

1. GENERAL FEATURES OF THE FACULTY EVALUATION SYSTEM

- 1.01 The Faculty Evaluation System (FES) is established to provide an equitable, orderly and comprehensive approach to the evaluation of faculty performance at Sam Houston State University (SHSU). The FES is used for purposes of (1) tenure and promotion in academic rank, (2) rewarding meritorious performance through salary adjustments, (3) contract review for probationary faculty members, (4) review of tenured faculty, and (5) decisions concerning future contracts for tenured and tenure-track faculty.
- 1.02 The FES recognizes that faculty members' interests, strengths, and skills evolve throughout their careers (see Academic Policy Statement 790601, *Faculty Instructional Workload*). SHSU is best served by striving for a system that has enough flexibility to reward meritorious performance with enough structure to promote fairness and consistency. SHSU's FES process evaluates faculty performance in three (3) categories (see Section 1.03). The FES provides a table of weights (Table I) for both the normative nine-credit-hours-per-semester- and twelve-credit-hours-per-semester-workloads (see Academic Policy Statement 790601, *Faculty Instructional Workload*) and identifies the respective weights used in creating the final summary FES score (see Section 6).
- 1.03 The three (3) categories recognized for purposes of evaluation are: teaching effectiveness, scholarly and/or creative accomplishments, and service. Each category is assigned a weight as specified in Table I, "Weights for Faculty Evaluation," attached to this policy statement. Teaching effectiveness is comprised of two (2) inputs, the chair's/department's rating of teaching effectiveness (FES 1) and the students' rating of teaching effectiveness (FES 2). The weights applied to the FES 1 and FES 2 scores are the same to ensure that both the chair's/department's and students' ratings each contribute 50% of the overall measure of teaching effectiveness. For faculty in the Newton Gresham Library, FES 1 and FES 2 shall be replaced by effectiveness in librarianship. The individual departments (the tenure-granting units) and respective colleges are responsible for the determination and development of specific performance standards to be evaluated in FES 1, FES 3, and FES 4 (as well as FES 2 for the Newton Gresham Library). SHSU values continuous improvement efforts and encourages the incorporation of professional development standards within FES 1, FES 3, and FES 4. The categories used in the Faculty Evaluation System are similar to those identified in Academic Policy Statement 800722, *Merit Increases in Salary*, and Academic Policy Statement 900417, *Faculty Reappointment, Tenure, and Promotion of Tenured and Tenure-Track Faculty*.

Faculty members at the department level set the specific performance standards for their given department or program. The FES performance standards for each department or unit are subject to the approval of the chair and dean, they are retained on file in the Office of the Provost and Senior Vice President for Academic Affairs (hereafter Provost), and are made available to all faculty. The FES performance standards for each department/unit shall be regularly reviewed at least every five (5) years.

1.04 Provisions are made in the Faculty Evaluation System for the following:

- a. A rating of teaching effectiveness shall be accomplished by combining the chair's/department's evaluation of faculty teaching effectiveness and the students' evaluation of classroom teaching effectiveness. The chair's/department's evaluation shall consider the general guidelines in Section 2. The students' evaluation shall follow the guidelines in Section 3. Faculty in the Newton Gresham Library shall be evaluated on their effectiveness in librarianship in lieu of teaching effectiveness.
- b. A report of scholarly and/or creative accomplishments (FES 3) shall be completed by each faculty member as a means of indicating said faculty member's scholarly and/or creative accomplishments. Each faculty member must submit the appropriate supporting documentation as required in the respective department's FES policy to verify the scholarly and/or creative accomplishments (see Section 4.)
- c. A report of service activities (FES 4) shall be completed by each member of the faculty as a means of indicating said faculty member's service. All faculty members must submit the appropriate supporting documentation as required in the respective department's FES policy to verify their service activities (see Section 5).
- d. A summary rating of each faculty member based upon FES 1 through FES 4 shall be completed by using the FES Summary Report (Attachment 1). The FES Summary Report shall be completed by the department chair and shall be signed by both the chair (or administrative equivalent) and the faculty member. A faculty member who fails to sign the FES Summary Report shall be ineligible for any merit increases based on productivity in the time period covered by the unsigned FES Summary Report. Faculty members who believe the FES Summary Report does not accurately reflect their productivity may appeal their summary rating as described in Section 7.01.

1.05 The FES Summary Report is to reflect faculty activity for the twelve-month period beginning January 1 of each calendar year and ending December 31 of the same calendar year. Should faculty members change their workload during this twelve-month period,

they shall negotiate with their academic dean and chair (or administrative equivalents) to determine the Table I weights to be used.

- 1.06 Faculty members on professional leave (e.g., developmental leave) shall complete and be evaluated in the annual FES review. Faculty members on a personal leave of absence (including Family and Medical Leave) shall not complete or be evaluated in the annual FES review unless negotiated otherwise with the Provost through the chair and dean of the respective tenure unit.
 - 1.07 Should a faculty member receive an administrative assignment that alters the faculty member's instructional workload (see APS 790601, *Faculty Instructional Workload*), the faculty member's chair shall complete an FES X form with input from the administrative assignment supervisor. Expectations for the administrative assignment shall be established between the faculty member and the supervisor prior to the start of the appointment and be used for the basis of the FES X assessment. For the FES Summary Report portion of the evaluation, the weights for FES 1, 2, 3, and 4 shall not be adjusted, and the faculty member shall receive an FES 5-based merit recommendation as if said faculty member does not have a separate administrative assignment. In a like manner, the faculty member's performance of the administrative responsibility shall be evaluated, and a merit recommendation shall be made as if the administrative assignment is the faculty member's sole responsibility. The final merit recommendation (FES X) shall be the weighted average of the two (2) merit recommendations. The weight for the administrative assignment is the same as the reduction in instructional workload, and the weight for FES 5 is one (1) minus the administrative assignment weight.
 - 1.08 The timelines for the completion of the forms are established in APS 800722, *Merit Increases in Salary*.
 - 1.09 Evaluation for merit pay purposes shall be based on data covering only the specific time period.
2. CHAIR'S/DEPARTMENT'S EVALUATION OF FACULTY TEACHING EFFECTIVENESS
 - 2.01 The faculty comprising a department may decide to use a faculty committee consisting of representation from all tenured/tenure-track faculty ranks to assist the chair in evaluating faculty teaching effectiveness (FES 1) or effectiveness in librarianship for the Newton Gresham Library faculty. The chair's/department's evaluation of teaching shall be based on activities defined as or related to teaching and shall not be based on or

influenced by scores from student evaluations. The standards identified in FES 1 shall be approved by the respective chair and dean and filed with the Provost's Office. The performance standards for FES 1 shall be reviewed, revised, and approved at least every five (5) years.

2.02 Faculty from each department shall define their own performance standards for the chair's/department's rating of teaching effectiveness, and the FES 1 Worksheet (see Attachment 2) may be used to facilitate the process. A variety of inputs are necessary to give the evaluation maximum validity. Items that may be considered by the chairs and departments include, but are not limited to:

- Classroom and laboratory instruction
- Development of new courses, laboratories, and teaching methods
- Publication of and/or development of electronic instructional materials
- Supervision of undergraduate and graduate students
- Supervision of student artistic/creative performances in a public setting
- Teaching professionalism:
 - Holds office hours as scheduled and conferences with students as necessary and provides academic and/or professional counseling
 - Submits grades, reports, etc., by established deadlines
 - Maintains high ethical standards of honesty and objectivity
 - Adheres to university/college/department/school timelines, policies, and procedures
 - Attempts to evaluate and improve their teaching
 - Contributes to course and/or program assessments
 - Engages in professional development aimed at improving teaching effectiveness
 - Uses equitable grading practices

- Revises course content in accordance with developments in the field
- Utilizes supporting educational materials (e.g., handouts, electronic tutorials)
- Adheres to course syllabi
- Uses technology effectively
- Uses innovative pedagogy
- Provides timely and clear feedback to students on assignments, tests, and academic progress
- Works with Services for Students with Disabilities to provide reasonable accommodations for students with disabilities
- Utilizes high-impact teaching practices

This list is not comprehensive. It is only a list of recommendations and is meant to serve as a guide to the faculty and chairs when developing department-specific performance standards.

- 2.03 FES 1 reflects the chair's/department's rating of teaching effectiveness for each faculty member or effectiveness in librarianship for Newton Gresham Library faculty. The FES 1 worksheet or a similar tool will be used by the chair to document the chair's/department's rating of teaching effectiveness on a one-to-five-point continuous scale as defined in departmental standards (with a minimum precision to the whole number from 1 to 5, and a maximum precision to the nearest hundredth; FES 1= 0.01).

3. STUDENTS' EVALUATION OF CLASSROOM TEACHING EFFECTIVENESS

- 3.01 Student responses on the instrument selected by SHSU for students to evaluate teaching effectiveness shall be used for administrative decisions (e.g., tenure, promotion, and merit pay) and for development purposes. The "Summary Evaluation Score" shall be used as the FES 2 score. For Newton Gresham Library faculty, FES 2 shall be an evaluation of effectiveness in librarianship. Departmental guidelines shall specify which Summary Evaluation Score (e.g., Raw, Adjusted, etc.) shall be recorded as FES 2.

3.02 Evaluations shall be conducted anonymously online.

4. REPORT ON SCHOLARLY AND/OR CREATIVE ACCOMPLISHMENTS

4.01 This report shall be completed by each faculty member and submitted to the faculty member's department chair as input for the FES 3 score. The final FES 3 score shall be on a one-to-five-point continuous scale (with a minimum precision to the whole number from 1 to 5, and a maximum precision to the nearest hundredth; FES 3= 0.01).

4.02 For most disciplines, this category consists of research and publication. For some disciplines, however, it may include other forms of creative works and activities, such as instructional technology; poetry; painting; musical, dance, or theatrical performance or composition; and sculpture. Scholarly activities shall be interpreted to include, but not be limited to, production of basic and applied research, writing and publications, scholarly grant development, scholarly grant acquisition, presentations to professional and learned societies, and professional development directly related to scholarly and/or creative accomplishments. Subject to the approval of the appropriate academic dean, the department chair may add additional subcategories or activities in accordance with department/school/college expectations.

4.03 Different disciplines and individuals define creative accomplishments in different ways, engage in different types of artistic endeavors, and evaluate such endeavors differently. As such, the criteria for evaluation may be defined here in only the most general terms. The departments and respective colleges are responsible for the determination and development of specific performance standards to be evaluated in FES 3. Faculty members at the department level shall identify specific performance standards that may be unique to a given department or program. These standards shall be approved by the respective chair and dean and filed with the Office of the Provost. The performance standards for FES 3 shall be reviewed, revised, and approved at least every five (5) years. Ultimately, individuals must be evaluated on the merit of their creative accomplishments and the level of their critical success. In creating performance standards, each college shall address the issue of quality as well as quantity.

5. REPORT ON SERVICE

5.01 The report on service shall be completed by each faculty member and submitted to the faculty member's department chair as input for the FES 4 score. The final FES 4 score

shall be on a one-to-five-point continuous scale (with a minimum precision to the whole number from 1 to 5, and a maximum precision to the nearest hundredth; FES 4= 0.01).

5.02 Service includes service to students, colleagues, program, department/school, college, and the University; administrative and committee service; and service beyond SHSU to the profession, locally, regionally, nationally, and internationally, including academic or professionally-related public service. Activities for which the faculty member received a stipend or release time are typically not considered service activities. However, departments may consider compensated activities justifiable service by identifying specific activities in the performance standards for FES 4 set at the departmental level. Service activities that may be considered, but are not limited to, include:

- Committee service
- Student recruitment
- Student advisement
- Acquisition and development of facilities, equipment, and other resources
- Appropriate professional development activities
- Student mentoring
- Student organization sponsorship
- Program/curriculum development
- Faculty-community collaboration for scholarly research
- Faculty-community collaborations for scholarly and/or creative accomplishments
- Faculty-community projects for leadership, economic, or social service development

5.03 The departments and respective colleges are responsible for the determination and development of specific performance standards to be evaluated in FES 4. Faculty members at the department level shall identify specific performance standards that may be unique to a given department or program. These standards must be approved by the respective chair and dean and filed with the Office of the Provost. The performance standards for FES 4 shall be reviewed, revised, and approved at least every five (5) years. The performance standards shall identify types of service that advance the mission and goals of SHSU, the college, and department/school.

6. SUMMARY RATING REPORT

- 6.01 The *FES Summary Report* (FES 5) and FES X (when applicable) shall be completed by the department chair.
- 6.02 There shall be an individual conference between the faculty member being evaluated and the chair. At this meeting, the evaluation shall be discussed.
- 6.03 Following discussion of the *FES Summary Report* or FES X, the report shall be signed by the chair and by the faculty member. The signature of the faculty member represents merely an indication that the completed report has been reviewed by the chair with the faculty member and does not necessarily indicate concurrence with the report's contents. The faculty member's signature does not preclude the faculty member from appealing the summary rating report. A faculty member who fails to sign the *FES Summary Report* or FES X is ineligible for any merit increases based on productivity in the time period covered by the unsigned *FES Summary Report* or FES X. The final score on the *FES Summary Report* or FES X shall serve as the basis for recommendations to the dean for merit pay.

7. APPEAL OF THE FES SCORE

- 7.01 Faculty members may appeal their *FES Summary Report* score to their academic dean. Faculty members who wish to appeal must submit in writing their rationale for the appeal accompanied by appropriate documentation within ten (10) working days of receiving the *FES Summary Report*. The academic dean shall respond to the appeal within ten (10) working days. If not satisfied with the dean's decision, the faculty member may appeal to the Provost within ten (10) working days of receiving the dean's decision. The decision of the Provost is final.

APPROVED: _____ < signed >
Alisa White, Ph.D., President

DATED: _____ 5/12/22

CERTIFICATION STATEMENT

This academic policy statement (APS) has been approved by the reviewer listed below and represents SHSU's Division of Academic Affairs' policy from the date of this document until superseded.

Original: March 17, 1982
Reviewer: Academic Affairs Council

Review Cycle: Five years*
Review Date: Fall 2027

Approved: _____ < signed > _____
Michael T. Stephenson, Ph.D.
Provost and Sr. Vice President
for Academic Affairs

Date: _____ 5/10/22 _____

*Effective January 2018, Academic Policy Statements will be reviewed on a rotating 5-year schedule. To transition to a distributed review load, some policies may be reviewed prior to the 5-year timeframe, with subsequent reviews transitioning to the 5-year schedule.

Attachment 1

FES SUMMARY REPORT (FES 5)

Teaching effectiveness ratings are weighted averages and shall be recorded to a maximum precision of the nearest hundredth. Ratings by the students and chair/department shall be weighted equally (each comprises 50% of the teaching activity score). Scholarly and/or creative accomplishments and service ratings shall also be recorded with a maximum precision to the nearest hundredth. The weights for each of the categories vary depending upon each faculty member's normative teaching load as described in Table I. Faculty in the Newton Gresham Library shall be assigned weights equivalent to a normative workload of twelve credit hours per semester.

Faculty Member's Workload Assignment (check one):

- ☐ Normative nine credit hours per semester
☐ Normative twelve credit hours per semester

FES Category	Rating	x	Weight	=	Score
1. Chair's Rating of Teaching Effectiveness	_____	x	_____	=	_____
2. Students' Rating of Teaching Effectiveness	_____	x	_____	=	_____
3. Scholarly and/or Creative Accomplishments	_____	x	_____	=	_____
4. Service	_____	x	_____	=	_____
Sum of Scores – FES 5					_____

* Weights for each category area are determined by referencing Table I of this policy.

The signatures below indicate only that the department chair and faculty member met to discuss the faculty member's annual evaluation pertaining to APS 820317 and do not necessarily indicate the faculty member's concurrence with the same.

Chair's Signature: _____

Faculty Member's Signature: _____

Date: _____

Attachment 2

FES 1 WORKSHEET
Chair's Rating of Faculty Teaching Effectiveness Worksheet

Faculty Member's Name: _____
Identification Number: _____ Date: _____

Using the guidelines in Section 2 of APS 820317 and/or the appropriate college/department/school criteria, please document evidence/rationale for the chair's rating of teaching effectiveness score listed below. The broad categories listed in Section 2.02 are reproduced for convenience.

Professionalism

Content and Pedagogy

Other

Chair's Rating of Teaching Effectiveness: _____

Attachment 3

TABLE I: WEIGHTS FOR FACULTY EVALUATION

NORMATIVE TWELVE-CREDIT-HOURS-PER-SEMESTER WORKLOAD

FES 1 Chair's Rating	FES 2 Students' Rating	FES 3 Scholarly and/or Creative Accomplishments	FES 4 Service
.25	.25	.25	.25

NORMATIVE NINE-CREDIT-HOURS-PER-SEMESTER WORKLOAD

FES 1 Chair's Rating	FES 2 Students' Rating	FES 3 Scholarly and/or Creative Accomplishments	FES 4 Service
.20	.20	.40	.20