

Reviewers' Universal Evaluation Form, AY 2019-2020  
 University Personnel – Faculty Affairs | 408-924-2450 | ADMIN RM 218

**Committee/Evaluator Instructions (Revised)**

**Purpose of Review**

The primary purpose of the periodic evaluation or "mini review" is to provide probationary faculty with an annual assessment of the progress they have made toward earning tenure and promotion. These reviews are formative, providing the probationary faculty with review of the 3 categories of achievement in University Policy S15-8 (and as adapted to S98-8 in a few cases), so as to encourage professional growth that will merit the award of tenure, and advancement in rank if applicable, by the end of the probationary period.

**Who Is Evaluated During Probationary Faculty Periodic Evaluations?**

All probationary faculty who have not undergone a performance review (retention, tenure, promotion) during the current academic year, AY 2019-2020, shall undergo mini review unless they are first year, spring new hires, are on leave, or are in the extended year of a presidentially approved extension of the probationary period.

**Calendar**

Periodic evaluation of probationary faculty is conducted during Spring Semester and covers the period since last review, or a) initial appointment or b) service credit start date.

**AY 19 -20 REVISED Periodic Evaluation "Mini Review" of Probationary Faculty**

<b>Previous Due Date</b>	<b>Revised Due Date*</b>	<b>Activity</b>
Friday, March 20	Friday, April 10	Committee evaluations uploaded to eFaculty.
Monday, March 23	Monday, April 13	Chair† evaluations uploaded to eFaculty. Department level evaluations opened to candidates for response.
Monday, April 6	Thursday, April 23	Candidate optional response and/or acknowledgement due in eFaculty.
Tuesday, April 7	Friday, April 24	Deans/Administrators may begin review in eFaculty.
Friday, May 1	Tuesday, May 12	Deans/Administrators submit evaluation in eFaculty.
Monday, May 11	Friday, May 22	Candidate optional response and/or acknowledgement due in eFaculty.
Monday, May 18	Friday, May 29	ASAs, Evaluations, and Optional Responses submitted to faculty Personnel Action File (PAF)

\* All deadlines are 5:00pm on the date items are due unless UP – FA approves extensions.

† The terms department and chair are intended to include other equivalent units and positions of other names.

### **Required Documents Reviewed in eFaculty**

While required documents will be submitted in the faculty dossier (in "Faculty 180") in eFaculty, they will be reviewed in the new "Review, Promotion and Tenure" section of eFaculty. Review levels include an elected (see S15-7) department personnel committee, department chair (if not on the committee), and college dean, or their equivalents. Reviewers upload their evaluation to eFaculty by uploading a completed [Periodic Evaluation, "Mini Review" of Probationary Faculty Form](#). The evaluations are placed in the Personnel Action File (PAF).

All materials voluntarily archived in eFaculty for the period of review will be available to reviewers. However, only the following items are required of the candidate:

- Current CV
- Annual Summary of Achievements
- All prior Periodic Evaluations and Performance Reviews
- All SOTE/SOLATEs for the period of review
- All Direct Observations of Teaching (or equivalent) for the period of review

Candidates are not required to upload supporting material to eFaculty, and material outside the scope of the review period may appear among their dossier materials. *University Policy allows reviewers to focus only on the ASA and other four required items above, but it encourages comprehensive review and feedback.* Supporting material may facilitate seeing the bigger picture in the pursuit of advancement.

When entering material into "Faculty 180" in eFaculty in the "Activities" section, candidates see a tab named "RTP Dossier Documents (Front Matter)." Candidates will upload documents for items 2, 3, 4, 6, 7, and 8 indicated below. Crossed out items are not expected or required in mini reviews, and items 2, 3, and 6 are archival elements of the dossier:

- ~~1. Chair's Description of Academic Assignment (signed and dated)~~
2. Department RTP Guidelines (if any)
3. Tenure-clock stop memos (if applicable)
4. Comprehensive Curriculum Vitae [**Current CV is uploaded here**]
- ~~5. Current Dossier Index (eFaculty can generate a draft after all material is entered, but it will be incomplete; edit to create an exhaustive list of all items submitted for the review)~~
6. Letter of Appointment
7. Candidate's Narrative Statement [**The ASA is uploaded here.**]
8. Prior evaluations [**All SJSU Periodic Evaluations and Performance Reviews are uploaded here**]
- ~~9. Declaration of Intent. (Form can be found [here](#))~~

Prior evaluations (item 8 above) should be considered by those reviewing faculty who have undergone prior evaluations. These are a compilation of front matter from all prior evaluations and performance reviews organized in reverse chronological order. Prior mini review "front matter" includes:

- Academic Year Summary of Achievements
- Periodic Evaluations (committee, chair, dean reviews)
- Responses or rebuttals (if any)

Prior performance review(s)—or retention review(s)—“front matter” includes:

- President’s (or Provost) Decision letter
- All evaluations/recommendations, both **administrative** (Provost, Dean, Chair, etc.) and **committee** (URTP, college, department, etc.)
- Responses or rebuttals (if any)
- Chair’s Description of Academic Assignment
- Approved RTP guidelines in effect at the time (if any)
- CV at the time
- Dossier Index (at the time with appended late add list, if any)

Pursuant to Article 15.12 a. of the CSU/CFA Collective Bargaining Agreement (CBA), faculty members subject to review “shall be responsible for the identification of materials [they] wish to be considered, as well as materials required by campus policy, and for the submission of such materials as may be accessible to [them].” ***The failure to submit required documentation or otherwise cooperate in the evaluation process may be taken into consideration in the faculty member’s evaluation.*** Once submitted, items in eFaculty are designated as the **Working Personnel Action File (WPAF)**.

Reviewers shall provide their detailed feedback on the form called, [Periodic Evaluation, “Mini Review” of Probationary Faculty Form](#), and they should upload the completed form to eFaculty in the “Review, Promotion and Tenure” section. At the appropriate time in the calendar above, they shall submit the review to the next level.

### **Formative Evaluation**

Reviewers shall focus on supporting the candidate’s overall goal of attaining tenure and/or promotion. Therefore, they shall be critical and identify specific strengths and weaknesses as appropriate to encourage progress.

Reviewers shall provide detailed feedback to the faculty member in each category of achievement, 1) academic assignment—teaching for most, 2) service, and 3) research, scholarship, and creative activities, for accomplishments during the period of review. Reviewers may also provide holistic, developmental, and other feedback (in section 4 of the evaluation form). S98-8 faculty are given feedback in each area, but advice for tenure and/or promotion is framed within only 2 criteria, A) Effectiveness in Academic Assignment, including “service toward students and the university,” and B) Scholarly or Artistic or Professional Achievement, including “service toward the profession, university governance, and/or community.”

University Policy allows reviewers to focus only on the ASA and other required items (see above). However, it is in the best interest of the candidate for reviewers to explore other evidence of achievement provided in the tabs in eFaculty so as to provide higher quality feedback on achievements during the period of review and make recommendations for improvement. Documentation from outside the period of review may help inform recommendations, but they are not subject to evaluation.

Periodic evaluations do not include voting on or stating levels of achievement (i.e. unsatisfactory, baseline, good, or excellent), or result in recommendations for retention, tenure, or promotion. *However, if evaluators are concerned about progress to date, they may recommend that a candidate undergo a performance review (retention review) the following year.*

## **Evaluation Process**

### ***Department Level***

A Department **committee** of tenured faculty **elected** by the probationary and tenured faculty conducts a formative evaluation as described above. If the Department Chair is **not** part of the committee, the Chair may submit a separate formative evaluation.

Statements are written on the Periodic Evaluation, "Mini Review" of Probationary Faculty Form and uploaded to eFaculty. Feedback is given on the three areas of achievement. Holistic feedback is allowed in the final section (section 4) of the form. Recommendations for special performance review shall be made in the final section. In committee, such a recommendation requires that a vote be reported with the recommendation.

Upon submission, the form(s) is shared with the faculty member. Within ten calendar days of the department level evaluation, the faculty member may submit a response/rebuttal to the Department's evaluation(s). After ten days, the WPAF, Department level evaluation(s), and any response/rebuttal shall be forwarded to the Dean's office for review.

### ***College Level***

All "mini review" faculty are also evaluated by the appropriate administrator (the dean or designated administrator). The administrator reviews all materials in the WPAF as described above, department level evaluation(s), and any response/rebuttal to the department level evaluation(s)

In eFaculty, the college administrator also submits a [Periodic Evaluation, "Mini Review" of Probationary Faculty Form](#). Upon submission, a copy is provided to the faculty member and the department. Within ten calendar days, the faculty member may then respond to and/or rebut the evaluation. The ASA, evaluations, and optional responses become part of the faculty member's PAF.

### ***Where to Get Help***

UP – FA appreciates your patience with the AY 19–20 changes in the periodic evaluation process. This evaluation of probationary faculty will be the first conducted in the new "Review, Promotion and Tenure" product from Interfolio. Unfortunately, we anticipate glitches. UP – FA will act as swiftly as we can to solve problems or find workarounds for ensuring a complete and fair evaluation of the probationary faculty.

If you have questions or concerns about the processes and procedures, please contact our RTP Analyst, Jamie Mettry, [jamie.mettry@sjsu.edu](mailto:jamie.mettry@sjsu.edu) or 4-3235. If you have questions about policies or regulations governing periodic evaluations, please contact Senior Director of Faculty Affairs, James Lee, [james.lee@sjsu.edu](mailto:james.lee@sjsu.edu) or 4-5866.