



## FACULTY PERFORMANCE APPRAISAL (RCTC PROCEDURE 4.9.1)

System Policy 4.9

### FACULTY PERFORMANCE APPRAISALS:

**Part 1. Introduction:** The Minnesota State Colleges and University System requires that all employees be evaluated on an annual basis. Rochester Community and Technical College is committed to continuous improvement and believes a performance appraisal process will help ensure high quality instruction and services for students.

Rochester Community and Technical College encourages faculty to improve their academic backgrounds and job skills. Faculty utilize professional development and institutional funds to participate in professional meetings and conferences, in order to meet changing demands over the lifetime career of each faculty member. It is the philosophy of Rochester Community and Technical College that faculty strive for excellence and the faculty performance appraisal process captures the work of faculty.

**Part 2. Purpose:** To **establish a process for the evaluation of professional performance** that complies with Minnesota State Board Policy 4.9, Minnesota State Statutes 43A.20, collective bargaining agreements, and Higher Learning Commission (HLC) Criteria for Accreditation 3C, Part 3: Faculty are evaluated regularly in accordance with established institutional policies and procedures. The processes are designed to assist the employee with professional development, document the quality and effectiveness of their work, complete the probationary process, and support individuals in becoming outstanding faculty. The College recognizes that because the professional tasks of faculty members are very diverse and complex, the performance appraisal process offers options to develop an individualized plan.

#### **Part 3: Assumptions:**

Rochester Community and Technical College's commitment to continuous improvement has as its foundation ongoing personal and professional development. Multiple approaches to improving teaching and learning are valued. Ultimately, a process that allows faculty members to achieve their individual and institutional goals within the framework of their job description will benefit the students, learning, and the college. The College acknowledges the following:

- Faculty are qualified in their respective fields.
- The procedure will not restrict academic rights.
- Faculty desire to perform at a high level.
- Faculty consider successful student learning a priority.
- Feedback from students provides faculty with insights on how their students perceive the course and on how they are learning.
- Faculty value the opportunity for self-reflection and self-directed professional development.
- Individual faculty members are qualified to develop professional goals for improvement and identify methods to achieve those goals.
- It is the institution's responsibility to assist faculty by providing financial support for professional development.

#### **Part 4. Expectations**

- Faculty and administrators work cooperatively to achieve a meaningful and timely review.
- Peers may participate in the process.
- Students participate in the process.
- The process is economically feasible.
- The process is regularly assessed and modified for future improvement.
- The process supports faculty efforts for self-improvement.

**Part 5. Appraisal Procedures:** The performance appraisal procedure while similar in purpose will include slightly different components based on faculty classification. The performance appraisal is a three-year cycle that includes annual electronic

submission of required documentation with a comprehensive review in year three. Administration will be responsible for notifying the faculty member of the performance appraisal process and timeline by September 15<sup>th</sup> for each academic year.

### **Faculty Performance Appraisal (Unlimited, Adjunct, and Probationary Faculty)**

The supervising administrator is responsible for carrying out the performance appraisal. Faculty will submit the Annual Performance Appraisal Report and required components to their assigned administrator.

Items that constitute the Annual Performance Appraisal process are listed and described below.

#### **1. Syllabus Review - Required**

The appraiser will review the course syllabus to assess compliance with RCTC's Syllabus Required Requirements.

#### **2. Student Surveys - Required**

All faculty will collect student surveys from one class per academic year; however, faculty may choose to solicit student feedback more often for their own purposes. Student response will be anonymous. Survey results will be shared electronically with faculty after the completion of the course. This data will be reviewed in the Comprehensive Faculty Performance Appraisal Report of the faculty performance appraisal. Student comments are not used by the supervising administrator for the performance appraisal process unless the faculty member elects to do so.

#### **3. Classroom/Online Observation – Required for Probationary, Adjunct and Part-Time Faculty**

Class observations provide valuable information regarding teaching/learning styles, faculty/student interactions and are helpful in assessing job performance. If class observations are to be used the faculty member may suggest more than one class or more than one visit per class as appropriate. Online observation will be limited to a specified unit/module equivalent to one class period of a face-to-face course. This access will be determined by the faculty member in consultation with their supervising administrator. For full-time faculty members it is an option to have peers conduct classroom observations and provide their feedback and this can be used as one of their Toolbox items (see below).

The appraiser will arrange a mutually acceptable time(s) for the observation(s). The appraiser will have access to the materials being used during the classroom visit.

#### **4. Toolbox – Required for Unlimited Full and Part Time Faculty**

Faculty will identify Toolbox category that establish a multi-dimensional assessment. The Toolbox is constructed to provide flexibility for the faculty to showcase their many unique contributions and combinations of teaching/administrative/service to the college/community. The list below is intended to provide suggestions, and each may be modified to fit a faculty's unique interests. A faculty member must complete one Toolbox category each year and identify it on the Annual Performance Appraisal Report. Faculty will provide brief summaries of two toolbox activities for the comprehensive appraisal. You can repeat a toolbox category more than once in a three-year cycle as long as each use is a different type of activity.

- **Observation**

Reporting should include a summary and reflection of the discussion between the parties. Observation may include a peer or external observation of the faculty member's course and/or a faculty member observing a peer's course. Arrangements must be agreed upon between both parties.

- **External Evaluation:**

This is an opportunity for faculty with frequent and significant contacts outside of RCTC to garner an external perspective of the faculty member's performance. Such evaluations will be recorded in a format agreeable to the evaluator and the faculty member.

- **Conference/Webinar/Workshop**

Summarize and reflect on what was learned from attending a conference, webinar, or workshop.

- **Document Collection/Portfolio**

Discuss and reflect on projects or creative works that you completed. Course redesigns, FOT projects, sabbatical reports, or accreditation self-study reports can be used for this category.

- **Coursework**  
Summarize and reflect on learning from coursework.
  - **Professional Contributions**  
Summarize and reflect on a professional contribution such as completing an externship, serving on a regional/state/national committee, active participation in a professional society, etc.
  - **Survey**  
Faculty design a survey with at least 10 questions. Faculty describe the survey, summarize, and reflect on the results. This survey cannot replace the required student surveys.
  - **Student Comments**  
Unedited student comments from a set or sets of student surveys should be included with a summary and reflection on those comments.
  - **Other**  
Provides an opportunity to summarize and reflect on an item that is not listed above. You may check with your supervisor to confirm appropriate items for this category.
5. **Assessment Activity - Required.**  
Faculty will provide a brief summary of their annual assessment activity on the Annual Performance Appraisal Report.
6. **Contribution to College - Required.**  
Faculty are expected to provide service to the college community (including but not limited to those listed below) and to report a minimum of one activity annually on the Annual Performance Appraisal Report.
- Participation in course and curriculum development and/or revision.
  - Development of instructional materials.
  - Application of new technology to discipline.
  - Participation/leadership in college committees.
  - Participation in student advising (where applicable).
  - Participation/leadership in other college sponsored activities.
  - Participation/leadership on the Minnesota State college and university or MSCF committees or taskforces.
  - Participation on Boards.
  - Participation in state or national professional committees.
  - Involvement in other community activities.

### **Annual Submission and Reporting Requirements and Timeline by Faculty Classification.**

#### **Unlimited Full Time / Unlimited Part Time Faculty Appraisal Process**

Unlimited full time/unlimited part time faculty are evaluated in a three-year cycle. During the first two years faculty submit the Annual Performance Appraisal Report-UFT/UPT. In the third-year faculty will complete the Annual Performance Appraisal Report-UFT/UPT as well as completing a Comprehensive Faculty Appraisal meeting with the supervising administrator.

1. Submit Annual Performance Appraisal Report-UFT/UPT to your supervising administrator electronically. The following are included on this report.
  - a. Identify Toolbox item completed for that academic year.
  - b. Short description of Assessment activity for that academic year.
  - c. Identify a contribution to college for that academic year.
2. Complete a set of student surveys (minimum of one class per academic year) and check the completed box on the Annual Performance Appraisal Report.
3. Electronically submit one syllabus from a class taught during that academic year and check the completed box on the Annual Performance Appraisal Report.

To be submitted by May of Year One.

Professional Development Plan – Review and Update  
This is separate from the Appraisal Process but follows the same three-year cycle.

#### Year 2 of 3

1. Submit Annual Performance Appraisal Report-UFT/UPT to your supervising administrator electronically. The following are included on this report.
  - a. Identify Toolbox item completed for that academic year.
  - b. Short description of Assessment activity for that academic year.
  - c. Identify a contribution to college for that academic year.
2. Complete a set of student surveys (minimum of one class per academic year) and check the completed box on the Annual Performance Appraisal Report.
3. Electronically submit one syllabus from a class taught during that academic year and check the completed box on the Annual Performance Appraisal Report.

To be submitted by May of Year Two.

Professional Development Plan – Review and Update  
This is separate from the Appraisal Process but follows the same three-year cycle.

Year 3 of 3

1. Faculty will be notified by email by September 15<sup>th</sup> outlining the process for year three.
2. Submit Annual Performance Appraisal Report-UFT/UPT to your supervising administrator electronically by April of year three. The following are included on this report.
  - a. Identify Toolbox item completed for that academic year.
  - b. Short description of Assessment activity for that academic year.
  - c. Identify a contribution to college for that academic year.
3. Complete a set of student surveys (minimum of one class per academic year) and check the completed box on the Annual Performance Appraisal Report.
4. Electronically submit one syllabus from a class taught during that academic year and check the completed box on the Annual Performance Appraisal Report.
5. Submit the summary reports for two of the three toolbox items.
6. The supervising administrator will complete the Comprehensive Faculty Performance Appraisal Report and review with faculty during the summative review meeting.

Electronically submit your Professional Development Plan – Reviewed with supervising administrator.  
This is separate from the Appraisal Process but follows the same three-year cycle.

**Summative Review Documents**

1. Three Annual Performance Appraisal Reports-UFT/UPT that were submitted.
2. Three syllabi that were submitted (One from each of the last three years).
3. Two Toolbox Summaries submitted electronically.
4. Three student survey summary reports submitted (One from each of the last three years).
5. Professional Development Plan submitted electronically. (Not part of Appraisal Process; but will be reviewed with supervising administrator as part of its own three-year cycle at the same time.)

**Probationary Faculty Appraisal Process**

The probationary faculty appraisal process is completed over six semesters working closely with the supervising administrator. Probationary faculty will complete the Comprehensive Faculty Appraisal Report with their supervising administrator during semesters two, four and six of the probationary periods.

Semesters 2, 4 and 6

1. Meet with your supervising administrator in the first semester of hire to review the performance appraisal process and outline the timeline for each year of the three-year probationary period.
2. Submit electronically prior to scheduled summative review.
  - a. One syllabus from a class taught during the academic year.
  - b. Completed Teaching and Learning Competency courses required by Minnesota State.
  - c. Short description of your assessment activity for that academic year.
3. The supervising administrator will schedule and complete classroom observation. The supervising administrator will complete the Class Observation Form during the observation.
4. Complete a set of student surveys (minimum of one class per academic year) in their first, third and fifth semester. This will ensure data can be scored and returned prior to summative review in their second, fourth and sixth semester.
5. Attend summative review meeting where the supervising administrator will share the Comprehensive Faculty Performance Appraisal Report

Year 3: Create a Professional Development Plan – with the guidance of your supervising administrator.  
This is separate from the Appraisal Process but follows the same three-year cycle as Unlimited Fulltime Faculty.

**Summative Review Documents**

1. One syllabus submitted electronically.
2. Confirmation of completed Minnesota State coursework.
3. One Assessment summary submitted if applicable.
4. One student survey summary report submitted.
5. Semester Six: A blank copy of the Annual Performance Appraisal Report and Toolbox List as it will be utilized over the next three-year evaluation cycle.

**Adjunct and Temporary Part Time Faculty Appraisal Process**

Adjunct/Temporary Part Time faculty will complete the adjunct and temporary part time faculty appraisal process during the first six semesters of teaching. The Annual Performance Appraisal Report-Adjunct/TPT will be completed semesters one, two, four and six. Then after six semesters of teaching, part-time and adjunct faculty will be evaluated in the same manner as unlimited faculty (UFT/UPT).

**Semesters 1, 2, 4 and 6**

1. Review the faculty performance appraisal process and outline the timeline for submitting required materials at the time of hire with your supervising administrator.
2. Submitted electronically prior to scheduled summative review:
  - a. One syllabus from a class taught during year.
  - b. Short description of Assessment activity for year.
3. Schedule and complete a classroom observation by the supervising administrator. The supervising administrator will complete Classroom/Online Observation form during this observation.
4. Complete a set of student surveys (minimum of one class per academic year) in the first semester. This will ensure data can be scored and returned prior to summative review in following semester.
5. Review the Comprehensive Performance Appraisal Report prepared by your supervising administrator during your summative review.
6. Undergo a summative review on an annual basis for three years and then follow the Unlimited Full Time / Part Time Faculty Appraisal Process as outlined in this document, with the following modifications.
  - a. Adjunct and Temporary Part Time Faculty are not required to complete a Professional Development Plan.
  - b. Adjunct and Temporary Part Time Faculty are not required to complete a contribution to the college as noted on the Annual Performance Appraisal Report.

**Summative Review Documents**

1. One syllabus submitted electronically.
2. One Assessment summary submitted electronically.
3. One student survey summary report submitted electronically.

**Counselor Faculty Performance Appraisal**

Procedures and techniques used in the performance appraisal of counselors shall conform to the ethical guidelines and standards for counselors as set by a recognized professional association such as the American Association for Counseling and Development (AACD). The appraiser shall be knowledgeable about the guidelines and standards. Appraisers will use the Counselor Annual Performance Appraisal Report. The summative review will utilize a modified Comprehensive Faculty Performance Appraisal Report as agreed upon by the counselor and appraiser.

**Library Faculty Performance Appraisal**

The appraiser will evaluate all library faculty using student and staff questionnaires, conferences, observations, and examination of materials. Appraisers will use the Librarian Annual Performance Appraisal Report. The summative review will utilize a modified Comprehensive Faculty Performance Appraisal Report as agreed upon by the librarian and appraiser.

**Part 6. The Performance Appraisal Reports:** The faculty member will submit an Annual Performance Appraisal Report. Upon completion of the Comprehensive Performance Appraisal Report, the appraiser and faculty member will meet to review and discuss the results. The appraiser and faculty member will discuss the components of the report including strengths and opportunities for improvement. If agreed upon, the final Comprehensive Appraisal Report will be signed by the faculty member and the appraiser and placed in the faculty's personnel file. The faculty member will leave with a copy of the appraiser's summary report and receive a copy of the signed report.

**Part 7. Appeal Process:** In the event that the faculty member rejects the appraiser's summary report as being detrimental or without basis, the summary report will be appealed to the vice president of academic affairs. A faculty member has the right to prepare an alternative written summary to the original appraisal. This response will be attached to the original appraisal report and placed in the faculty's personnel file.

**Part 8. Off-Cycle Appraisal Procedures:** Upon the written recommendation of the supervising administrator, the vice president of academic affairs can approve in writing an off-cycle appraisal (including methods of appraisal) of any faculty about whom there is ample concern for teaching practices. All recommendations and approval must be obtained and reviewed with the faculty member, prior to the initiation of an off-cycle appraisal.

**Part 9. Review/Modification of Performance Appraisal Process:** Modifications to the faculty performance appraisal procedures will be made through the Faculty Shared Governance processes. Faculty or administration may request review of the procedures at the end of any year; however, there will be an automatic review of the procedures at the conclusion of every third year. An ad hoc joint faculty and administration committee will conduct this review with members appointed by their respective constituencies.

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