

SOUTH DAKOTA BOARD OF REGENTS

Academic and Student Affairs

AGENDA ITEM: 5 – A (3)

DATE: June 24, 2020

SUBJECT

Revisions to BOR Policy 4:13 – Faculty Evaluations (First Reading)

CONTROLLING STATUTE, RULE, OR POLICY

[BOR Policy 4:13](#) – Faculty Evaluations

[COHE Agreement](#)

BACKGROUND / DISCUSSION

As a result of the elimination of collective bargaining after the passage of [Senate Bill 147](#) during the 2020 Legislative Session, BOR Policy 4:13 is being revised to reflect changes needed once the university faculty collective bargaining agreement with the Council of Higher Education expires at the end of June.

IMPACT AND RECOMMENDATION

Board staff recommends approval.

ATTACHMENTS

Attachment I – Proposed revisions to BOR Policy 4:13

DRAFT MOTION 20200624_5-A(3):

I move to approve the first reading of the proposed revisions to BOR Policy 4:13, as presented in Attachment I.

SOUTH DAKOTA BOARD OF REGENTS

Policy Manual

SUBJECT: Faculty ~~and Research Faculty~~ Evaluation

NUMBER: 4:11

A. PURPOSE

To promote positive communication between faculty and administration; increase awareness of institutional program objectives and needs; provide information for decisions on professional training, staff improvement programs and those conditions which promote quality performance; provide basic information for personnel decisions such as discipline, contract renewal, salary and pay matters, tenure, and promotion; and assess faculty member performance relative to institution standards implementing Board Policy 4:38.

B. DEFINITIONS

1. **Faculty:** For purpose of this policy, the term “faculty” includes both faculty and research faculty ranks unless the context explicitly differentiates between the ranks.

C. POLICY

2.1. Performance Evaluations

2.1.1.1. Performance evaluations will be conducted in accordance with the following guidelines:

2.2.1.2. All faculty members will receive a performance evaluation and a review on an annual basis. These will be conducted by the faculty member's immediate supervisor, and will include the results of student evaluations when the responsibilities of the faculty member include teaching. In those instances involving faculty members who hold dual appointments to the instructional and research faculty, primary responsibility for the evaluation will reside with the research supervisor, who shall consult with the instructional supervisor in matters relating to the individual's teaching and service responsibilities.

2.3.1.3. The administration of each public university shall develop a process for faculty evaluations. Institutional administrations are responsible for implementation of the procedure and the evaluation process and for the development and revision of standards implementing Board Policy No. 4:38. The administration of each institution will provide a written form for use in the annual performance evaluation of faculty. Institutions must issue current institutional standards to faculty no later than August 1. Upon request to the supervisor, a faculty member will receive in writing the guidelines and performance expectations intended to be used for the performance evaluation. Institutions must complete faculty performance evaluations by March 15.

- 2.3.1.1.3.1. The evaluation form will include an assessment of the faculty member's performance in the areas of teaching, research and scholarship, and service.
- 2.3.2.1.3.2. The evaluation form will include an assessment of the research faculty member's original contributions to research, contribution to the effective work of any research teams to which the research faculty member has been assigned, grant awards, contracts received, intellectual properties issued or other measures of research accomplishment.
- 2.4.1.4. Upon completion of the performance evaluation, the supervisor will discuss the results with the faculty member. If deficiencies in performance are identified by the supervisor, an improvement plan which will provide for guidance by the administration to remedy deficiencies relating to the performance of assigned duties may be developed by the administration. No improvement plan will be implemented until the immediate supervisor has held a meeting with the faculty member to discuss the plan and until such constructive plan has been submitted and approved by the institutional president. If the faculty member disagrees with any aspect of the improvement plan, the faculty member will have the right to respond in writing to the areas of disagreement within ten working days of the meeting. All such written objections and comments of the faculty member will be attached to the evaluation and to any improvement plan that may be developed. If the faculty member fails to correct the serious deficiencies identified in the improvement plan, that faculty member may be subject to termination for cause.
- 2.5.1.5. The vice president for academic affairs will review the completed evaluation and make appropriate ~~recommendationseomments to the president~~ about contract renewal, augmentation monies, promotion, or tenure, or performance. Copies of any ~~recommendationseomments~~ made by the vice president for academic affairs will be sent to the faculty member ~~before the vice president for academic affairs forwards them to the president~~. The faculty member may submit a response within the five (5) working days which will be attached to the evaluation. ~~before it is forwarded to the president.~~
- 2.6.1.6. The evaluation of research faculty will involve institutional and system officials
- 2.6.1.1.6.1. The chief research officer will review the completed evaluation of research faculty and make appropriate comments about contract renewal, augmentation monies, promotion, or tenure, or performance before the evaluation is forwarded to the vice president for academic affairs. Copies of any comments made by the chief research officer will be sent to the faculty member before the chief research officer forwards them to the vice president. The faculty member may submit a response within the five working days which will be attached to the evaluation before it is forwarded to the vice president.
- 2.6.2.1.6.2. The vice president for academic affairs will review the completed evaluation, comments by the chief research officer and any responses of the system officials and make appropriate comments to the president. Copies of any comments made by the vice president for academic affairs will be sent to the faculty member before the vice president forwards them to the president. The faculty member may

submit a response within the five working days which will be attached to the evaluation before it is forwarded to the system vice president for research.

2.6.3.1.6.3. The system vice president for research will review the completed evaluation, any additional comments and responses and make appropriate comments before the evaluation is submitted to the institutional president. Copies of any comments made by the system vice president for research will be sent to the faculty member before the system vice president for research forwards them to the institutional president. The faculty member may submit a response within the five working days which will be attached to the evaluation before it is forwarded to the president.

2.7.1.7. The completed performance evaluation will be in written form and signed by the evaluator(s) with a copy furnished to the faculty member. The faculty member will have ten working days within which to respond in writing to the performance evaluation. All such responses will be attached to the completed performance evaluation and placed with the evaluation in the faculty member's personnel file.

1.8. In addition to the formal evaluations provided for under this article, the respective institutional agreement management committees may provide for informal evaluations that serve to encourage and support faculty member experimentation with new instructional techniques.

3.2. Self-Evaluation Document Limits

2.1. Self-evaluation forms submitted by the faculty member shall not exceed forty (40) pages and may include appendices that shall not exceed an additional sixty (60) pages, for a total maximum limit of one-hundred (100) pages. Institutions may establish lower maximum page limits but may not exceed the limits stated in this policy. Any pages submitted that exceed the page limits shall not be reviewed and shall not be part of the performance evaluation.

3. Student Opinion Surveys

3.1. Student opinion surveys will be used as part of the evaluation of faculty members with teaching responsibilities. The term "student opinion surveys" indicates the specific survey instrument selected by the Board and administered by the institutions to students enrolled in a course. The Board will select, or develop, a student opinion survey instrument whose validity and reliability have been, or may be, established to a level of nationally accepted confidence.

3.2. If student opinion surveys indicate serious deficiencies in a faculty member's performance, the faculty member's supervisor may meet with the faculty member and prescribe corrective action. This may include classroom observations at the discretion of the administration or if requested by the faculty member, review of instructional design and materials, and other relevant methods. Faculty members may supplement student opinion surveys with additional relevant information documenting the achievement of student learning outcomes.

3.3. Student opinion surveys will not be used as the sole criterion for personnel actions.

3.4. Confidentiality and security will be maintained for all student opinion survey data.

FORMS / APPENDICES:

None

SOURCE:

~~Current Policy Manual 5.2.7; 5.2.8;~~ BOR, August 2004; BOR April 2009.