

Recommendations of the Faculty Evaluation Task Force (2013) of the Academic Senate

The background of the task force is provided in Appendix I. This report doesn't deal with the whole subject of faculty evaluation, but focuses on the matters raised by members of the task force, prior working group, and chairs of faculty councils.

Recommendations

- 1) **GOALS.** Central goals of annual merit review are to recognize and reward high performance, and to identify low performance so it can be responded to. Annual merit reviews can also be formative evaluations and part of the ongoing process of mentoring.

High performance is vital for the faculty to meet our collective goals of excellence for our units and our research university. Continued low performance cheats other colleagues who are doing their jobs. Hence, those whose research, scholarship or creative work contributes to meeting our aspirations deserve to be rewarded and those whose performance is substantially below their colleagues in the unit should be identified for special attention. The university provides several avenues to recognize contributions and the university policy on Individual Development Plans provides a model for constructive response to low performance.
- 2) **OUTCOME.**
 - a) **The final outcome of annual merit review – including research/scholarship/creative endeavors, teaching, and service – should be conveyed to each faculty member in words instead of being conveyed to the individual as a quantitative score.** What should be conveyed to the individual is a nuanced message rather than a single word or phrase. (Of course, administrative records can, for convenience, translate the rating into a number.)
 - b) The following five categories are recommended: Outstanding, excellent, meritorious, would benefit from improvement, and not satisfactory. Schools may use a different vocabulary if they wish.
- 3) **COMMUNICATION.**
 - a) **The dean or delegate of the dean (for example, a vice or associate dean or other suitable representative; in larger schools, a unit's chair or a section head or other suitable representative) should be required to hold a one-on-one meeting with each faculty member to discuss/explain the results of evaluations either annually, or in each year that there is an in-depth evaluation.**
 - b) Results of evaluations and raw data must be kept for 3-4 years, especially for junior and new faculty; for tenure-track assistant professors, the results and raw data are needed until the tenure decision process is complete.
- 4) **SPECTRUM OF DISTRIBUTION.** Adoption of these categories should be accompanied by development of school-by-school guidelines to determine the criteria for each category, using global/national standards of excellence in the discipline.
 - a) These standards should replace any prior policy or practice that forces a fixed distribution of faculty in a school or subdivision of a school over all five categories (for example, the distribution should not be required to fit a bell-curve or any particular value of standard deviation). But it is not a good practice to give more than half the faculty in the unit exactly the same rating (the existing University policy does not permit that; see Appendix IV), as that would not capture the variation in performance that always exists. As the University policy says, "Each department's evaluations must yield a spectrum of distribution."
 - b) The individual's effort profile should be taken into account in assigning ratings.
 - c) Those who are performing above or below their colleagues in the unit will fit the categories of excellent or would benefit by improvement.
 - d) Those who are performing substantially above their colleagues in the unit in scholarship/research/creative work should be considered for special recognition and reward. Similarly, those NTT

teaching faculty, or tenured faculty on teaching profiles, who are performing substantially above their colleagues in the unit on teaching should be considered for special recognition and reward. On the other hand, those who are performing substantially below their colleagues in the unit in either teaching or scholarship should be identified for special attention.

- e) The categories of outstanding and not satisfactory are for outliers, by the standards of that unit. The university policy on evaluations gives this example, “The highest rating must be reserved for work meeting the highest aspirations of the school and the department, which should be calibrated to national standards through measurable indicia. (E.g. publication in the top journals in the field, of a quality and at a rate of productivity which would be outstanding even in the top [5]-[15] departments in the field.)” As noted above, we recommend that global standards be used as well as national.

5) TIMING.

- a) **To avoid undue lag, the year (or multiyear period) evaluated should, to the extent administratively practicable, be the period just before the annual salary setting. In addition, the individual’s cumulative contributions should be taken into account.**
- b) Under existing University policy, each school is allowed to decide whether to hold an in-depth evaluation every two or three years, or a streamlined evaluation every year, or a combination. Thus, a school is allowed to conduct an in-depth evaluation for one-third of its faculty every three years. If a school adopts such a practice, then the following points (i.e., points c, d, and e) should be considered.
- c) For some faculty, it is useful to hold in-depth evaluation every year. In particular, annual in-depth evaluations must be required for every tenure-track assistant professor and for every NTT faculty during her/his early years of appointment (generally, the first three years). Also, for a particular faculty member, a dean or a unit chair must be able to request an additional in-depth evaluation during any year between consecutive in-depth evaluations. Likewise, an individual faculty member must be allowed to request an additional in-depth evaluation during any year between consecutive in-depth evaluations.
- d) For a faculty member undergoing an in-depth evaluation once every three years, all activities and outcomes for the three years must be considered during evaluation, along with the individual’s cumulative contribution. Also, the evaluation scores must be used for the next three years.
- e) For every faculty member undergoing an in-depth evaluation every three years, the in-depth evaluations may be supplemented by streamlined evaluations in the two interim years. If such an approach is adopted, then during the two years between in-depth evaluations, the scores of the previous in-depth evaluations may be adjusted slightly based on the interim streamlined evaluations.

6) PROCESS. It is recommended that the annual evaluations be done by elected faculty committees, allowing local variations as provided by existing University policy.

- a) As the policy also requires, each school should have a process and timeline for the faculty member to appeal to the dean to reconsider an evaluation. A school committee should advise the dean on appeals.
- b) Faculty should submit annual activity reports (or updated CVs, instead of or in addition to reports, as the school prefers) by the school deadline, whether or not they are to be evaluated that year. This provides an opportunity for feedback from the dean or dean’s delegate on work that is appreciably above or below usual expectations.

7) SCHOLARSHIP. Evaluation of research/scholarship/creative work is of fundamental importance to the university. Committees should consider *productivity, quality, and impact*. As the University policy on evaluation says, **“The focus of the inquiry should be excellence and creativity and whether the individual has brought new insights, and has made or is likely to make a real impact.”**

- a) In the overall process of evaluation of research/scholarship/creative work, quantitative measures should be used as a starting point by triggering subsequent in-depth evaluations – especially for faculty who receive very low or very high scores – via scrutiny of additional material.
- b) The UCAPT Manual gives guidance on evaluation of scholarship that should be looked to by school merit committees (though letters from outside referees are not generally used in annual evaluation). Among other things, the UCAPT Manual says:

The University values scholars who have made important and original contributions, who have had an impact on the field, and whose work shows a clear arc of intellectual and creative development.

A candidate's scholarly or artistic work should be widely perceived among peers as outstanding and should be instrumental in advancing the academic needs of his or her unit. This can be demonstrated, for example, by the quality and selectivity of the candidate's publication venues, performance venues, and grant sources. The candidate should be recognized in the field through conferences, study sections, invited talks, shows, performances, editorial boards, and the like, as appropriate for the discipline. Citation counts, and variants such as the h-index, are crude metrics, which should be supplemented by analysis of how and why the work is cited. In artistic fields, the candidate's creative products should gain recognition equivalent to the expectations of scholarship in other disciplines. (Section 1.1)

- c) Evaluation of the research/ scholarship/ creative work of tenure-track, tenured and NTT research faculty deals with the most crucial part of their work, which receives the heaviest weight in any evaluation. **This is vital in a research university, and is essential if USC and our academic units are to achieve our ambitious goals.** Evaluation of scholarship is so important that it deserves further in-depth attention by other bodies (such as UCAPT, the Research Committee, or a special task force).
- 8) **TEACHING.** Evaluation of teaching: **The task force members believe that evaluation of teaching is particularly weak in most schools and hence paid special attention to this and made several recommendations.** The UCAPT Manual also has important suggestions on the evaluation of teaching effectiveness; excerpts are attached as Appendix V.
- a) The purpose of evaluation of teaching should span the following.
 - i) Acknowledge and reward high-quality teaching.
 - ii) Provide constructive feedback for improving teaching quality.
 - b) The task force made these recommendations related to student evaluations of teaching.
 - i) The survey used to gather student evaluation of teaching should include a question that asks students to provide a self-assessment regarding their ability to perform tasks stated in the course learning outcomes.
 - ii) If practicable, student evaluations of teaching should be conducted such that the scores can be separated into categories based on students' grades (expected or actual). However, this must be done in a manner that does not compromise students' anonymity.
 - iii) If practicable, scores of student evaluations of teaching for different types of courses – e.g., required vs. electives, small vs. medium vs. large enrollments, undergraduate vs. graduate – should be treated differently.
 - iv) **To help the individual calibrate, the scores reported to each faculty member should also include for each item the unit's average score (or the average score for that type of course) and the percentage of the enrolled students who participated in the evaluation.**
 - v) **We recommend that the annual evaluation of a faculty member's teaching should not be based on the scores of student evaluations of teaching. See paragraph (d) for how we recommend student scores should be used. The school's evaluation of teaching should instead capture matters that are more informative about teaching effectiveness: (I) measures of student learning, including long-term effect of a teacher on her/his students;**

(II) use of research-based pedagogical strategies; and (III) the results of peer observation. See the following paragraphs (c) through (f).

- c) The following information must also be used as a part of evaluation of teaching.
 - i) Pedagogical innovations, use of research-based pedagogical strategies, and efforts to bring current professional practice into the classroom.
 - ii) Curriculum development and evaluation of the syllabus or course materials the teacher has prepared.
 - iii) Textbooks written, teaching related publications and grants, and so on.
 - iv) For faculty active in research/scholarship/creative work, educating graduate students during one-on-one meetings, research group meetings, work on scholarly publications or creative work as a co-author with students, etc., should be considered as a component of evaluation of teaching.
 - d) **In the overall process of evaluation of teaching, student evaluation scores can be used as a starting point by triggering subsequent in-depth evaluations – especially for faculty who receive very low or very high scores – via scrutiny of additional material that is already available/provided or specially requested, particularly the following.**
 - i) Review of comments written by students as a part of student evaluations of teaching, particularly those identifying strong and weak points of the process of teaching.
 - ii) Review of teaching portfolios specially requested from faculty, including detailed syllabi, assignments, solutions, and samples of student work (worst, average, and best).
 - iii) In some cases, the evaluation committee may gather additional information from a randomly selected set of students or from observation of classroom teaching.
 - e) **Peer evaluation of teaching can provide constructive feedback for improving teaching, in terms of the content as well as the process of teaching.** However, it is time-consuming. Hence, we should use it in the following ways.
 - i) Use in the early stages of a faculty member's career to maximize its benefits.
 - ii) Use as part of the tenure evaluation process, as required by the UCAPT Manual.
 - iii) Use whenever a faculty member requests feedback.
 - iv) Use whenever annual evaluation of a faculty member's teaching shows need for improvement.
 - f) Exit interviews of graduating students and/or periodic focus groups of students, particularly those near the end of their programs or recent graduates or other alumni, should be carried out to gather feedback about contents and sequencing of courses. These are also likely to provide information about individual instructors, particularly the strongest and the weakest ones.
- 9) **MENTORING.** The Faculty Handbook recognizes the importance of mentoring of students and junior colleagues. Evaluation should recognize this activity as a part of teaching or a part of scholarship. Or a school could choose to evaluate mentoring as a separate category. The USC Mellon Mentoring Program states USC's commitment to mentoring.
- USC has a mission of encouraging the role of mentoring throughout our academic community and believes in fostering those faculty members who:*
- *Demonstrate long term commitments to mentoring faculty, graduate students, or undergraduate students at USC.*
 - *Offer sound counsel and valuable information to their mentees in order to advance and develop the mentee's own path to academic, research and professional success.*
 - *Sponsor students and colleagues so that they are recognized at appropriate points in their careers and are positioned for continued excellence in scholarship, research and teaching.*
 - *Generously share their time and expertise in critiquing their mentee's work.*
 - *Help to create a vital and engaged academic community in their school and at USC.*
 - *Serve as role models for their colleagues by maintaining high standards for excellence within their own discipline and at the level of the larger University.*
- 10) **SERVICE:** Routine internal and external service is expected of all faculty with diminished

expectations for tenure track assistant professors. Outliers, whether positive or negative, should impact overall evaluation.

- 11) **RELATION TO THE TENURE DECISIONS, AND OTHER EVALUATIONS.** Evaluations for tenure and promotion, or for reappointment or non-reappointment of untenured faculty members, differ from annual merit reviews in several ways and are never just a cumulative reflection of annual evaluations. It may happen that annual reviews do not mention or even consider long term contributions or problems, which properly must be considered for these important decisions. The criteria and process for tenure and tenure-track promotion are discussed in the UCAPT Manual. For tenure-track assistant professors, as the UCAPT Manual says, there is a particularly thorough review midway through the probationary period that evaluates whether the individual is making sufficient progress toward tenure. In particular, UCAPT Manual says “Schools are asked to consider the question of non-reappointment especially carefully at the mid-probationary period review, as well as in the year before the tenure decision.”

School guidelines approved by the Provost discuss criteria and process for NTT promotion. Decisions on reappointment or non-reappointment of tenure-track assistant professors, and NTT faculty, follow applicable provisions of the Faculty Handbook and properly consider all the relevant criteria similar to those considered in appointment decisions.

The appendixes to this report are (I) background for this task force, (II) the report of the previous working group, (III) a questionnaire, (IV) the university policy on evaluation of faculty, which was the product of a joint committee and extensive consideration by the Academic Senate, and (V) excerpts from the UCAPT Manual on evaluation of teaching.

APPENDIX I. BACKGROUND

During the 2011-2012 academic year, a meeting of the chairs of faculty councils with then Senate President Sandeep Gupta identified the process of annual faculty evaluation as an important topic for the Academic Senate to review and make recommendations for improvements. Subsequently, the Senate President prepared a questionnaire and gathered inputs from the chairs of faculty councils. A working group of Senate members from various schools – Nasrin Bahari Chopiuki (Ostrow), Lucinda Carver (Thornton), Jeremy Kagan (Cinematic Arts), Kevin Murphy (Marshall), John Silvester (Viterbi), and James Steele (Architecture) – met and discussed these questionnaire responses as well as their knowledge of practices in their schools and prepared the enclosed memo that captured their consensus view about annual faculty evaluations (see Appendix II).

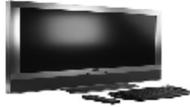
During the August 2012 Planning Meeting of the Academic Senate, a session was devoted to this topic and Senate President Patricia Riley formed this task force. The task force chair requested Rebecca Lonergan, the Chair of the Senate Committee on NTT Faculty Affairs (CNTTFA), to suggest names of CNTTFA members to join the effort. The task force included Kathy Besinque (Pharmacy), Lucinda Carver (Thornton), Jucheng Chen (Ostrow), Ginger Clark (Rossier), Chuck Gomer (Keck), Jim Gosline (Marshall), Sandeep Gupta (Viterbi; Task Force Chair), Jeremy Kagan (Cinematic Arts), Martin Levine (Law, representing the Provost's Office), Win May (Keck), Edwin McCann (Dornsife), Kevin Murphy (Marshall), Mihailo Trifunac (Viterbi), and Doni Whitsett (Social Work).

In addition to the discussions during two task force meetings, task force members completed a questionnaire prepared by the chair (see Appendix III). Subsequently, a draft report was circulated to all members and their further suggestions and questions were used to arrive at these recommendations to the Academic Senate.

At the request of the 2013-14 Senate President, Charles Gomer, this report was presented at the August 2013 Planning Meeting of the Academic Senate. Subsequently, this report was presented at the December 2013 meeting of the Academic Senate and revised to incorporate the feedback.

APPENDIX II. REPORT OF 2011-12 WORKING GROUP

THE CHANGE MAKING MEDIA LAB



<http://cmml.usc.edu>

JEREMY KAGAN
2214 Walnut Ave
Venice, CA, 90291

April 3, 2012

Hello there EB:

These are the conclusions of the task force created to examine the faculty evaluation process. Besides myself, the committee consisted of Lucinda Carver, James Steele, John Silvester, Kevin Murphy, and Nasrin Bahari Chopiuki.

A request was made by Sandeep Gupta to all the schools to answer a series of questions about the process and we received and analyzed all the responses. Some of these were detailed and complex with thorough interviews with participating faculty members and others were conclusions by the faculty councils or chairs of the councils. I then collated all the replies to coordinate them with the questions posed. These were then distributed back to the members of this committee and we shared our observations. Some schools have specific issues but across campus we did find commonality.

The following are the conclusions we unanimously came to:

- 1 - Though there are varying feelings across the campus and schools about the numerical grading of faculty, there is a very clear preference to change the process to be qualitative rather than quantitative.
- 2 - Each faculty member should have a one-on-one meeting with the chair or head of the evaluation team regarding his/her evaluation.
- 3 - Teaching performances should not be dependent on the student evaluation system that presently exists, as it is too arbitrary and subjective, and doesn't always reflect the abilities of a teacher, and often ends up being about popularity.
- 4 - The entire process should be transparent so that everyone knows exactly how and by whom they are being evaluated.

We realize that in certain schools evaluations effect salary raises, and how that will determined by a non-numerical evaluation system will need to be explored, but certainly it is possible. And we understand that student evaluations have a place in the process as they are our “consumers,” but we also are reporting that across the campus the way these are obtained now is not working and needs to be re-conceived.

Thanks

A handwritten signature in black ink, appearing to read "J. Kagan". The signature is fluid and cursive, with a long horizontal stroke extending to the right from the end of the name.

Jeremy Kagan

Film and Television Director, Writer, Producer
Founder of the Change Making Media Lab
Tenured Full Professor, School of Cinematic Arts, USC
Chairperson of Special Projects for the DGA

APPENDIX III. QUESTIONNAIRE COMPLETED BY TASK FORCE MEMBERS DURING ITS FIRST MEETING

Faculty Evaluation Task Force (2013) of the Academic Senate

Worksheet

Kick-off meeting: February 19, 2013

- 1) Inventory
 - a) Types of teaching conducted in your units (classroom teaching, teaching in labs or in the field, bedside teaching, etc.)
 - b) Types of evaluations conducted in your unit; their strengths and weaknesses
 - c) How results of evaluations are used

- 2) Ideas
 - a) Objectives of evaluations

 - b) Brainstorming regarding types of evaluations

 - c) Types of evaluations which we recommend
 - i) Types which we recommend for cross-pollination from some units to others

 - ii) Types which we recommend for pilot-testing

APPENDIX IV. UNIVERSITY POLICY ON EVALUATION OF FACULTY

[Emphasis, numbering and some subtitles added]

[1. School Plan]

Each school's dean will work with his or her faculty (through the elected faculty council or other committee as appropriate) to revise or create a plan for the faculty merit review system, which the dean will submit for approval by the Provost's office. The Provost may from time to time change the review plan or these guidelines, or authorize exceptions to them, as he deems appropriate.

[2.] Purposes

The central goal of the evaluation process is to encourage and reward outstanding performance by faculty designed to place the department and USC on the very top rung of American universities. The process should emphasize guidance and assistance, and make use of development programs sponsored by the Center for Excellence in Teaching and the Committee on Academic Leadership Development. It must safeguard academic freedom and be consistent with University policies. **Reviews should look to the future as well as the past, as an individual's focus may evolve over time. Everyone can benefit from suggestions for improvement, periodic taking stock of accomplishments, and reflection on current and future directions in the light of departmental challenges.**

[3.] Faculty committee

In each school, or department, or division, or other appropriate unit, there will be a faculty academic consultative committee (by whatever name) **which will be responsible for faculty merit review,** and may have other designated functions which further the unit's academic goals. We have experience with widely differing practices for selecting committees to consult on important academic matters. In some schools, the tenured and tenure track faculty have annually elected committees. Other schools have different practices. A school's plan may provide for members appointed by the dean, and may include faculty external to the unit. Each school's plan will detail how its committees will be selected. Committees should consist of faculty (preferably tenured) who are respected by their colleagues as productive scholars as well as fine teachers. The committees should make the most effective use of the limited time of these busy individuals.

[4.] Faculty responsibilities

The school's faculty review plan will describe the method and criteria used to evaluate faculty performance, along with usual and alternative expectations. [...] Baseline faculty responsibilities are set out in the faculty contract and the Faculty Handbook, § 3-2 (C). Faculty are expected to teach courses and perform service assigned to them by the department chair, after consultation with department faculty, on the basis of departmental, school and University needs. The most common profile will be 35-45% each for teaching and research, and 5-15% for service and other duties appropriate to the school's mission, though probationary faculty should have minimal service responsibilities and a higher research expectation. There will be variation among schools and departments in the quantity of teaching required to meet the usual teaching responsibilities, and the definition of the research expectation, which in many departments includes the ongoing submission of research proposals of appropriate magnitude which earn high ratings in national peer review processes. **Individual expectations and goals are established in annual meetings of the faculty member and the department chair or dean, leading to an activity profile allocating the individual's efforts for the year ahead, consistent with the needs of the**

department, school, and University. If the individual has been performing more or less teaching, research, or service than is typical in the school, the chair, after consultation, may adjust the profile so that the total effort amounts to full-time service. The possibility of variation in the profile provides a concrete recognition that faculty often can better serve the university and themselves if flexibility in focus is allowed over the course of a career. The performance of the faculty member is reviewed in accord with the individual profile. Thus, those who carry heavier than usual teaching responsibilities and are highly effective teachers will be recognized for their contribution, while those with a larger than usual research allocation will be recognized if they produce scholarship of a quality and volume appropriate to that effort.

[5.] Methods of evaluating teaching and scholarship

Every faculty member will submit an annual report, in a format determined by the school, summarizing activities and accomplishments in teaching, scholarship and service; proposing an activity profile consistent with the needs and goals of the department, school and University; discussing future plans and goals; and including a current CV and complete list of publications. The faculty consultative committee will take into account each individual faculty member's annual reports since the last review, as well as overall achievements and stature in the field. Departments may use different forms of evaluation, and different ways of communicating the evaluation to the faculty member. The committee will take special care to evaluate work which is inter-disciplinary, furthers one of the strategic initiatives or critical pathways of the University's Strategic Plan, or involves international activities. The method of reviewing scholarship and publications should be made clear in the school's review plan.

[5.1 Evaluating research]

The focus of the inquiry should be excellence and creativity and whether the individual has brought new insights, and has made or is likely to make a real impact. In some fields, a sine qua non for satisfactory research achievement is the ongoing submission of research proposals of appropriate magnitude which earn high ratings in national peer review processes.

[5.2 Evaluating teaching]

The method of evaluating the individual's teaching should also be clearly stated in the school review plan. A program of regular collegial classroom observations is preferable, annually for probationary faculty and periodically for all other faculty, that includes discussions with the instructor before and after each visit, forward-looking advice, and a written record of the observations. The chair will consult with the faculty member on selection of observers. Student surveys should seek a 100% participation rate (e.g. collecting evaluation forms before distributing exam questions) and be analyzed in comparison to departmental and school baselines. Teaching includes preparing course syllabi and new courses, and instruction outside the classroom, e.g., mentoring, counseling, and thesis supervision of all types.

[6.] Rating and reports.

We have experience with widely differing evaluation practices: some departments rate accomplishments on a scale; some divide faculty into equal-sized groups; some use an evaluation formula, assigning a different number of points for different activities; some use a narrative. At least one school uses mutual rating of all faculty by all faculty, a process whose results should in the future be reviewed by the faculty consultative committee. **Each school may propose the methods it thinks best, but all processes must meet the following standards:**

- **All assessment must combine qualitative assessment with the use and report of hard data.**
- **The scale of evaluations must have at least five levels of performance, and must use additional levels if otherwise more than half of a unit's members would be given the same rating. Even if all members of a department are outstanding, it is possible to recognize and reward degrees of excellence.**
- **Each department's evaluations must yield a spectrum of distribution. If more than half of a unit's members are given the same rating, or if a narrative format obscures the ratings and their distribution along a spectrum, the dean may not accept the report and will give the committee the opportunity to re-do it making use of additional categories if necessary.**
- **The highest rating must be reserved for work meeting the highest aspirations of the school and the department, which should be calibrated to national standards through measurable indicia. (E.g., publication in the top journals in the field, of a quality and at a rate of productivity which would be outstanding even in the top [5]-[15] departments in the field. A department may devise other ways to state the teaching and scholarly standards to which it aspires.) In comparing evaluations, the dean will have in mind that some departments have higher aspirations than others.**

[7.] Procedures and procedural fairness.

Individuals may see their evaluations in writing (at their request or if the school's plan so provides routinely), will discuss them with the chair or dean, and may respond in writing. If the evaluation is provided in writing, the individual will sign a copy. **The school's plan will provide information on when and how appeals may be filed. If the individual appeals or the dean otherwise determines it to be justified, the chair, the dean, or both, will review evaluations and may revise them. The dean has the ultimate responsibility to determine faculty merit evaluation,** because he or she is responsible under the University bylaws for the proper conduct of the school's educational program and has the duty to look after the academic welfare of the students of the school. Evaluations seen by the individual, and responses, will be placed in the individual's personnel file.

[8.] Timing.

Non-tenure-track full-time faculty will be reviewed at least triennially. The school's plan will provide either annual or triennial reviews for tenured faculty, but annual reviews will be conducted at the request of either the individual or the dean. As mentioned above, reviews will take into account each individual faculty member's annual reports since the last review, as well as overall achievements and stature in the field. Tenure-track (probationary) faculty will be reviewed annually and will receive a full review and report midway in the probationary period. Chairs and senior colleagues should keep in mind the importance of providing probationary faculty with ongoing mentoring and annual constructive feedback on progress toward tenure.

[9] Outcomes of evaluation.

Evaluation may reveal opportunities for collaboration; the need for research leaves, financial or other support from the department, or a period of reduced teaching load or service responsibilities; or highlight changes in the department's needs or even its definition. Merit raises start with peer merit review, following these evaluation guidelines, unless the Provost has approved an exception. In determining merit raises, as a first approximation the dean may use a department chair's recommendation or a formula that links a given merit rating to a given raise percentage or amount. After this first step, the Provost requires each dean to consider carefully what adjustments are called for in those figures to make sure that **the relative salary levels reflect the ordering**

of the school's faculty by performance and stature, and to take account of equity, the competitive situation, promotions in rank, and the school's budget situation. Subject to these principles and to the school's budget situation, the dean should attempt to provide for all faculty (other than those whose work is not satisfactory) some salary increase, with meaningful differences between the highest and lowest increases, based on merit and achievements. **The final salary recommendation is the personal responsibility of the dean and a vital instrument of his or her academic leadership. Authority to approve or revise the recommended salary lies with the Provost.**

The faculty consultative committee may identify any individual whose work is demonstrably not satisfactory, subject to the dean's review after considering the individual's response. A faculty member so identified must meet with the dean to formulate an individualized development plan, must carry out the plan, and will be reevaluated annually. Four consecutive evaluations by the faculty consultative committee as not satisfactory would strongly suggest serious neglect of duty or incompetence, constituting grounds for dismissal for cause. Whether or not there have been such evaluations, the dean at all times retains the responsibility described in the Faculty Handbook under the criteria and process set out there, to decide to commence the five-step process potentially leading to termination of a tenured or multi-year appointment, as well as the responsibility to decide on re-appointment or non-reappointment of faculty on term contracts.

APPENDIX V. EXCERPTS FROM 2013 UCAPT MANUAL

7.9(b) *Evidence of Teaching Effectiveness ...*

UCAPT requests:

- Course syllabi provided to students for a few courses that the candidate considers most indicative of his or her approach to teaching.
- Summaries of student evaluations for all of the candidate's courses, as well as complete student evaluations for the candidate's most recent courses (approximately the last two years). All individual student evaluations should be readily available upon request. If summaries of evaluations are presented based on USC's standard questionnaire, UCAPT suggests that the candidate's average scores on items 3, 4, and 5 for individual courses should be compared to the distribution of departmental scores for comparable courses or faculty.
- Classroom observations by faculty colleagues close to the time of the candidate's consideration for promotion. These observations should comment on strengths and weaknesses in the candidate's presentation of course material and in classroom interactions with students. These reviews are even more valuable if they also include classroom visitations over a period of time. (Some schools have each member of a committee visit at least two classes taught by the candidate; these individuals then submit written evaluations for inclusion in the promotion dossier or mid-year review.)

UCAPT also values the following additional kinds of evidence:

- Demonstration that the candidate has applied teaching strategies whose effectiveness has been validated through research. The research may refer to the candidate's own teaching or be drawn from publications about teaching effectiveness. The research may rely on quantitative, ethnographic, or other methodologies that the candidate's field of scholarship values.
- Other evidence that the candidate's teaching is effective. Examples include: (1) protocols through which students demonstrate their mastery in a public forum; (2) the use and assessment of information technology or multi-media that promote student engagement and learning or that adapt course materials to students' needs; (3) the accommodation of different learning styles among students; (4) innovations to customary practices (dependence on lectures, standard semester length, constraints of disciplinary boundaries, etc.) aimed at increasing a course's benefits to students; and (5) the use and assessment of work produced by students in service-oriented or experiential settings outside classroom walls.

The following evidence may also be used if the department finds it helpful:

Letters from a sample of former students who have been asked to evaluate the candidate's teaching and how it affected them. These students may not be suggested nor solicited by the candidate. The department or committee chair or dean organizes the contacting of students whose opinions are solicited. Please explain the selection method and enclose the solicitation letter. A candidate's teaching assignments will suggest the distribution between undergraduates and graduate students contributing to this section.