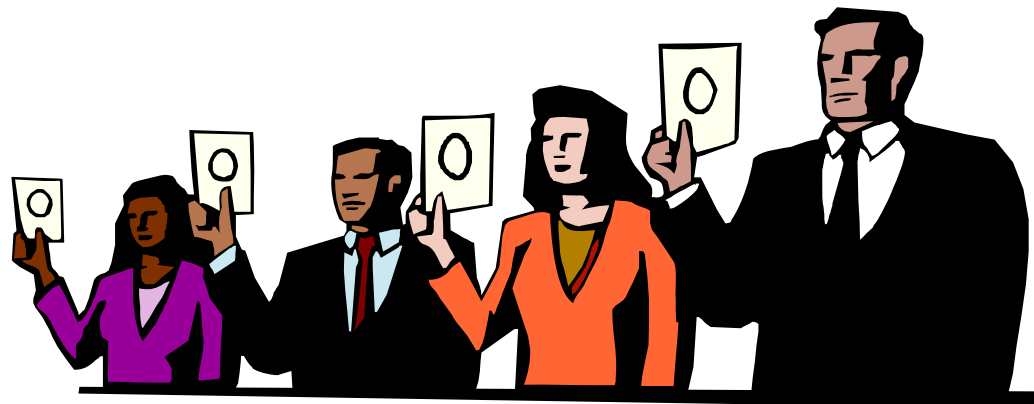
- Don't make promises ***you*** can't keep.

- Be a good listener.
- Connect personal goals to departmental needs, resources and strategic plan.
- Conclude with a review of main points and procedures for revision to any evaluation documents.



**Achieving Balance
and
Alleviating Fears**

Often, the design of the evaluation system or forms does not reflect faculty and staff values and so is rejected.





Expect the resistance as you change or implement an evaluation system.

The 5 stages of resistance you can expect are:

- 1. Disdain/denial***
- 2. Hostility***
- 3. Apparent Acquiescence***
- 4. Attempts to Scuttle***
- 5. Grudging Acceptance***



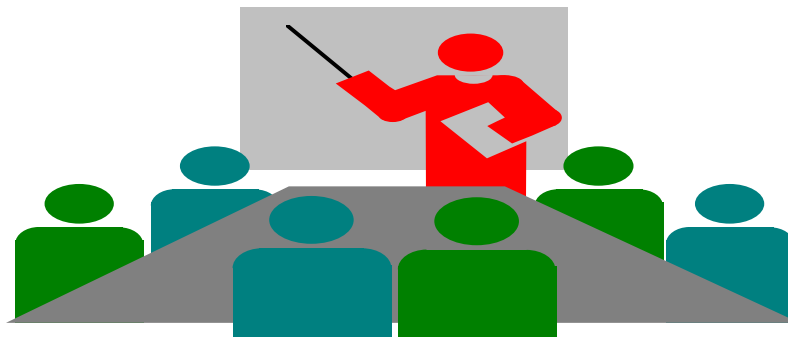
Alleviating Fears

- Document the *Process* as well as the *Individual Evaluation of Performance*
- Build in multiple processes for employee feedback
- Approach the evaluation process from a non-punitive mindset – individually *and* institutionally
- Ensure that a fair and well-understood grievance process exists
- As an evaluator, accept your limitations but work to improve your own performance in this aspect of your work

**For maximum effectiveness
faculty and staff evaluation
must be linked to
faculty and staff
development programs**



Faculty and Staff Development Programs should focus on the development of the additional skills and knowledge required of the Meta-Profession of College Teaching and Service for which most faculty and staff have had no prior formal education or training.





**Avoiding
Legal
Pitfalls**



Avoiding Legal Situations and Minimizing Grievances

- Evaluation ratings *must* be job-related. Be prepared to provide evidence.
- Be able to defend ratings.
- Not providing evaluations in a timely manner can cause legal challenges just as easily as unfair, biased, or inaccurate evaluations will.
- Evaluations *must* be discussed openly with faculty and staff and, when appropriate, counseling or corrective guidance offered.
- Seek guidance and assistance “upstream” whenever it appears to be even *remotely* necessary. Do not be a “lone wolf” as an evaluator.



**Some
Thoughts
to Ponder**

Changing Culture

- Faculty and staff evaluations should align with the strategic mission of the department and institution. The issues of quantity and quality are relative to the department overall.
- Individuals are expected to do good work. Exceptional evaluation ratings are for great work.
- Constructive feedback is expected.
- Leaders in an institution are challenged to make tough decisions and to discriminate among different levels of performance. When chairs/deans make difficult, but appropriate decisions, the president and vice presidents should support these decisions.



Planning Ahead

- Make sure faculty/staff members understand the expectations of their job.
- The best evaluation systems have formative, “in-line,” and summative phases.
- Set expectations in supportive, mentoring way.
- The process should be transparent to everyone involved.
- Discussing the review process in a faculty or staff meeting at the beginning of the year might be a good way to acclimate everyone to the process and get feedback on how best to proceed.



Check-ins

- Keep in touch with newer faculty/staff members to be sure they are on track.
- If possible, engage in quarterly check-ins that let junior faculty/staff member know you care about their success.
- Coming to their office is a small way to show a faculty/staff member that you have a personal interest in her/him.
- These conversations may help you both think strategically about balancing the individual's career needs with department needs.



Remember...

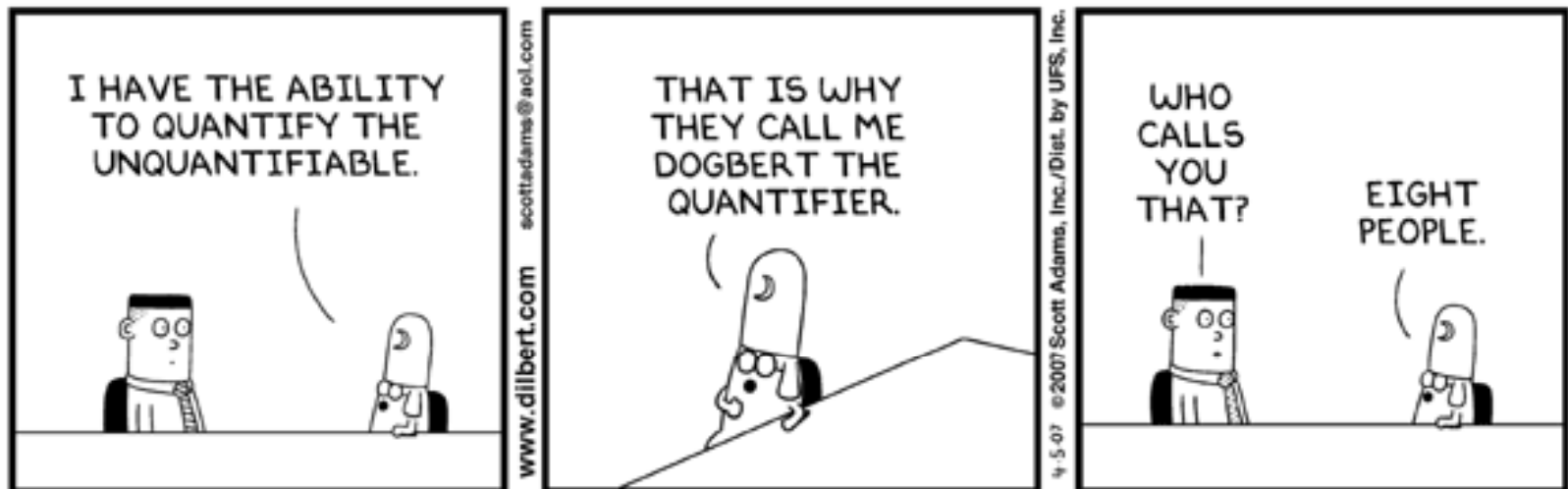
- Performance evaluations are part of on-going relationship building with faculty and staff members.
- When possible, as part of this process, establish trust that you have their best interests at heart.
- Explore ways in which to set the tone of these reviews so they are not perceived as merely a process of authoritative oversight but rather an investment in faculty members' success.
- Nonetheless, do not forget that the written component of these evaluations, especially pre-tenure, form an important part of an official record that will receive scrutiny in the future.



The Design of Rubrics

- The importance of clear rubrics that are appropriate to the teaching discipline or service area cannot be over-emphasized.
 - The rubric should make clear what is exceptional, acceptable, problematic, and unacceptable performance in each area being evaluated.
- We must ensure that those whose work is being measured and others who have done the work themselves are involved in the design process to the greatest degree possible.

Reification of the Quantifiable



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Reification of the Quantifiable



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Reification of the Quantifiable

- The more broadly applied a rubric or scale becomes, the less meaningful it also becomes.
- Unfortunately, in management systems, we often try to create “balanced scorecard” assessment processes and instruments that make us believe that the incomparable actually have some basis for comparison.
- This practice should be avoided when possible as it more often leads to *devaluation* than to *evaluation*.

One Solution to Reification

PROGRESS DISCUSSION DALLAS COUNTY COMMUNITY COLLEGES

(Check all that apply)

EMPLOYEE GROUP: Professional Support Staff Administrative Full-Time Part-Time Limited Full-Time

EMPLOYEE NAME	EMPLOYEE ID NUMBER	DATE
JOB TITLE		LOCATION

CURRENT JOB DESCRIPTION IS ACCURATE: YES NO | REQUEST A REVIEW OF JOB DESCRIPTION YES NO

Instructions: At least 48 hours prior to the evaluation conference the supervisor and employee will complete and exchange a draft of the progress discussion form. After the discussion the supervisor will compile a revised progress discussion, secure needed signatures and forward the original to Human Resources and a copy to the employee.

EMPLOYEE'S STRENGTHS, ACCOMPLISHMENTS, CONTRIBUTIONS

Employee	Supervisor

AREAS OF OPPORTUNITY FOR IMPROVEMENT

Employee	Supervisor

One Solution to Reification

PROGRESS DISCUSSION - CONTINUATION

**STRATEGIES FOR IMPROVEMENT
(INCLUDE DATE STRATEGIES SHOULD BE IMPLEMENTED)**

Employee	Supervisor

**WERE STRATEGIES FOR IMPROVEMENT FROM LAST DISCUSSION
IMPLEMENTED AND EFFECTIVE?**

Employee	Supervisor

EMPLOYEE'S SIGNATURE	DATE
SUPERVISOR'S SIGNATURE	DATE
SECOND LEVEL SUPERVISOR'S SIGNATURE	DATE

Original to location Human Resources upon completion. PSS forms are due to DHR July 1.



Other suggestions

- Address pressing problems in real time, don't let problems fester.
- Use annual reviews as an opportunity to document excellent performance, as well as areas for improvement.
- Have the faculty/staff member make a list of upcoming goals, or in the case of junior faculty/staff, make this list together. Are they in line with tenure, promotion, and/or continuation criteria?
- Document feedback and upcoming goals in writing and ask faculty/staff member to approve before finalizing.



Other suggestions

- Look at goals from last meeting, and whether they were accomplished before setting new goals.
- Extend praise and attention beyond instructional accomplishments or funding successes; recognize other positive contributions, including good mentoring, excellent student interaction. Institutional service, and community outreach.
- Nothing in the annual review should be a surprise to anyone involved.



Other suggestions

- Remember to use *the best possible source of evidence* for each dimension of the evaluation.
 - Different stakeholders are best qualified to measure different aspects of faculty/staff performance.
 - The supervisor/administrator does not have to play an omnipotent role in the process.
- Remember that the paradigm in higher education is shifting from measuring processes to measuring outcomes.



Key Points To Remember

- 1. Meet with your faculty and staff:
Don't make them come chasing you for answers about their evaluations.**
- 2. Maintain a clear and consistent process:
Don't change the rules in midstream.**
- 3. *The main concerns most employees have are the fairness of the process, and the accuracy of the determinants of their performance.***
- 4. *Start now, meet timelines!***



**Resources
and
Readings –**

You Are Not Alone!



Resources and Readings

- Angelo, T. A. & Cross, K. P. (1993). *Classroom assessment techniques: A handbook for college teachers*. San Francisco: Jossey-Bass/John Wiley & Sons, Inc.
- Astin, A. W. (1991). *Assessment for excellence: The philosophy and practice of assessment and evaluation in higher education (American Council on Education Oryx Press Series on Higher Education)*. Washington, DC: American Council on Education/Oryx Press.
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Resources and Readings

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Questions and Conversation



Faculty and Staff Evaluation and Development: Concepts, Challenges and Opportunities

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