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ABSTRACT

The articles in this collection focus on processes for evaluating community college faculty and staff and highlight successful and unsuccessful evaluation practices. The collection includes: (1) "A Conceptual Framework for Staff Evaluation," by Al Smith; (2) "Evaluation of Full-Time Faculty," by Lawrence H. Poole and Donald A. Dellow; (3) "Evaluation of Part-Time Faculty," by Richard L. Behrendt and Michael H. Parsons; (4) "Evaluation of College Administrators," by James L. Wattenbarger; (5) "Concerns about Using Student Ratings in Community Colleges," by William E. Cashin; (6) "Staff Selection and Certification Issues," by Myron R. Blee; (7) "Faculty Development: A Necessary Corollary to Faculty Evaluation," by James Hammons; (8) "Establishing Successful Faculty Evaluation and Development Programs," by Raoul A. Arreola; (9) "Evaluating, Developing, and Promoting Community College Staff," by Frank Adams; (10) Al Smith's concluding comments in which he reviews legal considerations of staff evaluation and offers predictions for the future; and (11) "Sources and Information: Faculty and Administrator Evaluation," by Jim Palmer, which reviews relevant ERIC documents. (AYC)

Evaluating Faculty and Staff

Al Smith, *Editor*

NEW DIRECTIONS FOR COMMUNITY COLLEGES
Sponsored by the ERIC Clearinghouse for Junior Colleges
ARTHUR M. COHEN, *Editor-in-Chief*
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Contents

Editor's Notes

All of the chapters in this volume were written with one assumption in mind: to know more about staff evaluation—what it is, what it influences, what works, and what does not work in the evaluation process. The volume is directed to helping community college administrators, faculty, and academic and nonacademic support staff. The authors have not attempted to develop a cookbook; however, they do offer many ideas that will be of value to staff members who are interested in improving the quality of their evaluation programs.

In the first chapter, a historical perspective for staff evaluation is provided along with descriptions of various conceptual frameworks that have been used in the planning of staff and faculty evaluation programs. A conceptual framework for faculty evaluation is recommended here that includes four major components: (1) development of evaluation purposes; (2) areas for evaluation; (3) essential evaluation criteria, standards, and evidence; and (4) appropriate procedures.

In the next three chapters, the authors discuss current theory and practice, offer suggestions, and provide illustrations related to evaluation programs for full-time faculty, part-time faculty, and college administrators. Lawrence Poole and Donald Dellow support the need for multiple sources of information in evaluating an individual faculty member's effectiveness. Then Richard Behrendt and Michael Parsons suggest some positive strategies, using both formative and summative objectives in the evaluation of adjunct faculty. In the last of these three chapters, James Wattenbarger presents a comprehensive and objective review of administrator evaluation practices and procedures. He recommends the goal-oriented approach as the most productive in administrative performance appraisal.

Issues and concerns related to various aspects of staff evaluation are the focus of the next three chapters. Concerns about the use of student rating systems in faculty evaluation programs are then, to a great extent, reviewed and refuted in Bill Cashin's chapter. Next, Myron Blee offers a state-level perspective on some of the problems and issues associated with staff selection and certification. James Hammons closes this section of the sourcebook, arguing that the combination of faculty evaluation with faculty development programs is essential for positive change in the two-year colleges.

The next two chapters, by Raoul Arreola and Frank Adams, provide some recommendations for the future. Arreola presents a set of

guidelines for colleges wishing to establish a successful faculty evaluation and development program. Adams recommends the adoption of a staff evaluation model developed in the field of business and industry. Both authors offer viewpoints that should be of value to colleges considering a change in their staff evaluation programs.

Finally, Al Smith reviews some legal considerations associated with staff evaluation programs and presents some of his predictions for the future.

Al Smith
Editor

Al Smith is a professor of instructional leadership and support and assistant director of the Institute of Higher Education at the University of Florida, Gainesville, and is director of the National Faculty Evaluation Project for Community and Junior Colleges.

With many different approaches to faculty and staff evaluation in community colleges, how can a conceptual framework be used to develop a new or revised staff evaluation program?

A Conceptual Framework for Staff Evaluation

Al Smith

Conceptual frameworks for faculty and staff evaluation existed in the world's earliest colleges and universities. The frameworks used then were somewhat different from the ones being considered in community colleges today. In universities around the time of 1000 A.D., students often hired and dismissed faculty members, while faculty members employed the college administrative staff. These rather unique approaches have changed over the years. Today community college boards of trustees and administrators have assumed much of the responsibility for developing staff evaluation policy and procedure. This shift in the locus of responsibility for evaluation has not lessened the need for effective programs. Nor has this shift in the conceptualization of the program lessened the need for the involvement of faculty or staff in the development of new policies and procedures.

The need for a clearer conception of the staff evaluation process has increased for a variety of reasons in recent years. Some of these reasons include: (1) stabilizing or declining enrollments, (2) increasingly tenured-in departments, meaning less mobile and aging college faculties, (3) declining financial resources, and (4) the realization that all staff members, not just the full-time faculty, are important to the successful achievement of a college's mission statements, goals, and pro-

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gram objectives. In institutions where as much as 60 to 90 percent of the budget goes toward the payment of employee salaries, the need for a strong staff evaluation and development program is evident. For these reasons and in order to achieve their many purposes, community colleges need a conceptual framework for staff evaluation that will result in the maximum utilization of their human capital, their most vital resource.

A conceptual framework for any community college program must begin with a description of the purposes for that system. Few community college educational programs or staff evaluation programs will succeed without clearly defined and accepted purposes. Conceptually, then, what have been the major purposes for most faculty or staff evaluation programs? In a regional survey of faculty evaluation practices conducted by the Southern Regional Education Board (SREB), the investigators found that the various reasons for faculty evaluation could be reduced to essentially "(1) a concern for faculty development and improvement and (2) the need for evaluation of faculty performance to provide information for decisions on tenure, promotion, reappointment, and salary" (Boyd and Schietinger, 1976, p. 1). These two reasons, development and evaluation, are the same reasons being given to justify most faculty evaluation schemes today. Both of these purposes should be incorporated into any new or revised staff evaluation scheme in the 1980s. The relative extent to which one or the other of these purposes is stressed will in turn greatly influence the type of staff evaluation program developed at any given college.

A variety of conceptual frameworks for achieving the purposes of faculty and staff evaluation has been proposed in recent years. In the remaining sections of this chapter, these conceptual frameworks will be reviewed briefly. In addition, the Southern Regional Education Board's "Framework for Developing the Components of a Systematic Faculty Evaluation Program" and the successful application of a modified version of this SREB framework to eight two-year colleges will be described.

Proposed Conceptual Schemes

Until the early 1970s, most faculty evaluation schemes in higher education lacked a systematic or comprehensive approach to faculty evaluation. Most faculty evaluations were conducted by the department chairman, with the better systems making some use of data gathered from a formal student rating system, while others used no data at all. Staff evaluation systems were of a similar nature, with the employee's supervisor conducting the annual review, perhaps with the

help of a self-rating instrument completed during an interview by the employer and the employee for discussion purposes.

In the 1970s, however, there was a dramatic shift to more comprehensive and systematically planned faculty and staff evaluation systems in community colleges. Many of these systems were developed from the assumption and guidelines summarized by Miller in 1972. Miller believed that any system of faculty evaluation should seriously consider beginning with the formulation of basic assumptions. The faculty evaluation model he recommended proceeded from the following six assumptions: (1) the trend toward accountability will continue, (2) merit evaluation is preferable to a seniority system, (3) overall faculty evaluation is inevitable, (4) every evaluation system can be improved, (5) professional development should be available to every faculty member who is evaluated, and (6) faculty evaluation should be for both advancement decisions and faculty development (Miller, 1972, pp. 4–12).

From these assumptions and a related set of principles, Miller developed a model for the evaluation of teaching that contained a broader view of the role of the college teacher than we have had in the past. Previously, the teacher's role had been conceptualized in terms of research, teaching, service, and professional activities. Miller (1972, p. 21) pointed out that college teachers were engaging in a much wider range of activities than in the past. For this reason, he felt that the following categories should be used in describing and evaluating college teaching: classroom teaching, advising, faculty service and relations, management (administration), performing and visual arts, professional services, publications, public service, and research.

Under this system, the faculty member entered into an annual performance contract with his or her department chairperson. Miller (1972, p. 80) argued that such a contracting process would lead to the establishment of tasks and the selection of evaluation criteria that would best reflect the nature of the institution, the needs and direction of the department, and the interests and abilities of the faculty member. Miller then described a variety of procedures that could be used to collect data from a variety of sources, such as students, faculty colleagues, and administrators in each of his proposed nine evaluation categories. Finally, he showed how these data could be employed to calculate an overall performance rating for a staff member (Smith, 1976).

Since Miller's presentation, a number of other conceptual schemes too numerous to mention here have been proposed for higher education staff evaluation programs (Centra, 1979; North and Scholl, 1978; Seldin, 1980; Smith, 1976; Southern Regional Education Board, 1977). Each of these proposed evaluation schemes has recommended a

systematic and comprehensive approach to faculty evaluation. The proponents of these programs have also suggested the need for multiple data-based evaluation programs. Of these systems, which have focused primarily on faculty evaluation, the author has found the Southern Regional Education Board's conceptual framework to be of most value in helping colleges design new or revised faculty and staff evaluation programs.

Southern Regional Education Board's Framework for Faculty Evaluation

As a result of the SREB's survey and case study research (Southern Regional Education Board, 1977, p. 31), four separate components of systematic faculty evaluation programs were identified. The four components of the SREB "Framework for Developing the Components of a Systematic Faculty Evaluation Program" are as follows:

1. *Purpose.* Objectives and desired outcomes of the program.
2. *Areas.* Evaluation areas are those functions or attributes to be examined—teaching, research, service, and so on.
3. *Elements.* Essential elements of evaluation are: *Criteria*—specific attainments subsumed under each area; *Standards*—attainment levels expected for each criterion; *Evidence*—data or information for determining level attained, and how the data are to be compiled.
4. *Procedures.* Sequence of activities for making personnel decisions, assisting with development or improvement, or carrying out other purposes.

This framework was used in the SREB's 1977-79 Faculty Evaluation Project (Southern Regional Education Board, 1979). For two years, this project promoted principles of comprehensive, systematic faculty and staff evaluation. During an eighteen-month period, this project worked closely with thirty institutions, including nine two-year colleges, to assist them in developing such programs.

The step-by-step application of the SREB framework proved to be highly successful in helping two-year and four-year colleges improve their faculty evaluation programs. Of the nine two-year colleges in this project, eight were judged by a team of three evaluators to have a high or medium probability of achieving positive and permanent changes in their faculty evaluation programs (Southern Regional Education Board, 1979). One of the nine colleges in this project that successfully applied the SREB model to its faculty evaluation program was Jackson State Community College (Jackson State Community College, 1979).

Robert Harrell (1980), dean of academic affairs at Jackson State, has described the concepts which he felt were fundamental to

Jackson State's successful revision of its faculty evaluation program. These concepts were:

1. Faculty are evaluated in areas for which they have a principal responsibility.
2. Multiple evaluators or sources of evaluation are utilized.
3. Evaluators evaluate those areas of faculty responsibility for which they have appropriate expertise.
4. Faculty members develop individualized evaluation programs.
5. Evaluation outcomes or evaluation results for each area of responsibility are expressed no more definitely than as one of three possible levels of performance.
6. The level of performance is determined by a criterion-referenced approach to evaluation.
7. Formative and summative evaluation procedures are included in the evaluation process.
8. Faculty evaluation is a dynamic and ongoing process.

Harrell believes these concepts may be applied directly or may be adaptable for effective use in other institutions, but only if such concepts are consistent with institutional mission and goals.

At Jackson State Community College (JSCC), formative, or ongoing, evaluation provides information for professional growth and development. Summative evaluations at JSCC provide information for personnel decisions with respect to promotion, tenure, and salary decisions. Faculty and staff are evaluated in each of their areas of responsibility with the following terms: *needs improvement, expected performance,* and *exceptional performance*. The JSCC program of staff evaluation provides an excellent model for two-year college staffs that wish to improve their personal evaluation systems. It is also a very good example of the effectiveness of the SREB conceptual framework for faculty evaluation.

Finding a Conceptual Framework for Staff Evaluation

To date, most community colleges have focused their evaluation efforts on the development of improved full-time faculty evaluation systems. Such efforts have often neglected other equally important personnel groups in two-year colleges, such as administrators, part-time faculty, academic support staff, and so on. Because of the equally valuable contributions these groups make to the community college program, there is likely to be an increasing emphasis on staff as opposed to faculty evaluation in the next five to ten years. This will be an appropriate shift of emphasis for two reasons. First, in a time of declining resources, student enrollment, and full-time staff, the contributions

of each employee become increasingly vital to the success of a college program. In the 1980s, colleges and college employees will have to learn to do more with less. This means that each employee's contribution to the total educational program will increase in importance over the next few years. Second, the shift to staff evaluation should enhance employee morale, job satisfaction, and staff productivity. Evaluation should enable employees to see ways to grow without leaving their current jobs. This should be a healthy development in a profession where there is currently little opportunity for job mobility either externally or internally.

One college, Central Piedmont Community College (CPCC), has already developed a system for staff evaluation. The purpose of this system, which appears to be working very well, is to "encourage all personnel to aspire to higher levels of performance in the service of students, the community, and the institution" (Cheshire and Hagemeyer, 1981-82, p. 34). The objectives of this program are (1) to identify standards against which each employee's performance can be measured, (2) to identify individuals who are performing at a satisfactory level, (3) to provide assurance and encouragement to individuals who are performing at a satisfactory level, and (4) to identify and assist individuals whose performance needs significant improvement.

One of the keys to the success of this system appears to be the high level of administrative support for the program. A second important factor is the extensive involvement of employees in the development and pilot testing of new evaluation instruments. As a result of this process, the original objective of a campuswide evaluation plan has been achieved. However, instead of having one evaluation form for everyone, CPCC has many instruments, each measuring the performance of specific tasks or jobs.

The Central Piedmont system, with its annual reviews and ratings, appears to contain all of the components proposed in the previously discussed SREB conceptual framework for developing a faculty evaluation program. First, the purposes were clearly defined as the first step in the development of a new system. Second, the areas of evaluation were identified for each major employee group. Third, criteria and standards were set, with ratings then made by both the employees and the supervisors. Finally, procedures were outlined which called for an annual performance review of self- and supervisory ratings and the placement of an evaluation summary in the employee's personnel file (Cheshire and Hagemeyer, 1981-82).

It would appear that the SREB framework can be applied as a very useful conceptual framework for the broader area of staff evaluation. The strongest support for this position comes from the University

of Florida (UF) National Faculty Evaluation Project for Community and Junior Colleges. This three-year project began in June of 1980 under the sponsorship of the university's Institute of Higher Education. The purpose of this project was to assist two-year colleges in the improvement of their faculty or staff evaluation systems. A second major purpose was to test the usefulness of the SREB conceptual framework and approach to helping colleges improve their evaluation programs. The eight colleges currently participating in this project are Arapahoe Community College (Littleton, Colo.), Gateway Technical Institute (Racine, Wis.), Mountain Empire Community College (Big Stone Gap, Va.), Moraine Valley Community College (Palos Hills, Ill.), Mohawk Valley Community College (Utica, N.Y.), Patrick Henry Community College (Martinsville, Va.), Rockingham Community College (Wentworth, N.C.), University College of the University of Cincinnati (Cincinnati, Ohio).

Under this new program, the participating colleges agreed to send a team of three faculty and one top-level administrator to Gainesville, Florida, each summer for a three-day workshop on faculty evaluation and development. In the first workshop, the participants were introduced to the SREB conceptual framework for faculty evaluation and were given a variety of other resource materials on how to plan for a new or revised faculty evaluation program. In the second workshop, conducted in 1981, the teams received additional instruction on how to implement their new plans. In 1982, the workshop focused on how the colleges could evaluate the impact of their new programs. This last workshop also focused on how the colleges could establish viable faculty development programs to complement their new faculty evaluation efforts.

In addition to the summer workshops, this project has involved the extensive use of University of Florida staff members and external resource consultants. As part of the project, each team was required to have a one-day progress evaluation visit by a University of Florida staff member. These visits were conducted during the winter months of each year and have been very useful. Each team was also encouraged to employ non-University of Florida consultants for at least one day during each of the project's three years. These visits have also been helpful, with the consultants serving as external change agents to the college.

This project appears to have met its objectives. Each of the eight colleges has developed and implemented a new or revised faculty and/or staff evaluation plan using the SREB "Framework for Developing the Components of a Systematic Faculty Evaluation Program." A new project is planned for 1983 through 1986.

One of the interesting findings of this project is that the SREB conceptual framework can be applied effectively in the development of

staff evaluation as well as faculty evaluation systems. One of the colleges in this project, Arapahoe Community College, has employed the SREB model to develop a comprehensive and systematic staff evaluation program for all of its employees. Another project college, Rockingham Community College, has taken a similar approach.

Space will not permit an in-depth description of these eight new programs. For this reason, only a brief summary of some of the major features of each college's staff evaluation program will be mentioned. Readers wishing more information on these new programs should contact the respective college presidents or deans or the University of Florida's Institute of Higher Education.

Arapahoe Community College. Under the Arapahoe Community College (ACC) plan, all contractual employees are evaluated annually. The purpose of this system is to improve "the quality of instruction, support, and administration; for encouragement of professional growth and development; and for retention" (Arapahoe Community College, 1982, p. I:1). The president is evaluated by the college council and each remaining employee is evaluated by his or her supervisor or director. Employees, other than administrators and faculty, evaluated under this plan include the health center coordinator, librarians, supplemental service personnel, and college counselors. Criteria and standards are set in the evaluation process and include the following procedures and data sources for faculty evaluations:

1. Job responsibilities are reviewed and performance objectives, including activities the faculty member elects to be evaluated on, are agreed upon by the faculty member and his or her director.
2. Performance objectives are submitted to the director. These objectives indicate the activities the faculty member elects to be evaluated on, as well as the weights to be given each activity.
3. Evaluations by all faculty members are completed by the director, who forwards them to the appropriate dean. The dean files them with the personnel office.
4. Evaluations of faculty consist of these parts:
   - Annual self-evaluation
   - Annual student evaluations of teaching faculty
   - Peer evaluation every third year
   - Annual director evaluation, including summary of faculty member's strengths and weaknesses
   - Signatures of person being evaluated and of director, indicating that both parties have read the evaluation report
   - Interpretation of ratings and subsequent action.

Evaluations of all other staffing groups under this system follow similar policies and procedures.

Gateway Technical Institute (GTI). At GTI, the project evaluation team, along with the college faculty and administrative staffs, has a multipurpose faculty evaluation and development system with the following purposes: (1) to create a constructive environment within which the instructional process can be fully explored in the interest of student success, (2) to create a means by which faculty performance can be evaluated to determine areas of strength and areas that may need improvement, as a fundamental step in faculty planning to improve effectiveness of performance, and (3) to create a means by which the supporting relationships between faculty evaluation and faculty development can be understood and a working reality achieved (Mills, 1981, p. 2). Under this system, all new instructors are formally evaluated in the first, second, and third years at GTI. All other instructors are formally evaluated on a rotating basis.

Instructors formally evaluated under this new program are required to have a minimum of three evaluations, one of which must be by the instructor's coordinator. The other two evaluations may be selected from student evaluations, self-evaluation, or a supervisor's evaluation. Each instructor fills out an Instructor Goals Form for the coming academic year and submits this document prior to or at the beginning of the evaluation year. At the end of the year, a summary evaluation is prepared based on the material that has been submitted by the faculty member and his or her students. This evaluation is eventually shared in abbreviated form with the college's board of trustees.

The staff at GTI has developed three types of student evaluation forms: a lab form, a lecture form, and a clinic form. Each instructor is able to select the form that most closely represents the type of instruction being given. Under this system, instructors also try to predict how students will rate their teaching on the form they have selected. They do this by completing one of the forms at the first of each term, prior to the time when student evaluations are given. These two approaches, the use of varied student rating forms and a comparison of how faculty think students will rate their teaching with actual ratings, offer a rather unique approach to faculty development at GTI.

Mohawk Valley Community College. The Mohawk Valley (MVCC) faculty evaluation project team and evaluation committee have followed the Southern Regional Education Board's conceptual framework for faculty evaluation in a number of ways. After identifying a set of purposes for their system, the evaluation committee devised a plan that provided for the assessment of faculty performance in four major areas. These four areas are weighted each year by the faculty

member in consultation with the department head. The four areas of evaluation and the range of weights that may be selected for each area are as follows (Mohawk Valley Community College, 1982, p. 1):

1. Teaching Effectiveness (60–80%)
2. Collegiality (10–30%)
3. Professional Growth (10–30%)
4. Community Service (0–20%)

Data under this system are collected from a variety of sources and each source is weighted for evaluation and development purposes. The weights for each source of evaluation information are:

	Student Response	*Peer Committee*	*Department Head*
1. Teaching Effectiveness	50%	25%	25%
2. Collegiality	0%	50%	50%
3. Professional Growth	0%	50%	50%
4. Community Service	0%	50%	50%

Under this evolving system, an instructor may also provide his or her own items for evaluation, but without any weight applied.

An evaluation point system has been developed at MVCC. At the end of the evaluation period, each evaluated faculty member receives a summary evaluation score. This score is based on a 10–30 point scale that enables peers and department heads to rate faculty work as needing improvement (10 points), as expected performance (20 points), or as exceptional performance (30 points).

Moraine Valley Community College. A number of the colleges in the University of Florida's project have faculty unions. One of these colleges is Moraine Valley. Unionization has not appeared to hinder the development of new or revised staff evaluation programs in these institutions. If anything, the presence of a faculty union has promoted change by providing a clearer definition of faculty roles and responsibilities. Moraine Valley provides an excellent example of a college where the administrator and faculty team project members have worked in harmony and with a great deal of trust in one another.

In following the SREB conceptual framework, the Moraine Valley evaluation team outlined the purposes, areas for evaluation, criteria for evaluation, and sources of data for assessment. This college has done a particularly effective job of providing role definitions for each of the faculty areas of evaluation. These role definitions, with their suggested weights, follow.

1. *Teaching and Instruction* (60–80%). Teaching and instruction are defined as those activities associated with the design and delivery of

course material to students. For purposes of evaluation, the instructional role includes classroom performance, preparation and relevance of materials, and record keeping and instructional management.

2. *College Service* (10–20%). College service is defined as service rendered by a faculty member in support of his or her course group, subdivision, division, or total college. For purposes of evaluation, service to the college does not include any functions defined and included under professional growth or community service.

3. *Professional Growth* (10–30%). Professional growth is defined as improvement in the competence of a faculty member in order to better fulfill the role and responsibilities of his or her position at the college; professional achievement; or contribution to the teaching and learning process or educational profession in the faculty member's area of expertise.

4. *Community Service* (0–10%). Community service is defined as the application of a faculty member's recognized area of expertise in the community without pay (Moraine Valley Community College, 1982).

All of the University of Florida project colleges have incorporated a point system into their faculty/staff evaluation packages. The evaluation scheme at Moraine Valley is no exception. Each year one-third of the tenured faculty is evaluated using a point system. A grand total, or summary evaluation score, is calculated for those faculty members, using the areas and weights mentioned above, along with a variety of data sources for each evaluation category. A unique and effective part of this system is the use of peer evaluation teams. These teams receive portfolios of work from each faculty member up for review. These portfolios are reviewed by the faculty member's peers, who independently assign evaluation scores that are later averaged and fed into the faculty member's composite evaluation rating.

Mountain Empire Community College. This college is in the process of developing a faculty/staff evaluation system that will have as one of its purposes the determination of faculty merit pay increases. Information and data will be collected in a systematic manner. A faculty evaluation agreement (FEA) will be completed by each faculty member. This agreement will include a professional development plan and a self-evaluation report. For teaching faculty, a student-opinion instrument will provide data concerning student perceptions of classroom teaching performance. Nonteaching faculty and supervisors will be encouraged to investigate how their work is perceived by those they serve.

Each year the faculty member will prepare for his or her supervisor a self-evaluation report, documenting activities and accomplishments, including the achievement of goals established in the previous year. Using this information, the supervisor will then prepare an as-

sessment and rating to be discussed during a conference. The completed FEA will then provide a quantitative measure of job effectiveness to serve for personnel recommendations.

The completed FEA will provide several pieces of information for making personnel decisions. An index-of-success rating (ISR), which is calculated as part of this system, will be used to determine merit raises for those eligible. The number of faculty in each college division eligible to receive merit raises will be announced prior to merit deliberations and decisions. Numerical ratings and a merit unit of money will then be used in a formula to calculate each individual faculty member's merit raise. This approach should be of interest to staff members who are interested in tying faculty/staff evaluations to merit pay (Mountain Empire Community College, 1982).

Patrick Henry Community College. The faculty evaluation system at Patrick Henry (PHCC) does not differ greatly from those previously described. Here again, the college project evaluation team has followed the SREB's conceptual framework for developing a comprehensive, systematically planned faculty evaluation program. A summary of the evaluation components of this system is outlined below, with the minimum (MIN) weight that can be assigned to any given component.

MIN	*Component*	*Student*	*Self*	*Supervisor*
70%	1. Teaching Performance, or	65%	35%	0%
	1. Teaching, including classroom observation	40%	30%	30%
5%	2. Faculty Service	10%	50%	40%
5%	3. Community Service	0%	50%	50%
5%	4. Maintaining Competence	0%	50%	50%

The weights for each individual component are determined during the faculty member's annual faculty development conference with the supervisor (Patrick Henry Community College, 1982).

The data gathered from this system are then used primarily for faculty development purposes. Because all personnel holding faculty rank are presumed to possess the necessary professional qualifications to perform satisfactorily in their positions, a rating of "satisfactory" under this system is expected in each of the above-mentioned areas. The college has, however, worked out a set of procedures that will be followed if a faculty member should receive an "unsatisfactory" rating in one of the four evaluation areas.

It should be noted that the faculty member under this system does have the option of including classroom observation data from the supervisor in the evaluation plan. Most of the colleges in the University

of Florida project, however, have placed less emphasis on classroom observations as a form of faculty evaluation. This trend away from the use of classroom visitations may be due to current research by Centra (1979), which shows this form of teaching evaluation to be highly unreliable.

Rockingham Community College. The president and faculty evaluation project team at Rockingham (RCC) are attempting to develop a staff evaluation plan for all of their employees. They have developed evaluation forms for instructors, department chairpersons, clerical staff, switchboard operators, paraprofessional staff members, and other nonteaching professionals. Each aspect of an individual's job at RCC will be rated according to three performance levels: needs improvement, expected performance, and exceptional performance (better than expected).

At the present time, the evaluation team at RCC is (1) defining job responsibilities and establishing criteria for the three rating ranges for each aspect of an individual's job, (2) establishing the weight distribution, to total 100%, for all aspects of an individual's job, (3) determining from what sources evaluation data will be collected for each aspect of an individual's job, and (4) developing evaluation instruments for various sources of evaluation (Rockingham Community College, 1982). The college team appears to be breaking new ground in the area of staff evaluation by developing a systematic approach to staff evaluation as opposed to faculty evaluation. This approach should be valuable to colleges seeking ways to evaluate all of their employees.

University College of the University of Cincinnati. Because of the nature of this two-year college, the University College (UC) project team has focused its efforts on developing a faculty evaluation system that will reward teaching in a university environment. Up until this time, faculty had reported some difficulty in achieving promotion and tenure. For this reason, the purpose of the UC evaluation plan is to supplement promotion, tenure, and reappointment guidelines and promote faculty development (Burks and others, 1982). Any faculty member may ask to be reviewed under this new system to identify individual areas of strength and weakness. The results of this second type of review, as opposed to one for promotion and/or tenure purposes, are made available only to the person reviewed, who may or may not then choose to share them with the department head.

Evaluation criteria used in this system are those necessary or desirable for effective teaching. They define what must or should occur in a college-level course if learning is going to happen in a systematic, organized, logical, and complete manner. This system assumes that good teaching is not mysterious or magical.

The criteria in this system are divided into two parts, core and optional. The core criteria are those skills necessary for effective teaching, as follows.

1. Command of the knowledge and skills necessary and appropriate to the course.
2. Statement of understandable and appropriate goals and objectives for the course.
3. Appropriate course syllabus, which shows organization and logical presentation of material.
4. Communication of a body of knowledge that demonstrates skills clearly and understandably to students.
5. Appropriate standards for student learning and performance.
6. Consistent and appropriate methods of evaluating student achievement.

The optional criteria take into account the various teaching styles and modes, which may be effective depending on the nature of the material to be covered and the abilities of the instructor.

The extent to which faculty members are expected to meet core and optional or supplementary criteria under this approach depends on the faculty member's years of teaching experience. A new faculty member at UC, with zero to two years of teaching experience at the University of Cincinnati, needs only to meet expectations on the first core criteria and four other core criteria of his or her choosing to achieve a satisfactory rating. A faculty member of seven or more years of experience needs to meet expectations on all of the core criteria and on two supplementary criteria to gain a satisfactory rating. Faculty members with even higher standards of performance can achieve ratings of "excellent" and "exceptional" under this system.

The criteria are evaluated on the basis of evidence gathered from multiple data sources: peers, students, department heads, and the person being reviewed. After all of the data have been collected, the departmental promotion, tenure, and review (PTR) committee receives the peer review panel's written evaluation, the student ratings, the department head's evaluation, and the self-evaluation. The committee reviews this material and writes a summary evaluation report concluding that the instructor being evaluated is unsatisfactory, satisfactory, excellent, or exceptional, based on the system's standards. Evidence used by the committee and the final report are forwarded to the department head, who sends the report to the PTR committee with an agreement or disagreement with the report.

This new system should be of particular interest to colleges seeking new and improved ways to evaluate the teaching process and to

improve peer evaluation. The peer review panels in this program conduct very careful reviews of each faculty member's courses and teaching materials.

Summary

This chapter, after a review of the historical and conceptual developments of faculty evaluation programs, recommends the adoption of the Southern Regional Education Board's (SREB's) conceptual "Framework for Developing the Components of a Systematic Faculty Evaluation Program" in the design of staff evaluation systems. This conceptual scheme is described and its use in the University of Florida's 1980-83 National Faculty Evaluation Project for Community and Junior Colleges is discussed. The four basic components of the SREB model are: (1) the purpose of the evaluation system; (2) the areas of evaluation; (3 the essential elements of the system—standards, criteria, and sources of data; and (4) the procedure to be followed. Subsequent chapters contain additional illustrations of how these components have been incorporated into staff evaluation programs.

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With more demand for accountability, a workable system to evaluate full-time faculty has become a major need for many institutions.

Evaluation of Full-Time Faculty

Lawrence H. Poole
Donald A. Dellow

The evaluation of full-time faculty is at best a difficult task; some would say impossible. Both those doing the evaluating and those being evaluated care little for the process. Many of the forms of resistance to faculty evaluation are found in Arreola's discussion of establishing successful faculty evaluation and development programs in a later chapter.

One of the few things that writers agree on in evaluation literature is the need to have multiple sources of information on an individual faculty member's effectiveness (Brown and Thornton, 1971; McKeachie, 1978; Miller, 1972). Teaching is a complex and difficult process that cannot be evaluated on the basis of any one source of information, such as results from classroom observation, results from student evaluation, comments from peer evaluation, and so on. If the difficult process of evaluation is to be undertaken, most professionals feel they are better able to document their effectiveness when a combination of self-evaluation and outside evaluation sources are combined.

At the authors' institution, a number of efforts were made to establish an evaluation system. At first evaluations were accomplished in a cursory manner, except on those occasions when a faculty member was being considered for tenure or promotion. Even in these situations, the evaluator seldom had much objective data on which to make a judgment.

A. Smith (Ed.). *Evaluating Faculty and Staff.* New Directions for Community Colleges, no. 41. San Francisco: Jossey-Bass, March 1983.

This resulted in not building a base of information through annual evaluation and not giving individuals guidance on the areas in which they could improve. Faculty became disgruntled and lost confidence in the admininstration's ability to make accurate and fair personnel decisions. In having talked with many colleagues at other community colleges, the authors are convinced that this situation is not atypical.

An annual evaluation system was eventually implemented, providing the maximum amount of information for individual improvement of professional skills. The system was based on the concept of formative evaluation rather than that of summative evaluation. As a result, four basic components were incorporated into the overall evaluation system: classroom effectiveness, advisement effectiveness, professional development, and college and governance activities. In discussions with the faculty, it was determined that a weighting of the components would emphasize classroom effectiveness as sixty-five percent of the total evaluation. The other thirty-five percent would be comprised of a flexible combination of the other three components. Faculty members could emphasize any one of the components over the other two, with the exception of teaching effectiveness, for any given year. The weighting of one component over the other two is subject to approval by the faculty member's division chairperson. A discussion of each of the four components follows.

Classroom Effectiveness

In the policy manual for the college, the following indices are listed as being indicative of teaching effectiveness.

1. Motivating students toward superior achievement within his or her courses.
2. Generating an enthusiasm in and establishing rapport with students.
3. Presenting material in an orderly and preplanned method compatible with the stated objectives of the course. The level and intensity of the instruction also should be compatible with course and curriculum objectives.
4. Making maximum effective use of library resources, audio-visual aids, laboratory equipment, and so on.
5. Using a variety of teaching techniques to achieve the desired objectives.
6. Evaluating student performance adequately and equitably within the framework of the defined grading policy of the college.

7. Keeping course materials, including textbook selection and reference reading lists, up to date.
8. Providing sufficient time to assist students on an individual basis and encouraging students to take advantage of such assistance.
9. Providing instruction in such a way that it is effective to the greatest possible number of students.

Given the above indices, three major sources of information are used for the evaluation of teaching. The first is the yearly student evaluation of instruction, the Instructional Development and Effectiveness Assessment system (IDEA) from Kansas State University. This system is administered on a yearly basis for tenured faculty and on a semester basis for nontenured faculty. The division chairperson selects the course in which the IDEA evaluation will be completed; the faculty member has the option to select a second course or class section if desired. To standardize the procedure, division chairpersons administer all of the IDEA materials for their respective faculty.

One of the key features that attracted faculty and staff to the IDEA system was the fact that the instructor could prioritize specific objectives for instruction in a particular course. The results of the student response, in terms of norms, are then based on the instructor's ranking of course objectives. Faculty are given the results with specific comments on areas in which their approach to instruction is favorable and areas in which their instruction could use improvement. When indicating improvement, the report includes the identification of specific methods recommended. The system has been validated and tested extensively over several years (Aubrecht, 1979; Hoyt and Cashin, 1977).

The second major source of data on teaching effectiveness is the classroom observation completed by the faculty member's division chairperson. The division chairperson completes one observation per year for tenured faculty and one each semester for nontenured faculty. The observation form in Figure 1 has been developed to provide information on several of the criteria listed above as being indicative of effective teaching. The faculty member and the chairperson sit down and discuss the observation after it is completed. The faculty member may respond to the observation and make a rebuttal.

The third and last source of information on classroom effectiveness is provided in the faculty member's Professional Performance and Growth Plan in Figure 2. This is initiated by the faculty member in the late spring or early summer of the preceding year and outlines a plan of activities for the coming academic year. One section of the plan

Figure 1. Instructor Evaluation for Classroom Visitation

Name of Instructor_____ Class size_____

Subject_____ Method of Presentation_____

Date of Evaluation_____ Evaluated By_____

Date of Follow-up Interview_____

A. A checklist for evaluating some key points.

Directions: Check each of the items listed below on the scale provided. The scale may be interpreted as follows: 1. Unsatisfactory 2. Minimal 3. Satisfactory 4. Highly Satisfactory 5 Exceptional. Space is provided in Section D for comments. If you feel that you have no basis for judgement on an item, you may omit it. If an item is rated 1, 2 or 5 please justify rating of the item in your comments. (See definitions of terms at the end of this form)

	Unsatis-factory	Minimal	Satis-factory	Highly Satis-factory	Excep-tional	NA
1. Enthusiasm for the subject						
2. Imagination						
3. English Usage (vocabulary, grammar)						
4. Presence, Voice (modulation, diction)						
Teaching Characteristics						
1. Mastery of subject matter						
2. Organization of class (including use of objectives, etc.)						
3. Effective use of class time						
4. Utilization of teaching aids available						
5. Responsiveness to needs and interests of students						
6. Handling student challenges (poise)						
7. Rapport with students						
8. Holding student interest						
9. Guiding discussion						
10. Obtaining student cooperation						
11. Using questions effectively						
12. Relating learning to students' experience						
13. Responsiveness to individual differences in how students learn						
14. Responsiveness to individual differences in learning rate						

B. Answer the following questions as they apply to your evaluation.

1. In what ways does the instructor need to improve?
2. What strong points characterize this instructor's teaching?
3. Is the method of instruction the best for this learning situation?

C. Evaluation of General Teaching Effectiveness (check one)

1. Unsatisfactory _____
2. Minimal _____
3. Satisfactory _____
4. Highly Satisfactory _____
5. Exceptional _____

D. Additional Comments (Division Chairperson should include specific recommendations to assist instructor in improving teaching effectiveness. If possible, this section should be cooperatively developed by the Chairperson and individual faculty member).

_____ _____

Signature of Faculty Member Date

Figure 2. North Country Community College Professional Performance and Growth Plan

NORTH COUNTRY COMMUNITY COLLEGE

PROFESSIONAL PERFORMANCE AND GROWTH PLAN

For the period _____ to _____

I. FACULTY MEMBER'S NAME _____ DATE _____

DIVISION _____

II. Statement of General Intent (i.e. a stated balance of professional academic performance and development.) Stated goals and objectives while enhancing one's own professional standing and competence. This should include overall personal goals for the coming academic year.

III. Teaching

A. Plan: Describe any major change in your teaching responsibilities or approach that you anticipate during the academic year.

A'. Report: Describe any major changes in your teaching responsibilities or approach during the last year.

B. Plan: What do you anticipate may be other major teaching activities during the year?

B'. Report: What were your other major teaching activities during the year?

IV. Academic Advisement

A. Plan: Describe briefly your intended approach to academic advising including preparation and objectives. Also, list how many students you anticipate being assigned to advise.

A'. Report: Describe briefly your approach to academic advising this past year including preparation and objectives. List how many advisees you work with during this past year.

V. College Governance Activities:

A. Plan: Describe the College involvement or service activities you anticipate or desire for this year.

A'. Report: Describe your college involvement or service activities for the year.

VI. Professional Development

A. Plan: List all professionally-related courses, credit and non-credit, to be taken during the year. Also, list any degree or certificate program completions anticipated during the year.

A'. Report: List all professionally-related courses, credit and non-credit, to be taken during the year. Also, list any degree or certificate programs completed this past year.

B. Plan: List all professional seminars, conferences, membership in professional organizations, workshops and training-related activities anticipated for the year.

B'. Report: List all professional seminars, conferences, membership in professional organizations, workshops and training-related activities for the year.

C. Plan: Describe any anticipated professional activities or accomplishments during the coming year which are not adequately covered in the previous sections.

C'. Report: Describe any professional activities or accomplishments during the past year which are not adequately covered in the previous sections.

D. Plan: Describe your anticipated involvement in activity falling outside the College but still considered a professionally-related service activity during the year.

D'. Report: Describe your involvement in activity falling outside the College but still considered a professionally-related activity this past year.

VIII. Division Chairperson's comments regarding faculty member's plan.

_____ _____
(date) (signature of Division Chairperson)

_____ _____
(date) (signature of faculty member acknowledging Division Chairperson's comments)

Division Chairperson's comments regarding faculty member's accomplishment of plan for the past year.

_____ _____
(date) (signature of Division Chairperson)

_____ _____
(date) (signature of faculty member acknowledging Division Chairperson's comments)

requests faculty to outline any changes they expect in their teaching activities. It is assumed that faculty members will update their instructional approaches periodically. This section of the growth plan helps to document these changes. At the end of the year, the division chairperson goes over the growth plan with the faculty member to determine the extent that goals and objectives were reached.

The combination of the student evaluation data, the division chairperson's classroom observation data, and information on teaching from the Professional Performance and Growth Plan give both the faculty and administration considerable information on the classroom effectiveness of individual instructors. It is the composite of this information that the division chairperson utilizes to provide an overall evaluation of the teaching of each faculty member on the Summary Evaluation Form in Figure 3.

Advisement Effectiveness

Unless otherwise contractually arranged, it is assumed at the college that every full-time faculty member will advise students. Faculty are required to demonstrate that they are available to students for academic advising throughout the year. Several functions related to the advising process are assisting with each semester's evaluation, determining degree requirements, and referring students to personal counseling and tutoring when needed.

The evaluation of this activity is based on information the faculty member provides in the growth plan (see Figure 2) and information that the division chairperson derives over the course of the year in discussions with students, colleagues, and administrators. If students complain about the availability of a faculty member, the faculty member missing office hours, or if numerous waivers are processed because an advisor has not worked closely with students on degree requirements, it becomes a topic for discussion between the faculty member and the division chairperson. At the end of the academic year, the chairperson assigns a rating of the faculty member's student advising effectiveness on the Summary Evaluation Form (see Figure 3). The college is currently exploring a number of instruments that have been developed to poll student opinion on the quality of academic advisement they receive. The instrument selected will emphasize faculty development as a primary goal.

Professional Development

Continued development is one of the major requirements for keeping an institution alive and viable. The Professional Performance

and Growth Plan (Figure 2) is the instrument around which faculty plan their continued growth. By planning for growth at the beginning of each academic year and then evaluating progress at the end of the year, faculty are encouraged to keep professional growth at a high level of awareness.

The Professional Performance and Growth Plan is completed before the beginning of the academic year and is then reviewed by the division chairperson in a meeting with the faculty member. Before the faculty member completes the anticipated activities portion of the form, however, there is usually an informal planning session between faculty and the division chairperson. At this session, there is a discussion about how the individual's personal and professional goals are seen as fitting the goals and objectives of the department, division, and college-wide community. If this meeting does not take place prior to the completion of the growth plan form, the chairperson evaluates the plan with the faculty member and changes are informally negotiated between the two parties. The college administration recognizes that professional growth must reflect the willingness of faculty and college to invest time and monetary resources to ensure that plans become a working process for change.

At the end of the academic year, the faculty member completes the second portion of the Professional Performance and Growth Plan to indicate progress in achieving the goals set forth in the beginning of the year. The completed plan is reviewed by the division chairperson and the faculty member and an overall evaluation of the faculty member's professional development is determined. This evaluation is then transferred to the Summary Evaluation Form.

College and Governance Activities

It is recognized in the individual faculty contracts that college and governance activities are a part of one's professional role. Faculty participation on college-wide and divisional committees and in student clubs and student governance activities is seen as a prerequisite for satisfactory activity in this area.

The evaluation of activities in this area is done primarily through the report filed by each faculty member in the Professional Performance and Growth Plan at the end of the year. The division chairperson evaluates performance; this evaluation becomes a part of the Summary Evaluation Form for that individual.

Summary Evaluation

When all of the information described above has been reviewed and summarized in the Summary Evaluation Form, the faculty member

Figure 3.

NORTH COUNTRY COMMUNITY COLLEGE
SUMMARY EVALUATION OF FACULTY MEMBER
FOR ACADEMIC YEAR _____

To be completed by Division Chairpersons annually and supported by the results of student evaluation, direct observation, and self-evaluation.

Faculty Member's Name _____

I. Classroom Effectiveness:

1. Unsatisfactory _____
2. Minimal _____
3. Satisfactory _____
4. Highly Satisfactory _____
5. Exceptional _____

Comments: (If the above is rated 1, 2, or 5 please justify rating in comments)

II. Advisement Effectiveness:

1. Unsatisfactory _____
2. Minimal _____
3. Satisfactory _____
4. Highly Satisfactory _____
5. Exceptional _____

Comments: (If the above is rated 1, 2, or 5 please justify rating in comments)

III. Professional Development:

1. Unsatisfactory _____
2. Minimal _____
3. Satisfactory _____
4. Highly Satisfactory _____
5. Exceptional _____

Comments: (If the above is rated 1, 2, or 5 please justify rating in comments)

IV. College/Governance Activities:

1. Unsatisfactory _____
2. Minimal _____
3. Satisfactory _____
4. Highly Satisfactory _____
5. Exceptional _____

Comments: (If the above is rated 1, 2, or 5 please justify rating in comments)

V. Overall Evaluation

1. Unsatisfactory _____
2. Minimal _____
3. Satisfactory _____
4. Exceptional _____
5. Highly Exceptional _____

Comments: (If the above is rated 1, 2, or 5 please justify rating in comments)

Summary comments, including suggestions for future action by faculty member:

_____ _____
Signature of Division Chairperson Date

Accept Division Chairperson's Evaluation _____

Do Not Accept Division Chairperson's Evaluation _____

_____ _____
Signature of Faculty Member Date

*If faculty member does not accept the evaluation, a rebuttal must be submitted to the Dean of Instruction's Office within seven (7) days of the date of the signing of the evaluation.

and division chairperson meet to go over the final evaluation. At that time, differences of interpretation may be discussed and rebuttals by faculty may be accepted on the various components of the evaluation. The review of the Summary Evaluation Form provides an opportunity for faculty and administration to examine the year's success and begin preliminary planning for the coming year. Any objections to the division chairperson's evaluation may be noted by the faculty member and this may be indicated on the Summary Evaluation Form when signed by the faculty member. If, after discussion, the faculty member does not accept the chairperson's evaluation, a rebuttal must be submitted to the dean of academic affairs' office within seven days.

During the final week of the spring semester, the division chairperson forwards faculty evaluation materials to the dean of academic affairs. At that time, the dean reviews each faculty member's materials and the resulting evaluation by the appropriate division chairperson. A letter is then written to each faculty member either concurring with the division chairperson's evaluation or describing any points on which the dean disagrees with the chairperson's evaluation. In most cases, the letter is a good opportunity for the dean to acknowledge outstanding contributions of a faculty member and provide the necessary recognition for a job well done. The letter from the dean may also be the special incentive some faculty needs to improve.

Consistency of Evaluation

One item that is basic to any evaluation system is a set of rating terms that are defined so that different evaluators will be able to use the system in a consistent manner. Even after terms have been defined, it is possible that subjectivity enters the rating process. In order to overcome this, the dean of academic affairs meets with the division chairpersons each year just before evaluations are completed, to discuss and share rating practices. In this way, each faculty member receives a fair rating.

The following terms are used in the evaluation process:

Exceptional. The exceptional rating is reserved for an individual whose performance consistently exceeds the performance as described under the rating category "highly satisfactory."

Highly Satisfactory. The highly satisfactory rating is given to faculty members whose performance and responsibilities exceed the satisfactory level in a particular character or overall performance for the time-frame or situation being rated.

Satisfactory. The satisfactory rating is a standard rating. This rating indicates adequate performance and is what is expected of pro-

fessionals in a particular character or overall performance for the time frame or situation being rated.

Minimal. The minimal rating is given in situations where the faculty member needs improvement in certain situations, but whose performance and growth potential is such that this rating should be given rather than an unsatisfactory. The evaluator who assigns a minimal rating must justify this rating in writing and give specifics for improvement.

Unsatisfactory. The unsatisfactory rating indicates the individual fails to meet the minimal standard of performance expected of a faculty member. The evaluator giving this rating must specifically state in writing the ways in which the individual has failed to meet professional standards.

The evaluator is required to justify in writing an exceptional rating but is also encouraged to make written comments for the satisfactory and highly satisfactory ratings whenever such comments could provide additional help for the faculty member being rated or help the person to whom the evaluator reports understand the rating given.

Linking Evaluation to Reappointment, Tenure, and Promotion

As mentioned earlier, the evaluation system at NCCC has been developed so that the underlying basis and primary reason for its existence is the improvement of instruction. While it is recognized that at some point a person's evaluation materials will be used in making personnel decisions, the system has been designed to provide a number of sources of information and frequent interaction with the division chairperson. It is the primary responsibility of the division chairperson to help a faculty member become a successful member of the college's professional staff. When a recommendation for a second year of employment is being made in February of the individual's first academic year, the administration has already received a growth plan, at least one IDEA evaluation, and at least one classroom visitation by the division chairperson. This allows for a reasonable judgment for such a short time of employment. Except in the most unusual circumstance, where the evidence unequivocally indicates the faculty member is not an effective teacher, a second year of employment is offered. If there are significant deficiencies, constructive comments can be made at the time of reappointment that will guide the individual in making the necessary adjustments. By the time a continuing appointment or tenure decision has to be made, there are four complete evaluations and an additional IDEA and classroom visit on which to make a judgment. This pro-

vides ample time for an individual to grow and for the administration to make a decision based on as much objective data as possible.

The evaluation system at the college has been designed to dovetail with the promotional system. In the promotional system guidelines, an individual is eligible for promotion from assistant to associate professor when s/he has five years of highly satisfactory evaluations. Thus the individual has a quantitative and qualitative standard against which to measure performance. With reappointment and tenure decisions, the evaluation system keeps a faculty member well-informed as to how performance will affect chances for promotion. If there is a deficient area, the individual is informed through the evaluation system. Faculty are given the opportunity to plan strategies with the division chairperson to overcome these weaknesses.

Difficulties with the Present System

The evaluation system outlined in this chapter is a thorough and time-consuming process that provides ample evidence for making decisions about faculty effectiveness. As might be expected, however, it is often difficult for all the parties involved to take the time necessary to complete each step in as careful a manner as possible. Faculty sometimes take too long to get their Professional Performance and Growth Plans completed. Division chairpersons get busy and end up having to complete faculty observations too late in the semester for comfort. Faculty summary evaluations sometimes get crammed into the last hectic week of the semester. The demands this evaluation system places on the division chairpersons are onerous. The division chairpersons are in the best position to initiate and complete the many activities required of the system, but the competition for their time by other instructional and administrative demands often places a squeeze on the system.

In spite of the acknowledged problems in coordinating all phases of the evaluation system at the college, the process has been validated by the solid support of faculty and administrators. In the several years the evaluation process has been used, the parties involved have found it to be professionally sound. Faculty have a clear sense of how they are going to be evaluated and administrators have a relatively objective system with which to make judgments about faculty effectiveness over a reasonable period of time. There is agreement that parts of the system could use some fine tuning from time to time, but overall there is a professional pride in having a solid evaluation system that provides direction for a difficult professional activity.

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With the rapid expansion of the use of part-time faculty in community colleges, how can evaluation be used to assure accountability and parity with full-time faculty?

Evaluation of Part-Time Faculty

Richard L. Behrendt
Michael H. Parsons

The Yin of Parity, the Yang of Accountability

Evaluation is perhaps the most discussed and least understood concept in the literature describing community colleges today. In their recent analysis of the American community college, Cohen and Brawer (1982) suggest that the intent of evaluation has been to make faculty aware of their strengths and weaknesses thereby producing change leading to instructional improvement. Practically, they feel that evaluation has had little effect. If the Cohen and Brawer allegation is true, then more than a decade of effort has been wasted. Before it is possible to discuss the accuracy of their analysis, a historical and conceptual framework for investigation is needed.

In January 1971, a monograph published by the American Association of Community and Junior Colleges presented the then novel idea of accountability. The authors suggested that the college-community accept responsibility for their students. Their proposal was for faculty evaluation focusing upon how well students were being taught. Assessment was to be based on relevant criteria (Roueche, Baker, and Brownell, 1971). The monograph had an immediate effect

A. Smith (Ed.). *Evaluating Faculty and Staff.* New Directions for Community Colleges, no. 41. San Francisco: Jossey-Bass, March 1983.

upon a number of community colleges. Evaluation designs were prepared, committees argued over what assessment criteria were relevant, and pilot applications of a variety of systems were described at conferences and in journal articles. Faculty evaluation became an issue of the 1970s.

While faculty evaluation was gaining institutional acceptance, a second phenomenon of the decade was being recognized. Community colleges were employing increasing numbers of part-time faculty. Terms like *forgotten, neglected,* and *stepchildren* began to appear in the literature. Deans and presidents were questioning the competence of part-time faculty to personify the institution to students. Designs were being sought to ensure that part-time faculty would achieve parity with full-time teachers.

Evaluation seemed to be a process for realizing both accountability and parity. If students were learning, did it matter whether they were taught by full- or part-time personnel? In the instructional milieu, the same expectations could be held for full- and part-time teachers. Therefore, the same evaluation procedures could be used. Colleges convened committees to discuss, design, and implement evaluation for part-time faculty.

Or did they? A number of articles published in 1980 and 1981 indicated that evaluation of part-time faculty was not yet comprehensively accepted. Hammons (1981, pp. 51–52) summarizes the issue by saying, "the whole area of appraisal or evaluation of part-time faculty requires careful consideration, beginning with determining the purposes of the evaluation process and continuing through delineation of areas of appraisal, criteria to be used, standards to be applied, and the procedure."

In Chinese philosophy the universe is considered to be a dynamic duality. The yin and yang are constantly in contrast yet complementary. In the universe of part-time faculty, parity and accountability have a similar relationship. The conceptual framework of this presentation is that community colleges must be accountable to their clients and that faculty evaluation, for full- and part-time teachers, is an integral part of that accountability. The most effective evaluation procedures should be those that benefit all constituencies of the community college—students, faculty, and administrators. This method has been termed *mutual benefit evaluation.* The evaluation process will indicate whether parity of instruction exists between full- and part-time faculty. The process of recruiting, orienting, and evaluating part-time faculty suggests areas in which staff development will be required to ensure that parity exists between full- and part-time faculty.

Objectives for Part-Time Faculty Evaluation

To further develop a conceptual framework, these are the objectives suggested for any evaluation process for part-time faculty.

Formative Objectives

1. To arrive at a mutual understanding of the general institutional goals as well as specific instructional goals.
2. To foster an understanding of how the part-time faculty member fits into the achievement of these goals.
3. To help individual adjunct faculty members improve their teaching performance.
4. To promote communication among administrators, supervisors, and adjunct faculty members.
5. To increase the effectiveness and efficiency of all adjunct faculty as a team, as well as achieving parity between full-and part-time teaching staff.

Summative Objectives

1. To gather information to make personnel decisions on retention, salary, promotion, and so on.
2. To maintain an inventory of adjunct faculty resources for subsequent use by the institution or possible reassignment or retraining.
3. To gather data to conduct research on the factors related to the effectiveness of part-time faculty members.
4. To gather information to inform internal and external audiences on the effectiveness and worth of adjunct faculty.
5. To use this information to help determine the needs for staff development activities.

The experience of a community college with a decade of part-time faculty evaluation will be used to highlight the process of developing accountability and parity.

Hagerstown Junior College—A Frame of Reference

Hagerstown Junior College (HJC) is a public, comprehensive community college located in Appalachian Maryland. The college was founded in 1946 and its evolution mirrors the trends observable across the nation. In its first two decades, HJC was primarily a prebaccalaureate, liberal arts, transfer institution. Its faculty were full-time and its students fresh from high school. Beginning in the mid-1960s, the college

changed. Occupational programs were added, and off-campus courses offered. Community services emerged as a major new responsibility. Finally, part-time teachers entered the picture; by 1973 HJC was employing twenty-three such individuals.

A college committee was formed in 1972 to develop a comprehensive evaluation program. Subcommittees designed the process and developed instruments to use with administrators, full-time faculty, and classified staff. Initial applications took place in 1973 and by the end of that year all three segments of the college community were implementing accountability through evaluation.

Initially, part-time faculty were not included in the evaluation process. By 1974, however, the size of the part-time faculty had grown to thirty and it became obvious that improvements were needed. The administrative staff designed a comprehensive system for recruiting, orienting, and preparing part-time faculty for the classroom. Simultaneously, the process of evaluation for part-time faculty was started using the instruments already validated with full-time faculty. The system was implemented in stages over a three-year period. The basic components are worthy of mention here only as they affect evaluation; more comprehensive treatment may be found elsewhere (Parsons, 1980).

After part-time personnel are recruited, they are interviewed by the dean of instruction and the division chairperson. During this interview, expectations of the college are discussed with the candidate and strategies for realizing these expectations are explored. The evaluation system is described and the relationship between instructional design and evaluation is explained. Finally, the candidate is urged to use the division chairperson for support as a source of information and to answer all questions, including those regarding evaluation. Because the initial classroom evaluation of a part-time teacher will be conducted by the division chairperson, it is important that the new part-time teacher accepts the division chairperson as a source of information and support so that the evaluation experience will be viewed as positive and growth-oriented.

During the interview, the new part-time teacher is given a copy of the college's part-time faculty handbook, which includes evaluation instruments. The part-time teacher is encouraged to become familiar with these instruments to assist in organizing and focusing instruction. Finally, the new part-time teacher is told that the evaluation will be scheduled at a mutually convenient time, as a reassurance that the evaluation process is integral to and reinforcing of instruction. Because the date for the evaluation is selected cooperatively, new faculty retain a share of control over the course sequence. All of these aspects reinforce the positive, growth-oriented nature of evaluation.

The issue of evaluation is discussed with part-time teachers at the beginning of each semester during the orientation workshop. The dean of instruction reminds them that evaluations will take place. During the part of the workshop conducted by the division chairpersons, the focus is also on evaluation. Those scheduled for evaluation are notified that the procedure will take place. The division chairpersons encourage those who have participated in the evaluation process to share their reactions with those who have not. The results of this strategy have been favorable. Evaluation is generally perceived as a positive experience by participants and their support predisposes new part-time personnel to expect the same. Specific questions can be raised with the assurance that concrete, practical answers are available. The orientation workshop has evolved into an important introduction to evaluation.

The HJC model has developed over eight years as a system that makes evaluation an integral, expected part of instructional practice. As a result, both full- and part-time faculty do not perceive it as irrelevant or a threat. In the next section, the procedures of the evaluation process will be examined.

Part-Time Faculty Evaluation—Procedures

Part-time faculty are evaluated in their first course and in alternate courses thereafter. Since there are currently 100 faculty working part-time at HJC, the procedures for evaluation require planning and coordination.

At the start of each semester, the part-time roster is reviewed to determine who is due for evaluation. The dean of instruction prepares the list, then meets with the division chairpersons. Evaluations are assigned, with the dean assisting those chairpersons with the largest numbers. The data gathering phase of the evaluation is a two-part process.

A form is sent to the part-time instructor who is to be evaluated suggesting a date for the supervisor's visit. The instructor can accept the suggested date or propose an alternate. When the date is established, the evaluator prepares a packet which includes both student and supervisor evaluation questionnaires.

The student evaluation questionnaire contains fifteen items—thirteen concerning classroom practices and two covering advising. Instructions explaining the process make an explicit request that the students make anecdotal comments in the space provided on the response sheet.

The supervisor evaluation questionnaire contains eleven items focusing on classroom practices. Questions related to testing and advis-

ing have been deleted because they are not directly observable. The supervisor is expected to comment on the classroom behaviors observed in the space provided on the response sheet.

These evaluation instruments were developed by a college committee that reviewed a variety of instruments. Included were the Flanders' Interaction Process scale (University of Michigan), the Justin Morrill Honors College instrument (Michigan State University), the Instructional Development and Effectiveness Assessment form (IDEA, Kansas State University), and the Student Instructional Report system (SIR, Educational Testing Service). Content analysis of these systems indicated a common core of data gathered by each instrument. These core items we included in the HJC questionnaires. The HJC instruments were validated by a process of comparison with the results of an institution-wide IDEA system application which will be discussed in detail later.

The visiting supervisor observes the instructor for approximately forty-five minutes. The instructor is then asked to leave. The supervisor explains the evaluation process and the instruments to the students. The students are requested to complete the questionnaire and the supervisor is available to answer questions. The evaluation is anonymous. When the students have completed the evaluation, the supervisor collects the questionnaires and either dismisses the students or returns the class to the instructor. If time permits, the supervisor discusses the process with the instructor to answer questions, assuage concern, and describe the mechanics of the system.

The results of the objective portion of the evaluation are scored with frequencies and percentages computed for each question. Student comments are typed on a summary sheet. Both components are reviewed by the division chairperson and, if the results of the evaluation fall within acceptable limits, the results are simply held until the end of the semester. A copy is sent to the instructor with a letter from the dean of instruction explaining the meaning of the evaluation. If the instructor has questions, the individual is encouraged to meet with the appropriate division chairperson. The results are filed so that the summary and typed copy of student responses can be shared with students, staff, or concerned citizens if questions arise. This process protects the integrity of the college and the instructor.

The Utility of Part-Time Evaluation

In one of the more cogent assessments of teacher evaluation, O'Hanlon and Mortensen (1980, pp. 664-671) advance an important principle: "No evaluation procedure can yield good data if the testing

conditions are not sound." The HJC staff who developed the evaluation system were concerned about two methodological issues and one procedural issue. The first methodological issue is the parity between full- and part-time teaching. To determine whether part-time faculty are as effective as full-time faculty, the results of the evaluations have been summarized for both groups. A comparison of the frequencies and percentages summary for both groups reveals no significant difference. On the basis of supervisory and student assessment of instruction, parity has been reached.

The second methodological issue is the validity of in-house instrumentation. To establish validity, the college sought to compare its results with those obtained using an outside design. Two years after initiating full- and part-time faculty evaluation, the college received an exemplary research grant from the Maryland State Board for Community Colleges to examine faculty evaluation and validate the in-house system. HJC contracted with the IDEA Center at Kansas State University. During the next year, all full- and part-time faculty were evaluated using the IDEA system. The IDEA institutional summary was compared with the college's frequencies and percentages summary. No significant differences emerged. At the time of the research project, IDEA had normative data from eight million applications. Given the lack of divergence, the college staff accepted that their instruments were valid.

An interesting ancillary benefit of the IDEA experiment was the reinforcement of parity of instruction between full- and part-time faculty. As a result of the design used with the IDEA experiment, it was possible to distinguish between full- and part-time faculty on the IDEA summaries. Again, no significant differences emerged between the two groups. The outcome, replicating the findings of the college's summaries, reinforced the assessment that parity had been reached.

The procedural issue that was of concern to the college staff emerged from the literature on faculty evaluation. The twin concepts of timing and confidentiality are presented as determining factors in the reliability of student evaluation of teaching (Centra, 1975; Frey, 1976). HJC staff decided to control these variables to reinforce the reliability of the in-house process. As indicated above, instructors never see the actual student rating sheets. They are given summaries and a typed copy of the student comments. Results are transmitted after the semester is completed. Students are made aware of this procedure so that they may respond honestly without fear of reprisal.

The concept of timing includes when the evaluation occurs. If it is scheduled too early, the students do not know the instructor well enough to respond accurately. If the evaluation is scheduled too late,

such extraneous variables as final examinations and grade threat enter in. Therefore, evaluations at HJC occur between the sixth week and the thirteenth week of a sixteen-week semester. This time limit has proven to be efficient in letting students get to know their instructor while controlling for test threat and final exam-itis. Procedural controls to reinforce reliability are an important part of any evaluation system for full- and part-time faculty.

An outcome of part-time faculty evaluation has been characterized as "the integration of part-timers into the institutional fabric of instructional effectiveness" (Cottingham, Newman, and Sims, 1981, p. 14). If part-time personnel are to become effective instructors and grow in their commitment to teaching and to the college, staff development opportunities must be made available. HJC initiated staff development for part-time faculty five years ago. Continuing review of the results of part-time faculty evaluations indicated that these teachers are steeped in subject matter but not trained in instructional techniques. In 1978 the college received a grant from the Maryland Division of Vocational Technical Education to implement a teaching workshop for part-time faculty to involve them in decision-making regarding evaluation, staff development, and other issues of concern. Since then, HJC has conducted the workshop annually, each time focusing on a different teaching technique.

In 1980 the dean of instruction appointed a part-time faculty advisory committee. The workshop, advisory committee, and involvement in other divisional and college activities are designed to make part-time faculty an integral part of the college community. As a result, faculty are evaluated and provided with growth opportunities.

The Benefits of Evaluation

In his recent research into the issues surrounding part-time faculty, Tuckman (1981, p. 10) concludes that "the major concern is that institutions will use the part-time labor pool as a source of cheap labor rather than as a means to upgrade their instructional program. It would be a great tragedy if we fail to recognize one of the few tools we have left to stave off the effects of the coming decline."

Benefits to the part-time faculty include the following:

1. Integration into the college's intellectual community and the establishment of psychological ownership of the college's mission;
2. Improvement of individual teaching effectiveness;
3. Increased enjoyment and satisfaction in teaching;
4. Development of potential as a teacher;

5. Since faculty normally teach subjects closely related to their full-time occupation, improvement in understanding of the subject area leads to an improvement of their full-time job performance.

There is a final benefit which is somewhat controversial since the amount paid per credit hour for part-time teachers is relatively small when compared with full-time faculty salaries. However, part-time faculty who are employed full-time elsewhere have stated that the pay, albeit low, makes legitimate and attractive the expenditure of time that they probably would make anyway because of their love for teaching. In addition, for those seeking full-time teaching positions, the limited pay allows them to stay in teaching and build a base for possibly entering teaching on a full-time basis. Perhaps these reasons help account for the increasing number of applicants for part-time positions.

Benefits to the institution include:

1. Better teaching performance, leading to more satisfied customers through effective learning;
2. A more stable pool of part-time teaching faculty;
3. The information necessary to make personnel decisions;
4. An integrated teaching faculty that understands the objectives of the institution;
5. Increased cooperation with local businesses and industries, who generate support and act as a recruitment source for the community college;
6. As adjunct faculty are integrated into the institution, they provide assistance in helping to evaluate program effectiveness.

Recommendations

In summary, part-time faculty evaluation is a necessity as community colleges engage the uncertainties of the 1980s. But there are positive strategies that must be used if evaluation is to work.

1. Adjunct faculty members should be assigned to an instructional division rather than having them responsible as a group to a certain office or individual.
2. Staff development and evaluation must be linked.
3. Any effective evaluation model must contain suggested areas of improvement for the staff member.
4. Self-evaluation should be included in the process.
5. The evaluation procedure must include students, supervisors, and, in selected instances, peers.
6. The evaluation system should be validated regularly.

7. The timing of the evaluation should be carefully planned.
8. Evaluation must be presented to the part-time faculty as a positive, growth-oriented activity.

Similarly, some caveats must be advanced.

1. There must be a general institutional commitment to overall staff evaluation for adjunct faculty evaluations to be effective.
2. The institution must possess a base of expertise to conduct the evaluation system properly.
3. Since the literature has concluded that faculty are basically antagonistic to evaluation, any evaluation system must have faculty involvement in its development and implementation.
4. Adequate support services similar to those available to full-time faculty members must be provided to adjunct faculty.
5. While trying to integrate adjunct faculty into the college community through such techniques as evaluation, we must remember that the needs of these people are different from those of the full-time faculty members.

Future Directions

Cohen and Brawer (1982, p. 365) conclude their study of the American community college by saying that "the true supporters of the community college, those who believe in its ideals, would consider the institution's role on both educational and philosophical grounds. Democracy's college deserves no less."

Part-time faculty have the potential to become a significant group in implementing the educational and philosophical role of the community college. Faculty evaluation should be used as a tool to seek more overlap among credit/noncredit and full-time/part-time teaching staff members so that these artificial barriers are removed. Community colleges must invest in developing the resources of part-time faculty. Additional incentives should be considered. Special training in the peculiar needs of adult learners should be provided to part-time faculty. The challenge resides with the colleges.

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Administrator evaluation should be a part of a total plan for institutional evaluation and quality assurance.

Evaluation of College Administrators

James L. Wattenbarger

The accountability which has become the anticipated norm in the operation of community colleges is in keeping with the responsible approach that is expected from all public institutions in the 1980s. Much of higher education has been slow to recognize this accountability requirement. In fact, universities seem to be even more reluctant to accept responsibility for accountability than are community colleges. Current literature relating to accountability is more often written by community college observers than by those who study universities.

Accountability has included studies of institutional missions, goals, and purposes; reports of needs assessment surveys; cost analysis studies; self-studies; evaluations of administrators; and accreditation reports. Annual reports of the president or the boards of trustees have provided descriptions, both verbal and statistical, that demonstrate the effectiveness of a particular college in a particular year.

Evaluation of Administrators

Most of these reports, however, give very little attention to administrator evaluation. The accomplishments of the president and the executive staff are measured by the relative success or lack of it in rela-

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tion to the college as an entity. Very little analysis beyond that generalization has been provided. The real need for improvement in management is seldom identified.

While the idealized collegial approach to administration is recommended and described as the goal of the college executive, few presidents and administrative staffs demonstrate their faith and their acceptance of collegiality in their decision-making on a day-to-day basis. As a result, a number of colleges and universities are poorly managed, wasteful, ineffective, and expensive. As with hospitals, the tendency to measure superiority in terms of increased expenditures for service is more often the accepted standard for quality than other evidence.

It appears illogical, however, for a college to develop procedures to evaluate programs, to measure student progress, to evaluate faculty and career service staff, while ignoring the need to establish procedures for evaluating the executive and management staffs. Administrator evaluation should be a part of a total plan for institutional evaluation and quality assurance.

From an organizational point of view, the administrator must be the focus of several basic questions:

1. How does this position implement the organizational goals?
2. What tasks does one need to carry out in order to implement the college goals?
3. How are these tasks assigned to individuals?
4. How does the college hold individuals responsible?
5. How can the board assure quality performance?
6. How can the board measure the extent of success?
7. Who is responsible for measuring success?
8. What are the formal procedures established for measuring success?
9. How will performance be rewarded?

These questions must be answered in any plan for organizational development. In viewing himself within the organizational structure, an individual conducts a self-evaluation which is usually continuous, whether it is formalized or not. He asks himself: What is my responsibility? What do I need to do in order to implement college goals? What are indicators of success in accomplishing the position's responsibilities? Who measures my success? How is my success measured? How will I be rewarded for my efforts and my successes?

The well-designed plan will answer these questions from the points of view of the organization and the individual. Administrator evaluation is a part of a total plan for the total organization. It does not happen by accident; it is not effective in an informal, unplanned manner. It is a part of a complete concept.

Purpose of Administrator Evaluation

An effective evaluation plan is necessary because it provides a formal framework for the individual in an organization to discuss performance, achievements, and hindrances from a personal and individual point of view and from an organizational point of view. The casual, informal approach is not enough. A discussion of achievements without examining weaknesses provides little ground for improvement. The collection of data on which to base discussion becomes part of the plan.

Performance standards must be established. These become the criteria to which activity may be referenced. The relative achievement, related to the established standard, provides a basis for measuring success. Generalizations can then be replaced by specifics.

Improvement in efficiency for both the individual and the organization is a direct result. Corrections and adjustments to the standards provide a basis to develop a more efficient organization as well as more effective individuals. These observations, measurements, corrections, and judgments make it possible to identify serious deficiencies that can be changed or eliminated. All too often these deficiencies pass by unnoticed and uncorrected in many college management staffing reviews. When there are no defined performance standards and formal evaluation procedures, correction of these deficiencies is difficult.

One area of benefit is a clear focus on training needs. Measuring performance standards is a process of identifying what needs to be done. By identifying the desired standard of performance, an individual's training needs are identified, and from this information, group training needs are also clarified.

Of course, the improvement of management performance is a primary organizational development goal, but even more important is the ability to provide in a fair and defensible manner the basis for rewarding outstanding performance, or for dismissal when made necessary by inadequate or substandard performance. The determination of pay increases, the basis for promotion, the rationale for transfer, and the rational basis for dismissals are direct results of evaluation.

When applied to individuals, the evaluation process provides feedback which is a basis for self-examination as well as superordinate evaluation. Individuals are thus motivated to perform at a higher level or even to recognize when responsibilities have exceeded their personal potential. Achievement is recognized and rewarded. A lack of achievement is also noted and opportunity for improvement, transfer, or other change provided.

A final benefit of evaluation is the organizational improvement that results from attention to management efficiency and effectiveness.

Individual evaluations provide a basis to examine the pattern of the total organization. A more effective college is a potential result.

Administrator Evaluation and College Mission

All the advantages, benefits, and improvements resulting from a well-developed administrator evaluation plan are closely related to the mission of the community college, as described in the literature and encouraged in institutions around the nation. The commitments of an open-door institution providing a diversity of educational opportunities to target populations within a specific geographical area require continuous attention to planning, to comprehensive curriculum development, to cost efficiency, and to managerial competence. Colleges that are effective in serving the areas to which they are assigned must know what they are doing and how well they are doing it. The development of an administrator evaluation plan requires that all personnel understand the mission of the community college and how their own positions relate to that mission. Performance criteria may also be evaluated in terms of the college mission. Identifying training needs and improving morale and individual efficiency extend educational services and implement even further the college mission. Administrator evaluation is an essential part of total organizational development.

Lahti (1975, p. 9) points out, in summary, that "an effective management performance appraisal system will provide an institution with (1) awareness of the individual manager's performance, a means of obtaining useful feedback, and an opportunity to coach further improvement; (2) advancement of organizational development through an assessment of promotional potential as well as development need; and (3) back-up data for better decision making related to compensation, promotions, and dismissals, and a reference base for personnel decisions."

General Guidelines

The questions raised by performance appraisals are not new or unique to colleges and universities—in fact, educators will benefit from a review of the literature on performance appraisal in personnel publications focusing on public employees, business and industry, hospitals and health-related institutions, in addition to those dealing specifically with colleges.

These generally call for policies and procedures that are complete, clear, consistent, and documented. Lupton (1979, p. 45) summarizes these in his "Ten Commandments" article:

1. Performance appraisal policies and procedures must be complete, clear, consistent, and documented.

2. Records—usually completed appraisal forms—must be retained to provide evidence of appraisal judgments and the specific reasons for the judgments if they are challenged.

3. The work behaviors or outputs evaluated must be explicit, as objective as possible, and demonstrably job-related.

4. The work behaviors or outputs evaluated must be reviewed periodically to ensure that they have not become irrelevant or obsolete.

5. The methods used to gather performance data must provide sufficient detail to ensure adequate evaluation of performance.

6. The techniques used to develop performance measurements must be reliable and valid.

7. Provision must be made for initial and ongoing training of appraisers.

8. Appraisers must be given feedback on and held accountable for the quality of their appraisals.

9. The quality assurance and appeal procedures must prevent the undue influence of a single individual on appraisal judgments and the personnel decisions that may flow from them.

10. The program must provide an opportunity for the employee to discuss the appraisal and introduce comments or new data into the record, and a channel of recourse for those who feel a particular appraisal is unfair.

Anderson (1977, p. 13) has also emphasized the same points:

1. An appraisal system must never fail of dignity and confidentiality.

2. The nature of the human condition—that all of us are flawed—should be understood by all. Perfection as an ideal may be entertained; but it is best for those involved in evaluation, particularly those who evaluate the evaluation and deal directly with the evaluated administrator, to understand human limitation—that all of us err, that understanding of potential human response is essential, and that all evaluation inherently involves criticism.

3. A person evaluated has a right to know how he or she was evaluated, the criteria involved, and how he or she rated.

4. Evaluation involves so many variables and so many that are qualitative, subtle, and complex that an evaluation does not produce a simple document; a checklist of modest length; or a score, ratio, quotient, or other quantified, simplistic measure.

A final word of warning regarding performance appraisals is sounded by several authors when they stress that the criteria used in making judgments must relate to the purpose of the appraisal. If a col-

lege wants to reward individuals with increased pay and status through the appraisal program, then the data collected and used must be job- and result-oriented. If, however, the college wants to develop people in order to enable them to perform their jobs with skill and competence, then the data collected must relate to personal improvement and means-oriented activities. A college must consider long-range results as well as short-range improvements in making such an important decision.

Type of Approaches

An examination of current practice in administrator performance appraisal indicates several types of appraisal systems: Lahti (1981) describes these as unstructured narration, unstructured documentation, structured narration, structured documentation, rating scales, critical incidents, and goal setting and goal achievement. Sprunger and Bergquist (1978) list similar categories, omitting the critical incident type and labeling the last type as management by objectives (MBO). In discussing evaluation in more general terms, Guba and Lincoln (1981) advocate a naturalistic approach combined with a responsive approach. They point up three main procedures for collecting data: interviewing, observation, and nonverbal communication. They suggest use of documents, records, and unobtrusive measures as additional sources of data. In their final chapter, Guba and Lincoln (1981, p. 369) suggest that the form of the report may differ in a variety of dimensions. In a formative-summative report, the purpose may be to improve or refine an entity or to render an overall judgment of its input. Formal-informal reports may be formal, orthodox, conventional, rigorous, and technical or informal, unusual, unconventional, "soft," and nontechnical. Written-nonwritten reports may take the form of extensive written documents, or they may be made orally through films, tapes, skits, or in a variety of other nonwritten forms.

Unstructured. These commonly used formats provide examples of several acceptable formats for the evaluation of administrators. As previously noted, there are two types of unstructured performance appraisal systems: narration and documentation. Although these are not necessarily mutually exclusive, in many situations the unstructured narration is most commonly used. In this format, the evaluator writes a description of the administrator's activities and accomplishments over a specific period of time. The description is not focused on any specific question or taxonomy. One form this type of evaluation often takes is a series of letters that constitute an individual's personal file. As Guba and Lincoln (1981) suggest, the evaluator decides which criteria will be

appraised. If that person is the supervisor or superordinate, there may be a high coincidence between the evaluative and the job performance goals.

Unstructured documentation is most often used to provide a sampling of the many activities an administrator carries out. It may include letters, daily logs, ratings of subordinates, and reports of various types. The portfolio contains these without any predetermined criteria and is often assembled by the administrator himself or herself. This system is primarily the result of self-directed evaluation.

Structured. Structured performance appraisal systems are also found in two formats: structured narratives and structured documentation. An essential difference between the structured and unstructured systems is the establishment of criteria to guide the appraisal. In the structured instances, questions related to administrative performance are asked, such as "What are the strengths of this administrator which typify his work?" Since these questions provide a framework for the narration, it becomes structured even when more than one evaluator is used or more than one administrator is evaluated. Structural documentation follows a predetermined outline of categories for the types of information expected. Typical categories are those relating to job functions, skill areas, quantitative measurements, and other indications of success or failure. These represent criteria or goals and may be selected by colleagues, subordinates, or superordinates. The individual may be assigned the responsibility for producing documentation; selection of evidence then becomes the administrator's own responsibility.

Rating Scales. Rating scales are in common use in evaluating classroom teaching. There are a number of forms that have been developed, validated, and standardized, but some colleges develop their own as well. When focusing upon administrative skills, however, there are few examples of predeveloped rating scales that have been validated or standardized. The variety of criteria used in appraising administrative performance is a major reason for this. Each position carries different assignments of responsibility; each college develops a different structure. The tendency in using rating scales is to develop a specific situation-oriented scale. There are, however, commonalities in topics: required skills, desirable personal qualities and characteristics, expected commitment, human relationships, effectiveness, and so on. These scales are completed by subordinates, peers, and superordinates in the bureaucratic structure. In some instances, there is a provision for students and members of the community to contribute their ratings as well. Rating scales represent the attempt to establish predetermined criteria to an administrative situation.

Critical Incident. The critical incident appraisal system represents a modification of the narrative approach. A supervisor keeps a

written record of incidents that illustrate an administrator's positive or negative behavior. The incidents constitute a continuing record of behavior to be evaluated in periodic conferences. The incidents represent a pattern of behavior and are used as a basis for evaluation. The difficulties are obvious. Documentation is time-consuming and the feedback is most often delayed until it is too late to discuss the incidents. Here again, criteria are established by those who write up the incidents.

Goal Setting/Goal Achievement. The final type of performance appraisal identified in this taxonomy is called management by objectives (MBO), or goal setting/goal achievement. A great deal of literature on MBO has been written during the past few years, and some misunderstandings, misconceptions, and misuse have occurred. Therefore, some authors have avoided the use of the term MBO and have used goal setting/goal achievement instead.

This system of appraisal meets many of the personal development goals that are expected in a well-managed situation. In this procedure, the administrator participates in establishing the goals that contribute to the criteria by which activity is appraised. Periodic evaluation takes place in order to establish progress. Types of supportive documentation are agreed upon prior to collection. Analysis of the documentation is an individual activity and a supervisory one; ways of improving are developed through mutual agreements. Opportunities for training are provided. The administrator is evaluated as a part of the total organization. Organizational goals are therefore important to individual goals. A well-developed appraisal system using this orientation is a part of a total system.

Because individual administrators are involved in developing their own goals and objectives, a systematic approach is the result. The superordinate has an opportunity to react to these goals and to participate in refining them. In this way, organizational goals become a part of the standards by which performance may be measured.

The process is continuous. Periodic but regular conferences are held in order to review, evaluate, and correct directions. Annual reports become a part of the record. Job responsibilities may be classified, emphasized, and even modified through these conferences. Job descriptions are thereby kept up to date.

Special Problems

There are, however, several special problems which must be considered. Interviews may not be as valuable if certain warnings are not heeded. The superordinate must be willing to assign adequate time

to the appraisal and must demonstrate sincere interest in the process of evaluation and in the development of the individuals involved. A certain amount of empathy, understanding, flexibility, and objectivity must be present. The discussion must not be adversarial or judgmental. The art of listening becomes more important than the art of telling.

Second, the data that are collected must be anticipated and predetermined. Secret reports and surprises must be avoided. Data should be definitive rather than vague, based upon collectible factual information rather than emotion or opinion. The predetermined objectives must be related to institutional goals. Adequate time must be allotted to attain these goals.

Misuse of results must be viewed as nonproductive. Clear understandings developed when the goals are established will avoid many problems. If administrators have participated in establishing their own goals, in describing the data to be used in measuring attainment, and in analyzing the results after an adequate period of time, they cannot feel that unfair decisions have been made.

Time should be spent in developing basic statements. Appraisal conferences should review the basic work and become an extension of those early interviews. The essential consideration in evaluating administrators is to provide adequate time, to be consistent in approach, and to avoid misuse of results. A summary set of standard questions may be posed to the administrator by the evaluator near the end of the interview to emphasize the purpose of the entire activity.

The final caveat for the evaluator is to make certain that the mutually understood conclusions are honest, specific, and productive. Questions that lead to the next conference should include definition of duties and responsibilities, challenge of the work itself, feelings of adequacy for the position, awareness of the level of support, and understanding of the college mission and the individual's personal relationship to it.

Future Directions

There is no question, however, that this goal-oriented approach is the most productive in administrator performance appraisal. When accompanied by a well-developed professional development program, personal and organizational improvement result. The current literature stresses specific examples of management improvement programs. Administrator performance appraisal, while often implied rather than named, must be an essential element in all of these (Poulton, 1981).

There is a continued need to develop better data collecting instrumentation. This need can be met when there are more examples of

goal-oriented performance appraisals that are shared with professional colleagues. The challenge is to develop these. The result will be better managed and administered colleges.

Trends

The trends identified in performance appraisals of community college administrators are not difficult to describe: The pressure for more effective management combined with limited resources requires organizational development and institutional planning in all colleges. The alternatives selected by individual college administrators are subject to review, appraisal, and evaluation by peer administrators, faculty, students, boards of trustees, and the public in general. These evaluations may be unstructured, informal, and even ineffective in the short run, but the administrator must expect his behavior to be appraised. The objective is to make this appraisal productive for the organization and for the individuals.

Good procedures require that an institution develop a total system for accountability including a clear understanding of the purpose of administrator appraisal, the relationships between individual performance and college mission, the locus of responsibility for evaluation procedures, the relationships between appraisal and professional growth, the data to be collected in performance appraisals, the instrumentation to be used, the ultimate use of collected data and the effect these activities have on institutional long-range strategic planning. Such accountability is the basis for an effective educational institution that serves the community in accord with its assigned mission in the most effective way.

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The questions two-year colleges have about student ratings are very similar to those four-year colleges have; so are the answers.

Concerns About Using Student Ratings in Community Colleges

William E. Cashin

It should come as no surprise to anyone that college faculty do not enjoy being evaluated. Since student ratings are probably the most widely used source of information for evaluating faculty, it should also come as no surprise that faculty have expressed a great deal of concern about the use of student ratings. This chapter will attempt to outline some of the more common concerns and to suggest some possible answers.

This chapter is based on two sources: the research on student ratings and the experience of the Center for Faculty Evaluation and Development at Kansas State University. The research on student ratings is extensive; in volume, it probably equals all of the research on the other sources of information used to evaluate faculty performance. An ERIC computer search indicated 798 citations on "student evaluation of teacher performance," the ERIC description for student ratings. Fifty-nine of these citations were related to community colleges or two-year colleges or technical institutes. Many of the studies cited only incidentally dealt with student ratings, using them as measures to research some other issue, so this chapter will draw upon the general student rating research as well as that conducted at two-year colleges.

A. Smith (Ed.). *Evaluating Faculty and Staff.* New Directions for Community Colleges, no. 41. San Francisco: Jossey-Bass, March 1983.

Since it was begun in 1975, the center at Kansas State has provided student rating services to over 60 two-year colleges and has consulted with about 30 two-year colleges. In addition, the center has provided student rating services to approximately 200 four-year colleges and universities and consultation to another 100 or more institutions. This experience also provides background for this chapter.

Considering the differences between two- and four-year institutions, people are sometimes amazed that they share many of the same evaluation concerns, but the issues these institutions have in common far outweigh their differences. At many institutions, the problem is not so much with student ratings as with the institution's evaluation system in general. In our experiences, none of the concerns that two-year colleges have about student ratings are unique to them, although some are more common to two-year institutions. Therefore, this chapter is divided into four sections: general problems with faculty evaluation systems, problems with faculty evaluation systems more common to community colleges, general problems with student ratings, and problems with student ratings more common to community colleges. The first two sections will be brief, since they are treated by other writers in this volume.

General Problems with Evaluation Systems

A major source of difficulty with any evaluation system is the confusion between evaluation and development. Both involve the gathering of accurate, meaningful, and interpretable data. However, the intent of evaluation—or summative evaluation, to use the distinction made in the second chapter—is to make personnel decisions. The intent of development—formative evaluation—is to gather diagnostic data to help the individual teacher improve. Evaluation must be comprehensive. It must cover all of a faculty member's responsibilities and the data used must be representative of the faculty member's overall performance. For development, it is sufficient if data are obtained in those areas the faculty member has selected for improvement.

Much of the faculty evaluation rhetoric states that the primary purpose of gathering data is for faculty development. However, almost every institution also wishes to use the data to make personnel decisions. This being the case, in the faculty member's perception the primary purpose is evaluation. A secondary purpose may also be development, if the institution offers formal, systematic help to faculty who wish to improve. Such help is generally limited, although there are notable exceptions. States like California, Florida, and Tennessee have statewide policies designed to fund faculty development. Since most

evaluation systems have multiple purposes, making all of the purposes explicit at the beginning will save a lot of time and emotional energy.

Often an evaluation system is revised quickly to meet an emergency such as a particular personnel problem or an impending lawsuit. These revisions often solve one problem by creating another. If an institution is going to take the trouble to revise its evaluation procedures, it should also take the time to consider the entire range of evaluation purposes and to involve everyone in the discussion of the changes. In the long run, this is the most efficient approach.

A final, general problem with evaluation systems is that, in a desire to be fair, they try to treat everyone uniformly. The only way an evaluation system can be fair is to recognize the real and legitimate differences in various academic programs. Requiring the same kind of academic credential for every instructor may be inappropriate. If one is teaching building trades, being a master plumber is more important than being a master of arts.

Problems with Evaluation Systems More Common to Community Colleges

Two-year college faculty typically have heavier workloads than those at four-year institutions, teaching twelve to fifteen credits a semester instead of six to twelve. When committee work, advising, and other duties are added to their teaching loads, faculty have relatively little flexibility to focus on teaching one semester, a service project another semester, and so on. Usually their time available for development is quite limited. Therefore, they question the use of time-consuming, complicated evaluation systems that yield a great deal of differential information about faculty performance. Two-year college faculty are more likely to want an evaluation system that focuses on their major duties.

Many two-year institutions do not have merit pay systems, academic rank, or even tenure. At these institutions, retention or termination is the only real personnel decision. If this is the case, it is not unreasonable for faculty to oppose an evaluation system that collects a great deal of data about everyone, every year. Such evaluation systems tend to gather more information than anyone is going to use; these systems evaluate for evaluation's sake.

Many two-year colleges began in the public school system. They often have a history of stronger administrative control than do four-year colleges. Administrators tend, therefore, to initiate changes in the evaluation system without enough consultation with the faculty for them to really accept the system. Without faculty acceptance, little faculty development is likely to result.

General Problems with Student Ratings

A great many questions about student ratings have been answered by the research. The interested reader is referred to the following reviews of the literature: Aleamoni (1981), Aubrecht (1979, 1981), Feldman (1976a, 1976b, 1977, 1978, 1979), and McKeachie (1979). A few problems, however, warrant special mention in the context of this chapter.

Overinterpretation. There is a tendency on some campuses to overinterpret student ratings and to attach more precision to the number than is merited. Student rating data for individual instructors should not be reported beyond the first decimal place.

A more general caution is in order. Student rating data are used to evaluate an instructor's teaching effectiveness. Evaluators often lose sight of the fact that these data reflect only one aspect of teaching. There is no more reliable source of information about classroom activities—such as whether the instructor speaks clearly, uses discussion, and so on—than student ratings. Students also are an appropriate source of information regarding questions about whether they have been intellectually stimulated or how much they have learned.

There are a number of important aspects of teaching which the students are not equipped to judge, however. Students are not curriculum experts and are not in a position to judge whether the instructor is knowledgeable in the field or whether the course is as comprehensive as it should be. Faculty or administrative subject matter experts reviewing the range of course materials, from syllabus to graded exams, can better make this kind of judgment. Some form of descriptive self-report should also be included when evaluating. When all three sources of data—the results of student ratings, subject matter experts' judgments based on course materials, and the instructor's self-report—support the same conclusion, then evaluators may feel reasonably confident that they have an accurate and fair impression of the instructor's teaching of that course. If there are any discrepancies among these three sources of data, then it is wiser, and fairer, to obtain additional data from other sources. The kind of additional data sought would depend on the nature of the discrepancy.

Reliability and Validity. Two-year college faculty and administrators, like their counterparts in four-year colleges, ask whether student ratings are reliable and valid. If there is agreement about anything in the student rating research, it is that ratings are reliable. Reliability is used here in the statistical sense, meaning that the ratings are accurate and consistent. Reliability, however, is very much tied to the number of raters: The more raters, the higher the reliability. Prefer-

ably, ratings should be obtained from ten or more students. (For further discussion and additional references, see Aubrecht, 1979, 1981; Feldman, 1977.)

The question about the validity of student ratings is much harder to answer. Essentially, the question can be reduced to: Are instructors who receive higher student ratings also more effective teachers? The problem is that there is no generally agreed-upon measure of effective teaching, so the question cannot be tested directly. It can be tested indirectly, however, by using various measures of effectiveness.

One measure of effective teaching is student learning. A summary of the research by Cohen (1981, p. 295) concluded that, on the average, student ratings of their own learning correlated .47 with external measures of student achievement. Overall, ratings of the teacher correlated .43. In other words, students who say they learned a lot and that the teacher was effective also tend to score higher on an external exam.

If one is willing to accept ratings by colleagues or administrators as a way of validating student ratings, studies have found correlations between student ratings and colleague or administrator ratings to range from .43 to .69 (Aubrecht, 1979, p. 3). A caution is in order because colleague and administrator ratings often reflect informal student feedback. Evidence on the agreement between students' ratings and the instructor's self-rating tended to be low until a well-designed study by Marsh, Overall, and Kesler (1979, p. 156). They found a correlation of .77 between average faculty self-evaluation and average student ratings on the same items.

Student ratings of teaching are subject to extraneous influence; that is, they reflect factors in addition to the instructor's teaching or the student's learning. (It should be pointed out that every other source of information used to evaluate teaching is open to the same criticism.) Only a few of the influences are significant, however, and most of these can be controlled. The following factors should be considered when interpreting student rating data: the student's level of motivation in taking the course (for example, whether the course is elective); the size of the class; and the subject matter. When these influences are controlled, other factors, like time of day, exert little influence (Aubrecht, 1979; Feldman, 1978). When administering the ratings, it is suggested that the students remain anonymous, that they be told if the data will be used for personnel decisions, and that the instructor leave the room while the ratings are actually being completed (Feldman, 1979).

Flexibility. Most colleges offer a wide spectrum of courses taught in a variety of ways. Most student rating forms are not designed to accommodate such variety. Whatever student rating system an insti-

tution adopts, it should incorporate enough flexibility so that the various teaching approaches used on campus can be evaluated fairly.

The solution to the concern about flexibility has been approached in various ways. The Instructional Development and Effectiveness Assessment (IDEA) system available from Kansas State has the instructor weight the importance of ten course objectives (Cashin and Perrin, 1978; Hoyt and Cashin, 1977). In this way, some courses can emphasize the student's mastery of subject matter; other courses, the personal development of the student; and so on. The result is that different criteria are used for different courses. "Cafeteria" systems let the instructor select the items to be rated, so the same teaching behavior is not required of every teacher. Comparability for evaluation purposes is achieved by always including a few summary items, like how effective the teacher was. The original CAFETERIA system was developed at Purdue University (Derry and others, 1974); a more recent variation is available from the University of Illinois (Office of Instructional Resources, 1977). The University of Washington's solution to the flexibility question is to offer five separate forms for different types of classes: small lecture-discussion, large lecture, seminar discussion, problem-solving or heuristic, and "hands-on" (Gillmore, 1974). At the very least, a student rating system should permit the instructor to include additional questions, items specifically designed to rate special aspects of the individual course.

Interpretation. Faculty frequently voice their concern about whether administrators or faculty evaluation committees possess the necessary knowledge and skill to interpret student rating data correctly. Anecdotal horror stories about the misinterpretation of student ratings and other data abound, but there has been little systematic study of the question. One survey (McKnight and Cashin, 1981) revealed concern about the following: reviewer's lack of knowledge of student evaluation data, lack of interpretive manuals, and interpretation by people without expertise. At the very minimum, a student rating system should have an interpretive manual which includes comparative data. It is also desirable that consultants be available to help with interpretation and that those who give feedback to the instructor for either evaluation or development receive some training in how to do this effectively.

Problems with Student Ratings More Common to Community Colleges

There are three questions about student ratings that are of particular concern in two-year colleges. First, what kinds of comparative

data are most appropriate to use for two-year college teachers? Second, what is the reading level of the student rating form used? Third, is the student rating form appropriate for skill courses, especially in vocational-technical courses?

Comparative Data. Since most student rating systems were developed at four-year colleges or universities, two-year faculty often ask: Is it appropriate to compare our ratings with those of four-year college teachers? Would it not be fairer to make comparisons only with two-year college teachers? On the average, two-year college teachers receive higher ratings than four-year college teachers. The Student Instructional Report (SIR) developed by Centra at the Educational Testing Service and the IDEA system developed at Kansas State University are the two most widely used student rating forms in the United States. If one compares SIR data for two-year colleges (ETS, 1977) with SIR data for four-year colleges (ETS, 1979) for the twenty-nine items on which overall means (averages) are given, six items have the same mean; in seventeen items, the two-year college is .1 of a point higher; and in six items, the two-year college is .2 of a point higher. On none of the items were the four-year college ratings above the two-year college ratings. Similar results hold for the thirty-nine IDEA items (Cashin and Perrin, 1978). In comparing average ratings for colleges, where the associate's degree is the highest degree offered, with the total data pool, there was no difference on eight items, a .1 difference in favor of two-year schools on twenty-one items, and a .2 difference on ten items.

Why two-year college teachers receive higher ratings is open to speculation. Two-year college students may be more generous raters, or two-year college faculty may be more effective teachers. Teachers at baccalaureate-level institutions also obtain higher than average ratings on IDEA, although not quite so high as associate-level faculty. Since these two types of institutions clearly emphasize teaching over research, it is quite possible that the general quality of instruction is higher than at institutions offering graduate-level instruction. In any event, if only two-year college comparative data are used, they will have the effect of lowering percentile scores for individual instructors, since the norms will be higher.

Reading Level. Faculty at two- and four-year colleges often wonder whether their students will be able to read the student rating form that is adopted. This is not an unrealistic concern, with some students reading at the eighth- or ninth-grade level, or lower. Reading level does not seem to be the right question, however. Most readability indexes are concerned with length of sentences and number of syllables in a word, assuming that the material will be read paragraph fashion, page after page. Since student rating forms are read one item at a time,

the real concern should be about vocabulary level. One solution would be to have the students learn the words they do not know. North Country Community College published the IDEA Survey Form in their student paper so students could familiarize themselves with it before they actually had to evaluate a teacher. An institution could provide a list of definitions of difficult words along with the student rating form.

Skill Courses. The vast majority of courses taught in American colleges and universities are fairly traditional academic courses. This being so, it is understandable that most student rating forms are designed to assess such courses, rather than the skill-oriented courses often found in vocational-technical areas. In these latter courses, much of the instruction consists of the student demonstrating a skill—programming, welding, counseling a patient—and the instructor critiquing—tutoring, coaching—the student to help him or her improve performance. This kind of teaching often occurs in two-year vocational-technical courses, but can also be found in four-year and graduate-level programs in health sciences, studio arts, and so on. The present state of our knowledge about which teaching behaviors lead to student learning in such courses is very limited, and so little concrete advice can be offered.

Conclusion

Student rating data, like every other source of information used to evaluate faculty, have limitations. There are ways to compensate for most of these limitations. Using student rating data in conjunction with other sources of information is certainly the first. This writer is convinced that we should use the data we have, even with the problems. Evaluations are made anyway; people are rehired and given salary increases. We can either take a close look at the data used and try to make adjustments for the limitations, or we can ignore the problems as we have in the past and make judgments based upon far more incomplete and flawed data.

There is, of course, a third solution: Higher education can stop hiring, promoting, granting tenure, or paying raises until a perfect way to evaluate faculty has been found.

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Staff evaluation is in vain unless it contributes to the attainment of the mission of the college.

Staff Selection and Certification Issues

Myron R. Blee

Recognizing that all staffing decisions, including those involved in staff evaluation, are in vain unless they contribute to the attainment of the mission for which a college is operated, the Division of Community Colleges of the Florida Department of Education in 1974 established a statewide task force to develop a concept under which each of the community colleges would define criteria for the selection, development, evaluation, and retention of personnel.

The handbook developed by that task force (State of Florida, 1976) has been used by other systemwide work groups in Florida as a guide for the definition of competencies required for positions such as student affairs officers (State of Florida, 1981b), community college counselors (State of Florida, 1979), student financial aid officers (State of Florida, 1981c), and registrars and admissions officers (State of Florida, 1981a). While individual community colleges have been slow to utilize the handbook, they have been utilizing the other publications for staff development and staff evaluation.

Personnel Evaluation

The evaluation of personnel employed by a community college is one component of an intricate process by which decisions concerning

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staff are made. That process begins with the initial selection of persons for appointment to the staff, including the in-house development of staff members and all aspects of staff evaluation, and culminates with decisions concerning the retention or dismissal of personnel. Evaluation plays a strategic role in each of the three decision areas. It determines the validity of selection criteria being used, identifies developmental needs of staff members, and develops information required for decisions concerning the retention or dismissal of college staff members.

The purpose of staff evaluation, along with the other components of the process by which staffing decisions are made, is to ensure that staff has the capabilities required to attain the college's mission. Staff members are selected on the basis of an assessment of their potential contribution to that mission. The purpose of staff development is to upgrade and increase staff contributions to the college. Decisions involved in the retention and dismissal of staff members require evidence on which to base judgments.

Evaluation of personnel is one component of the personnel process. The concept of personnel evaluation has been written into the Florida Administrative Code (FAC) (State Board of Education, 1981). Those standards require that each college demonstrate an established procedure enabling it "to select and retain employees who can be successful in helping the college attain its mission" (State Board of Education, 1981, p. 216 A). The code stipulates that the process embrace "the selection, development, evaluation, and retention procedures which are related to successful performance of the responsibilities for which the personnel are employed" (State Board of Education, 1981, p. 216 A). A section of the code provides guidelines for staff and program development. Staff development is defined as "the improvement of staff performance through activities which update or upgrade competencies required for present or planned positions" (State Board of Education, 1981, p. 216 A).

In the system thus prescribed for use in Florida community colleges, evaluation is the assessment of staff performance in terms of the fulfillment of mission: the mission established for the respective positions in which the staff members are employed and the mission used to justify the operation of the community college. Staff evaluation is linked to the other components of the decision making process that ensure the college will be staffed to accomplish its mission.

The next section will consider some of the issues and relationships involved in the development of the system described in the Florida Administrative Code.

Position Mission Statements

Before determining the functions to be performed by a staff member, and long before defining the skills that a staff member should have, it is necessary to describe staffing goals. Once these staffing goals have been determined, it is possible to determine what functions need to be performed by staff members, what skills are necessary for the successful performance of those functions, and what criteria can be used to assess and to certify those skills.

A mission statement for any given position, like the mission statement for the college as a whole, should identify what results are to be achieved. Mission statements do not describe what the holder of a position is expected to do, rather, they stipulate what the holder of the position is expected to accomplish.

In order to be useful, mission statements should express results in terms that lend themselves to verification. Results should be expressed in identifiable and measurable terms. Thus staff members and those authorities to whom they are responsible know what results are expected. With such a formulation in hand, the foundation for the evaluation of the incumbent's performance is established.

The Florida committee that established skills for community college counselors (State of Florida, 1979, p. 19) gives the following example of a position mission statement: "Academically or vocationally undecided students who seek assistance from a counselor will develop specific academic or vocational plans in line with their interests, abilities, and academic potential." In *Suggested Performance Competencies for Student Financial Aid Officers in Florida* the following mission statements are found: "Financially needy students who seek assistance from a financial aid administrator will receive accurate consumer information while being helped to obtain appropriate aid. Students will understand the conditions under which the award is granted and will be able to make the best use of the financial resources that are available. Students will receive equitable financial aid based on demonstrated financial need, except where funds are specified for the recognition of special talent, through adequate control of such funds by the financial aid administrator" (State of Florida, 1981c, p. 7).

Once the position mission is adequately formulated, the framework for evaluation of the staff member's performance is completed with the identification and development of measures that will be used to assess the extent that expected outcomes are achieved. Product measures, such as the extent to which the counselor's clients have developed specific academic or vocational plans or the extent to which financial

aid funds have been allocated on the basis of need, would be sufficient were it possible to separate staff evaluation from the other personnel decisions. As it is, however, product measures must be used along with other indirect measures.

Functions and Skills

It is necessary to go beyond the product measures. Such measures are seldom adequate for use in decisions relating to selection and development. Which applicants for a position have the potential for achieving the mission of that position? What needs to be done to strengthen the performance of an incumbent who is not achieving the expected results? What hope is there that an individual for whom retention or dismissal considerations are underway can be brought up to an acceptable level of achievement?

In order to deal with these questions, it is necessary, first of all, to identify the major functions involved in the fulfillment of the mission of the position under consideration. Unlike a mission statement, a function statement identifies what the incumbent needs to do. Function statements identify roles or categories of activities that are commonly set forth in job descriptions. Functions can be identified through the analysis of the performance of people in comparable positions who are attaining the expected results or they can be inferred from the mission statement. In either case, the relationship between the functions to be performed in a position and the attainment of the mission for that position should be clearly established.

The Florida committee that worked with competencies for counselors cited "academic advisement" and "personal and social counseling" as examples of functions in which community college counselors engage. "Helping students make a choice of a career or career change" was given as an example of a task involved in carrying out a function (State of Florida, 1979).

The identification of the functions expected of staff members provides convenient units to assess an applicant's previous experience. Successful performance of a given function in one setting affords evidence on which to base anticipated performance in the new position. Similarly, function is a convenient unit for the evaluation of performance, as distinct from product. Evaluations made to diagnose problems of staff members who are not achieving results can pinpoint functions for which more detailed analysis is required.

Additional analysis requires an identification of the skills involved in the functions in question and the establishment of measures for assessing those skills. The abilities to be integrated with knowledge

and attitudes necessary to carry out each function must be determined. The Florida committee on community college counseling (State of Florida, 1979, pp. 32-35) listed some sixty skills that Florida colleges agreed were necessary for counselors. Among those listed were the following: "Communicates information accurately," "uses and responds to body language," "acts in a supportive and cooperative manner with colleagues," "uses informed judgment in selecting intervening strategies."

The definition of skills needed by staff members completes the structure begun by defining mission and identifying function. This structure serves all components involved in personnel decision making: selection, development, evaluation, and retention. Staff evaluation can then aid in making informed decisions about selection and development of personnel. Only then is it possible to determine whether staff members who have not yet met expectations established for their positions have potential for doing so.

Implementation of the Concept

Any institution concerned with the extent to which it is fulfilling the expectations of constituents—or any institution that wants to assess the adequacy of its personnel process—can implement the accountability standards set by Florida community colleges. The steps that need to be taken follow.

1. A necessary first step in the implementation of the concept of an integrated, rational system for personnel decisions must be the determination by the college community as a whole that such decisions must be made on the basis of their impact on the capability of the college to achieve its mission.

2. Once that determination has been made, statements are developed and agreed to about the college mission and the accountability of all units and each position in those units to that mission. The attainment of the mission by each unit of the college should add up to the attainment of the mission of the college as a whole.

3. Once the mission statements have been developed and agreed to by employees and the board of trustees, the functions to be performed by staff members in each position need to be identified and described.

4. When these functions have been described, the skills required to perform those functions must be defined.

5. Once the mission statements have been completed and functions and required skills have been identified, direct and indirect measures need to be developed. Direct measures, or product measures, will measure the extent to which a position, a unit of the college, or the college as a whole is achieving what is expected of it. Indirect measures will

be applied to process variables; as such they will be used to determine how well functions are being performed and the competence of staff members.

6. A procedural design must be developed to minimize the time required to implement the concept and to make use of the results.

An institution that follows these steps can expect to have a clear view of what it expects to achieve, an understanding of the way in which each unit contributes to the college as a whole, and a staff that shares in that vision.

Not every institution will be in a position to do all of that—nor does every institution need to begin with step one and to proceed straight through step six. Like any other cyclical system, this concept invites entry at any point; depending on which parts of the system serve purposes of the user.

Institutions needing to make a comprehensive reassessment would do well to start at the beginning of the cycle. Institutions concerned about updating and upgrading position descriptions do not need to initiate the full-blown process; rather, the work ought to begin with the time and way in which other related activities are brought into play.

One institution, reluctant to initiate a project of the magnitude involved in full implementation, did exactly that. In that institution, there was a general dissatisfaction with position descriptions and the uses being made of them. The authorities responsible for the redesign of position descriptions accepted the concept. Under their guidance, position description formats were modified to include a mission statement for each position, a listing of the major functions to be performed by the incumbent, and a description of the skills needed to perform those functions. As position descriptions were developed by staff members and their supervisors, departments and divisions realized that mission statements were needed, although such statements were not among the initial products in that institution.

Readers interested in staff evaluation will see ways of entering the system, whether their orientation is toward process or product evaluation. The likelihood of using all components of the concept will be increased as they consider the role of evaluation of staff in staff selection, staff development, and staff retention.

A group reviewing the relative weight given in an evaluation system to performance of the several functions expected to be carried out by history teachers, for example, can inquire into the relationship between each of the functions and the attainment of expected results. Functions that contribute to student achievement can be distinguished from those that contribute to institutional operation but that do not

affect student achievement. Should staff development, following unsatisfactory performance rating, be the concern, the skills found lacking should be examined.

To review the design and uses of an evaluation system, the extent to which the evaluation contributes to criteria used for staff selection should be considered. Do selection criteria result in the appointment of individuals whose job performance is satisfactory? Which criteria contribute most? Which criteria could be loosened up to broaden the pool of applicants without jeopardizing performance of critical functions?

An evaluation system that does not validate selection criteria is one that needs further work. The same thing can be said of a system that does not pinpoint staff development needs or one that does not create a defensible basis for dismissal and retention decisions.

What parts of the concept prove to be useful, how the concept can be used, and how concept implementation should be structured depend upon the way in which any given institution perceives its needs and what it wants to do about them.

Summary

Decisions involved in the evaluation of community college personnel are inextricably interwoven with other decisions involved in the selection, development, and retention of staff. While staff evaluation should be firmly grounded on clearly defined mission statements, both for positions and the college as a whole, only product evaluation can be accomplished on the basis of mission alone. With the identification of functions involved in the fulfillment of mission and the definition of the skills required for successful performance of those functions, there is an adequate basis for evaluation to play its proper role in selection, development, and retention of personnel.

When all three components—mission statements, function identification, and the definition of skills required for the successful performance of functions—of product and process evaluation are undertaken, decisions relating to staff selection, development, evaluation, and retention can then function as an integrated whole.

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Both faculty development and faculty evaluation are essential elements in institutional improvement.

Faculty Development: A Necessary Corollary to Faculty Evaluation

James Hammons

The purposes of this chapter are to (1) discuss the commonalities between faculty development and faculty evaluation; (2) point out the differences between the two concepts; (3) illustrate why, in practice, each is likely to fail unless accompanied by the other; and (4) show how the two are key elements in any attempt at organizational change. While the primary basis for this chapter is practical experience gained in working with over one hundred and thirty community colleges in forty states and Canadian provinces and from having assisted dozens of teams from other colleges in developing plans for faculty development or faculty evaluation, the major theme of the chapter also rests on a firm theory base to be discussed later.

Areas of Commonality

Faculty development and evaluation have the same goals—improved individual performance leading to improved organizational performance. As Arreola points out in the next chapter, both are alike

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in that they are viewed by faculty with a certain amount of apprehension, suspicion, fear, and hostility. Both occur to some degree without formal institutional action; informal evaluation occurs constantly and staff are always involved in acquiring new knowledge and skills.

While the ends sought by each are common, as shown in Figure 1, they differ significantly in focus, objectives, and the role of the supervisor and subordinate. Implicit in faculty development programs is the assumption that each faculty member will be around in the future; the primary objective is to assess strengths and weaknesses in order to help growth. With this goal in mind, supervisors assume the role of counselor-friend. Faculty are free to involve themselves in learning without worrying that participating in staff development is a de facto admission of incompetence and likely to lead to criticism.

In contrast, the primary focus of faculty evaluation is part performance. Procedures are designed to facilitate the making of assessments for purposes of personnel decisions. As a consequence, supervisors are required to act as judges while faculty react defensively.

Faculty development aims to improve performance by improving the ability level of faculty. This is done by training managers in techniques of selecting qualified faculty, by taking care to see that new faculty are properly oriented, and by making sure that training and

Figure 1. A Comparison of Faculty Development and Faculty Evaluation

	Faculty Development	*Faculty Evaluation*
Focus	Future Performance	Past Performance
Objectives	Assess: Strengths and Weaknesses Improve Performance	Rate Performance Tenure, Merit Pay, Promotion
Role of Supervisor	To Counsel, Help or Guide	To Judge or to Evaluate
Role of Faculty	Active Involvement in Learning	Passive or Reactive Frequently to Defend Themselves

Source: Adapted from Cummings and Schwab, 1973, p. 5.

other development opportunities exist to keep faculty abreast of new demands. In contrast, faculty evaluation seeks to improve performance by establishing goals or criteria and to measure performance against those goals in the hope that this will motivate individuals to perform better.

Areas of Competence

Evaluation and development represent a substantial influence for positive change. Alone, as will be shown shortly, each is insufficient. Most institutions have neither, or one, but rarely both. Surprisingly, when both faculty development and faculty evaluation are absent, the results are often better than when one of the two is present—a sort of ignorance is bliss phenomenon. However, when one is present without the other, short-term gains are usually followed by the disappointing finding that the institution has not changed. Two examples follow.

College A is an illustration of what can happen when a faculty development program exists without a faculty evaluation program. After careful consideration, the president decided to implement a comprehensive faculty development program. He did all the right things—informed the board, brought in a well-known consultant to orient the faculty to the benefits to be gained, and, following the recommendations of the consultant, appointed a hand-picked, concerned, and well-thought-of faculty development committee. A faculty member on the committee was given time to coordinate the program and a generous budgetary allocation was made after a survey of faculty development needs was completed. During the first year, a number of well-planned programs, which a substantial number of faculty attended and rated highly, were conducted. By the end of the year, several faculty received summer fellowships to revise their courses to incorporate newly learned skills. As the president stated in his annual report that year, the college had a fully functioning faculty development plan.

Equally positive results were noted the following year. Then a strange phenomenon was observed. The number of faculty completing the annual faculty needs survey dropped significantly. Attendance at committee-sponsored faculty development programs began a steady decline, culminating when a well-known and competent outside resource person arrived for a highly publicized seminar—and only ten faculty showed up.

Of even more concern were faculty who had been experimenting with several new ideas learned in earlier development programs. They discontinued their efforts and reverted back to teaching as they had been before the faculty development program began. The institu-

tion was the same it had been before the program. The president asked the staff development committee to employ an outside person to look into the matter, find out what had happened, and to make recommendations. A month later the consultant's report was received. Excerpts from it follow.

> Faculty are still generally positive to the idea of faculty development. They readily admit the need to improve, and several report encouraging results from changes implemented as a result of their using ideas learned in the program. In short, the faculty development program seems to have done what it was established to do.
>
> The basic problem, in the words of one faculty participant, is that "there are no institutional rewards for making instructional changes. I spent nights and weekends improving my courses, neglected my husband and kids, let my tennis game go to pot, gained weight, and for what? The same salary increase as the turkey next door to me who didn't participate in the program and who hasn't changed his teaching in five years! My kids are getting older while I'm not getting any younger. Why should I sacrifice part of these years for nothing?"

The recommendation was to implement a faculty evaluation system.

In College B, where the emphasis was placed on developing a faculty evaluation system, the same scenario was followed, with different people and a different focus. The president, with the board's full support, decided that the college, after fifteen years without one, needed a faculty evaluation system that recognized merit and rewarded persons contributing to the achievement of institutional goals and objectives. Due to the history of the institution and the sensitive nature of the task, developing the system took much longer. However, after two years, the faculty committee's final report, developed with the assistance of an outside consultant, recommended an evaluation plan which the faculty senate endorsed by a 67 percent vote and which the consultant described as "one of the best faculty evaluation systems in the country."

After orienting the faculty to the system and training the chairpersons in their roles, the system was implemented. Two years later, the president was alarmed by a disturbing finding—the institution was basically the same as it had been before the faculty evaluation system was implemented. Instructional innovation was not appreciably different, no noticeable gains were made in the percentage of those involved in community service, and the attrition rate had not changed.

A consultant was hired to look into "why the system wasn't working." Six weeks later, when the consultant's report was received, the essence of the problem was revealed in one paragraph.

> You have an excellent faculty evaluation plan, in fact it could easily be used as a model plan for other colleges. Although not unanimously so, the faculty are generally supportive of it. Unfortunately, the implementation of the plan has not resulted in significant changes in faculty performance. Faculty, like the rest of us, don't do things they feel uncomfortable doing. Consequently, while rewards are attached to using innovative instructional strategies and becoming involved in community service activities, most faculty are not engaging in these activities because they don't feel confident in their abilities in those areas.
>
> An analogy can be drawn with a young single man who attends a dance where several attractive, young single ladies are present. He wants to dance with them and he is fully aware of the possible benefits if he were to do so. But he hesitates because he is not a good dancer and does not want to embarrass himself. Your faculty are much the same. Some want to experiment with new teaching strategies and others would like to get involved in community service projects. Unfortunately, because they lack the knowledge and skills they believe to be prerequisite, they hold back.

The recommendation was to start a good faculty development program.

In the two examples above, both colleges had the same goal—improved faculty performance leading to improved institutional performance. Both were successful in implementing either a faculty development plan or a faculty evaluation system. Both experienced short-term gains—and both failed to achieve any significant long-term gains in performance.

An indication of why either faculty development or faculty evaluation alone is inadequate, why each is a necessary adjunct to the other, and why both are needed is found in the writings of Cummings and Schwab (1973). They suggest that there are three basic factors influencing performance in organizations—ability, motivation, and climate. Change efforts directed at any one or two of these are predestined to fail.

Ability, or what a person can do, is influenced by a faculty development program and by selecting good people and placing them in the right job. Motivation, or the desire to use ability, is influenced

by an evaluation system that provides desirable rewards and by the knowledge that one is able to perform as expected. Both ability and motivation are essential elements in any attempt at improving performance. However, alone or together, they are insufficient.

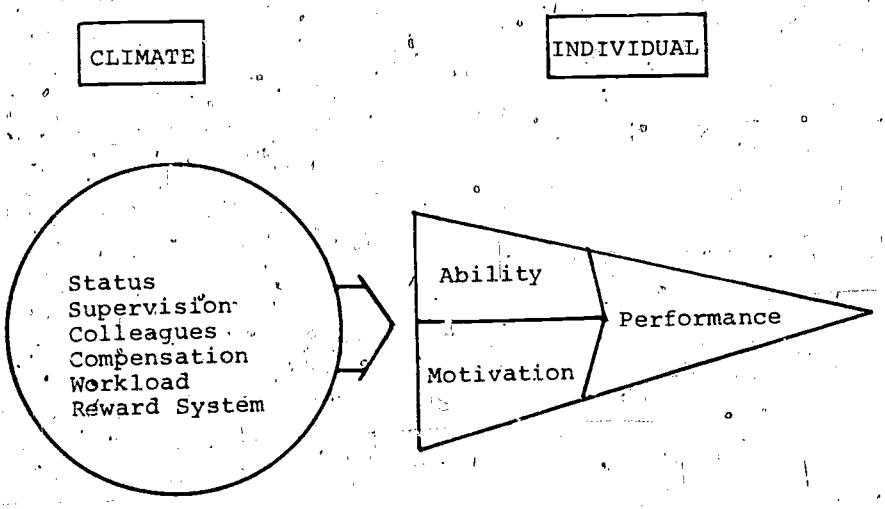
Any successful attempt at improving performance must also consider a third element, climate. Climate is a more difficult concept to comprehend. Climate refers to "a set of characteristics that describe an organization, distinguish it from other organizations, are relatively enduring over time, and influence the behavior of the people it it" (Campbell and others, 1970, p. 389). The many dimensions of climate include such things as interaction with colleagues, adequacy of the compensation system, pressures for conformity, fairness of the reward system, existence and adherence to standards, equity of workload, use of unnecessary status symbols, and the behavior of leaders. A model that shows the interrelatedness of ability, motivation, and climate is shown in Figure 2.

Even a cursory examination of the model indicates that any successful attempt at improving performance must affect all three factors, not just one or two of them.

A Comprehensive Approach

Any successful attempt at improving performance must affect all three determinants of performance. A practical way of combining

Figure 2. Factors Influencing Performance



Source. Adapted from Cummings and Schwab, 1973, p. 2.

all three into a general performance improvement program is to start with an assessment of the climate of the college. There are a number of instruments available for this purpose (Watts, 1982). Once those dimensions of climate believed to be significant distractors to performance have been identified, the institution can begin to improve them.

Simultaneously, a faculty development program should be started following well-established guidelines (Hammons, Wallace and Watts, 1977). Since resurrection is always more difficult than birth and because of the financial costs involved, an immediate focus of these programs should be to ensure that those persons responsible for selecting new faculty are trained in selecting the right faculty for the right position, and that a carefully planned orientation program for new faculty is in place (Hammons, 1973).

Meanwhile, another task force should be hard at work developing a faculty evaluation system complete with a clearly defined faculty position description, stated purposes of the system, clear and objective criteria, appropriate standards, and feasible procedures.

Once the climate dimensions with low ratings have been identified and action initiated to improve them, and faculty development and appraisal plans have been developed and implemented, the essential elements will be in place for a fully functioning performance improvement program.

Any faculty evaluation system implemented without an accompanying faculty development program or without attention to climate factors influencing motivation is doomed to eventual failure, just as is any other effort limited to only one or two of the determinants of performance.

It is appropriate to remind the reader that is is possible, though not probable, that an effort which neglects any one, or two, of the three determinants of performance may show short-term results. However, given a sufficient time, it is highly improbable that meaningful change will occur.

The message in this is a sobering one. For institutional performance to improve, individual and institutional changes are necessary. An impossible task? Only for those institutions administered by leaders who are unwilling to change, who are willing to settle for less than can be, and who have ceased to dream of what could be.

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Identifying and coping with the basic elements of faculty resistance and administrator apathy are at the heart of the problem in establishing any faculty evaluation or faculty development program.

Establishing Successful Faculty Evaluation and Development Programs

Raoul A. Arreola

If we wish to establish a successful faculty evaluation or development program, the question as to what constitutes success needs to be answered. Seldin (1980) has defined in some detail those elements that constitute a successful faculty evaluation program. Numerous authors (Centra, 1979; Genova and others, 1976; Grasha, 1977; Miller, 1972) have described various models, strategies, and issues that must be attended to in establishing any faculty evaluation program. Others, notably Gaff (1975) and Bergquist and Phillips (1975, 1977) have described in detail the elements that constitute a good faculty development program. Additional handbooks and publications on the topic abound so it is not necessary to tackle the individual components of those programs at this point. The issue addressed here is how to establish programs that have a chance of succeeding.

Defining Success

A successful faculty evaluation program can be defined as one that provides information which faculty, administrators, and, where

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appropriate, students, consider important and useful. Note that by this definition no particular set of elements, forms, questionnaires, workshops, or procedures is being suggested. There is purposely no reference to the word "valid." The issue of the validity of faculty evaluation systems and programs will be discussed later. However, one thing is clear. If the faculty evaluation system or program that is devised is considered by the faculty to be fair and useful, it is functionally valid regardless of its validity in some statistical or psychometric sense.

Taking this same orientation to faculty development programs, a successful faculty development program is one perceived by the faculty as being a valuable resource or tool in assisting them to solve problems or achieve goals that both they and the administration consider to be important. From this perspective, the problem of establishing successful faculty evaluation and development programs does not lie so much in not knowing what procedures to follow in evaluating faculty, not knowing how to develop new skills or enhance old ones. The problem lies in getting faculty and administrators to change their behavior in important and fundamental ways.

Obstacles to Establishing Successful Programs

If we examine the problem of how to establish faculty evaluation and development programs as not so much a technical one of developing the right questionnaires or procedures and look at it for what it really is, a problem in getting large numbers of intelligent, highly educated, and independent people to change their behavior, then we have a much greater chance of establishing a successful program. There are two major reasons why faculty evaluation and development programs fail: (1) the administration is not interested in whether or not they succeed, and (2) the faculty are against it. The first reason will be referred to as administrator apathy and the second as faculty resistance. A close look at these two obstacles to establishing successful faculty evaluation and development programs can determine ways to overcome them.

Administrator Apathy. Of the above two threats to success, administrator apathy is the more deadly. If the administration is apathetic toward or actively against the whole program, it will not succeed. Anyone who has encountered a successful faculty evaluation and development program can point to one top administrator with a strong commitment to the establishment and maintenance of the program. Having a top administrator strongly committed to the program is a necessary but not sufficient condition for success. The reasons for this will become obvious as we examine the issue.

One of the more common situations found in colleges and universities is one where a secondary-level administrator, say a vice president or academic dean, is strongly committed to the establishment of a faculty evaluation and development program. The top-level administrator of the institution may be in favor of the program, apathetic toward it, or resistant to it. In the case of apathy, it is necessary to demonstrate to the top administrator the potential benefits of the program in terms of improved instruction, improved learning, better faculty production, and better personnel decisions and management.

Resistance by the top-level administrator creates a difficult problem. Resistance to faculty evaluation and development programs revolve around two issues: cost of the program and fear of loss of control in the personnel decision-making process. Faculty evaluation and development programs can vary widely in their cost; institutions need not spend great amounts of money to have moderately successful and effective programs.

The fear of loss of control or threat to authority is a much more difficult problem to address. Several approaches have been helpful in this situation. Establishment of the program on purely an experimental basis for a period of two years, enables the administrator to utilize the results of the program as he or she sees fit. A consultant brought in from another institution where a successful faculty evaluation and development program already in place can present an objective view to the administration as to how such a program can be made to benefit the institution as a whole. Another good strategy is to entice the resistant top administrator to attend one of the several national conferences on faculty evaluation and development that are held around the country. In any case, it is helpful for the administrator to see that his or her fears and concerns do not have to be realized.

A less common situation is one where a faculty evaluation and development program is initiated by the faculty. This generally means that they are unhappy with the present formal or informal program being operated by the administration. This situation can easily lead to administrative apathy toward a revised program and perhaps to outright resistance for the reasons noted above. The key is to gain the support of at least a secondary-level administrator, so that some resources can be allocated for an experimental trial of some part of the proposed program. Administrator apathy diminishes the chances of implementing a successful faculty evaluation and development program. In the situation of administrator resistance, the chances of implementing a successful program drop practically to zero.

Faculty Resistance. Administrative commitment is a necessary

but not sufficient condition for establishing a successful faculty evaluation and development program. It is also necessary to have faculty acceptance. Faculty resistance to the establishment of evaluation and development programs stems from numerous sources. Most of the resistance, however, reflects two or three major concerns. In examining these concerns let's begin, once again, by stating the obvious: No one enjoys being evaluated. Few people enjoy being told that they need to improve, or worse, need to be developed, especially people who have spent six to eight years in college being evaluated and developed to the point where they were awarded advanced degrees. The overall phenomenon of faculty resistance is composed of two reactions: resistance to being evaluated and apathy toward being developed. Resistance to being evaluated appears to grow out of three basic concerns: resentment of the implied assumption that faculty may be incompetent in their subject area, suspicion that they will be evaluated by unqualified people, and an anxiety that they will be held accountable for performance in an area in which they may have little or no training or interest. This last anxiety is not unusual or unexpected, even though most faculty may attribute most of their concern to the second factor. Milton and Shoben (1968, p. xvii) point out the basis for this anxiety when they state that "college teaching is probably the only profession in the world for which no specific training is required. The profession of scholarship is rich in prerequisites for entry, but not that of instruction."

This statement holds the key to faculty resistance to the establishment of faculty evaluation and development programs. Faculty are understandably resentful of being tacitly questioned on their competence in an area "rich in prerequisites" for which they have been well-trained. They are, not surprisingly, apathetic toward the idea of receiving further training. They also view with some concern and trepidation the prospect of being evaluated in an area in which they may have little or no training or interest — namely the design, development, and delivery of instruction.

Several publications have addressed the issue of overcoming faculty resistance to evaluation programs. Grasha (1977) devotes a section to faculty resistance, O'Connell and Smartt (1979) repeatedly mention it as a concern, and Seldin (1980) suggests six steps to overcome such resistance. Arreola (1979) deals with the issue of precluding much faculty resistance by systematically involving them in critical steps in the development of the program. Each of these sources provides guidelines, procedures, and strategies that may be employed to assist in overcoming faculty resistance. It is useful, however, to examine some of the major dimensions of the problem that may not be immediately apparent.

Common Errors

Several common errors are made when establishing faculty evaluation and development programs that reduce their chances of success. The first and most common error is committed when a faculty evaluation program is implemented without reference or clear relation to a faculty development program. When this is done, the message the faculty are likely to receive is "We're going to find out what you're doing wrong and get you for it." If an integrated faculty evaluation and development program is implemented, the message sent is "We're going to help you determine your strengths and weaknesses and provide you with the resources you need to both enhance your strengths and overcome your weaknesses."

Unfortunately, most often only a faculty evaluation program is implemented. Even then the form of its implementation almost guarantees faculty resistance. Generally, a faculty evaluation program begins by constructing or adopting a questionnaire that is administered to students. These questionnaires usually contain questions that the faculty perceive as boiling down to "Does this instructor know his or her stuff?", and "How would you rate this person compared to other teachers you have had?" The questionnaires are usually analyzed by computer and the results sent to the department chairman, college dean, or, in some instances, directly to the president. This action triggers all the concerns and anxieties that result in full-blown faculty resistance. Couple this, as occasionally happens, with a student publication that lists the best and worst teachers—perceived as job-threatening by the untenured—and hostile and negative reactions from the faculty are guaranteed.

On the other side of the coin, when faculty development programs are installed without reference to an evaluation system, apathy tends to run rampant among the faculty. This is not to say that the programs may not be innovative, creative, and effective for those who do participate. But what commonly occurs in the absence of a tie to an evaluation system is that only those faculty who are already committed to the concept of self-improvement, who are already wedded to the idea of becoming as effective and efficient as possible both as teachers and researchers, will be the ones who seek the program out. Thus, the faculty who need developing the least will be the ones who tend to use the program the most. Those faculty who don't have that commitment and who genuinely need developing tend to avoid it. If a faculty development program is mandatory, based on the referral of the dean or department chairman, it is very easy for the program to take on the aura of being for losers only—a place where faculty are sentenced to several

weeks of development when they are caught with a poor syllabus, a bad grade distribution, or declining enrollments.

How do we overcome these not inconsiderable obstacles? There is no easy answer to this question. However, the following suggestions, cautions, and strategies gleaned from the experiences of those trying to establish faculty evaluation and development programs may prove useful.

Guidelines for Overcoming Obstacles and Avoiding Errors

1. Identify and enlist the aid of a higher level administrator committed to the establishment of an integrated faculty evaluation and development program. He or she must be prepared to overcome a year to eighteen months of faculty resistance, some of which can become quite vocal.

2. Expect faculty to resist. Experience has shown that faculty resistance undergoes five predictable stages.

Stage 1: Disdainful denial stage. During this stage, faculty generally take the attitude that "It'll never work" or, in the case of old-timers, "We tried that ten years ago. It didn't work then and it's not going to work this time either."

Stage 2: Hostile resistance stage. During this stage, faculty begin to realize that the administration is going ahead with the development and implementation of the program in the face of all logic, reason, and sanity. Faculty senate meetings are hot and heavy. Special subcommittees are appointed. Complaints flow into the various levels of administration.

Stage 3: Apparent acquiescence stage. Faculty seem to resign themselves to the fact that an arbitrary and overly complex program is going to be implemented despite objections. Most faculty hope that if they ignore the program it will go away. A few voices of support are heard at this stage, however.

Stage 4: Attempt to scuttle stage. At this stage, certain elements of the faculty and perhaps some department chairmen or deans greatly exaggerate the impact of the problems the system is causing. Some isolated incidents of outright misuse of the system may be perpetrated in an effort to get the program to collapse. Pressure on the sponsoring administrator to resign is intensified.

Stage 5: Grudging acceptance stage. After eighteen months to two years of operation, faculty find that the program can actually be of some value once in a while. When all faculty are nearly equally but minimally unhappy with the program, the faculty resistance barrier will have been successfully overcome.

It should be apparent at this point why administrator commitment is so critical to the success of any faculty evaluation and development program. Only that commitment can get the institution through the first few stages of faculty resistance. If the administrator responsible for the implementation of the program is a second-level administrator and has to fight apathy or resistance in the top-level administrator, the probability of success is smaller and the probability of that administrator looking for another job is greater.

3. Be prepared to respond to common faculty concerns. Some of these concerns, and the responses that have been found helpful include:

Students aren't competent to evaluate me!" It needs to be made clear that most evaluation systems do not ask students to actually evaluate faculty in the sense that students make decisions about the faculty in any definitive way. Students are solicited for their opinions, perceptions, and reactions. This information is considered along with other information from other sources when the evaluation is carried out by the appropriate person or committee.

"Teaching is too complex an activity to be evaluated validly!" The best response to the concern is to point out that faculty are being evaluated in their teaching all the time by their colleagues and administrators. An evaluation program makes that evaluation fairer and more systematic.

"You can't reduce somethi..g as complex as an evaluation of my performance to a number—some things just can't be measured!" Remember, in responding to this and similar concerns, that an infallible, absolutely valid and accurate method of evaluating the totality of faculty performance has not been developed. The best response to this concern is to point out that faculty are evaluated and their evaluation translated into a number every time a decision is made about merit raises, assuming merit raises are given at the institution. Evaluation programs attempt to improve existing informal and perhaps unstructured systems by developing an objective, systematic, and fair set of criteria based on numerical values. Faculty consistently reduce the evaluation of complex student learning achievement to numbers; and based on those numbers, colleges award credit and degrees. As a profession we are not inexperienced in the process of summarizing evaluations of complex behaviors as numerical values.

4. Establish a faculty evaluation and development center or office, preferably not located in the office of the vice president or dean. One efficient and cost-effective way to do this is to combine the media center, test scoring office, and any other instructional support or development office into one organizationally integrated unit. This unit should be under the direction of someone trained in evaluation and instructional development or educational psychology, and most impor-

tant, someone who has an affably nonthreatening manner that inspires confidence. Remember, the objective is to change the behavior of faculty and administrators. The person in charge of the faculty evaluation and development facility should be able to grasp and deal with this concept in a positive manner.

5. Establish a faculty advisory board. Although the faculty evaluation and development unit will ultimately report to the dean or vice president, it helps to have a faculty advisory board. The board can be elected by the faculty, the faculty senate, or appointed by an appropriate administrator. In any case, there should be some mechanism for faculty to have input into the policy development affecting the operation of the center and the program, even if that input is only advisory in nature.

6. Consider using a consultant. An outside consultant can play an important role in the process of overcoming faculty and administrative resistance. The consultant serves as a valuable conduit between faculty and the administration by communicating concerns, suspicions, and fears expressed by the faculty to the administration. The consultant can also assure administrators that other institutions have been able to implement successful programs. The function of serving as a conduit between faculty and administrators is often critical in the early stages of faculty resistance. The consultant can act as a lightning rod for all complaints, criticisms, and confessions that might not ordinarily be expressed to a local colleague.

One of the most effective means of utilizing a consultant for this purpose is to hold an open faculty meeting where, with the appropriate administrators present, the consultant presents an outline of the proposed faculty evaluation and development program and then responds to questions and comments. Often in this forum, the faculty criticize the ideas presented by the consultant, or criticize the planned program as if the consultant were solely responsible for the entire effort. What is really being communicated in this setting is a concern or an expression of opposition to the administration's proposals or practices without a direct confrontation with the administration. Breakthroughs in faculty resistance often occur in these forums. This approach also gives the administration the opportunity to present proposals which can then receive a more honest appraisal by the faculty than they ordinarily might, with little risk being taken by either the faculty or the administration.

7. Integrate faculty evaluation and development programs. Make certain that for every element of the faculty evaluation program there is a corresponding and concomitant element in the faculty development program. For example, if an instructor's syllabus is going to be

evaluated as part of the overall evaluation of teaching, be sure that in the development program there are workshops, seminars, or materials available showing an instructor how to construct a good syllabus. This approach ensures that faculty have institutionally supported recourse when the evaluation system detects a weakness in their performance.

8. Use a variety of sources in the evaluation system. Make certain that the faculty evaluation program includes and utilizes input from such sources as peers, self, and administrators as well as students. It is important to specify the impact each of these various sources of information has on the total evaluation.

Make every effort to ensure that the faculty evaluation program is functionally valid. The aspects of faculty performance being evaluated should be ones that both the faculty and the administration believe ought to be evaluated. In establishing the program's functional validity, it is important to remember that the process of evaluation requires that a set of data be weighed against a set of values. If the data show that the performance of an individual corresponds to the values being utilized or assumed by the evaluator, that individual is evaluated favorably. If the faculty member's performance is at odds with the evaluator's values, an unfavorable evaluation results.

To the extent that faculty are either unsure of, or disagree with, the assumed value structure of the faculty evaluation program, they will consider the program to not be valid and will thus resist it. Functional validity, or the extent to which the faculty believe in the fairness and utility of the faculty evaluation program is, in large measure, a function of the degree to which they are aware of, and agree with, the assumed values in the evaluation program. There are a number of specific and effective steps that can be taken to establish the functional validity of a faculty evaluation program. These steps are described more fully in Arreola (1979).

10. Make certain that detailed faculty evaluation information is provided primarily and exclusively to the instructor. Policies may be established that call for mandatory periodic review of the evaluation information by an administrator, but the issue of the initial control of the information must be resolved early so that the faculty evaluation and development unit does not come to be seen as a watchdog agency for the administration. If this occurs, the development or self-improvement function of the program is severely diminished.

11. Establish a facilitative reward structure. That is, establish policies that treat documented faculty development efforts in a fashion similar to that of publication and research efforts. Successful faculty development and instructional improvement efforts should contribute

meaningfully to promotion, tenure, and, where possible, merit-pay decisions.

12. Tie promotion, tenure, and merit-pay decision-making procedures as directly to the faculty evaluation and development program as possible. This last suggestion is critical if the program is to achieve true success. Once we dispense with those few faculty who have a passionate drive for discovering truth through research regardless of cost, those who teach for the sheer love of teaching and would do so even if they were not paid, and those who are bent on a never-ending quest for self-actualization, self-development, and self-improvement, we are left with the great majority of faculty who are profoundly influenced in their professional performance by those aspects of job security, prestige, and monetary reward that their institution controls. If faculty perceive that decisions concerning their careers are still going to be carried out by an administrator who may or may not utilize faculty evaluation and development data in a systematic, fair, and predictable manner, the program will ultimately fail. This is true no matter how benevolent the administration may be. Only when faculty realize that obtaining the rewards their profession and institution has to offer is a function of their performance and thus under their control, and that the faculty evaluation and development program is a valuable tool in helping them both identify and overcome the obstacles standing between them and these rewards, will the program have a chance of success. Only when the administration realizes that well-constructed faculty evaluation and development programs do not diminish their ability to direct the course and quality of their institutions, but rather enhance and strengthen it, will a truly successful faculty evaluation and development program have been established.

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Evaluation of community college personnel is not an impossible task if administrators take into account hiring, staff development, and retention models used by business and industry.

Evaluating, Developing, and Promoting Community College Staff

Frank Adams

Staff evaluation should be the end result of a college-wide endeavor to enhance personnel performance. Yet the effort often seems convoluted and irrational. Activities involved in evaluation more frequently create an atmosphere of defensiveness or paranoia as various evaluation instruments are circulated, or supervisor-employee conferences are held. What is needed is a rational model through which all personnel are hired, developed, evaluated, retained, and terminated or promoted. Few models appear in community college literature. Instead, mini-models or portions of models exist through which employees are evaluated, retained, or developed, but rarely terminated or advanced.

The model offered in this chapter synthesizes many of the concepts used by business and industry in their human resource development programs. It hinges on the proposition that no employee, janitor or president, has reached completeness in growth or capability.

Business and industry, especially major corporations, spend hundreds of millions of dollars on staff development and evaluation. Indeed, many maintain their own campuses. Some award in-house diplomas for new skills. Business and industry place a high priority on

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staff development and evaluation, a priority not often found in community colleges. Business and industry believe no person is completely trained or educated when they are hired and that no person has reached his or her potential.

Community colleges adhere to the concept of the complete employee. Interviewers and selection committees screen prospective new employees, trained or educated to perform a specific task, without looking for growth potential. They search for the most qualified person to fit the institution at a particular level. Unlike industry, it is virtually impossible for a professional secretary to become college president. The idea of the complete employee locks staff into a slot from which neither peers nor supervisors encourage upward movement.

Upward mobility does occur, but it is usually the result of individual staff members setting up personal training goals outside the institution and attaining these goals through independent training. Then, if an opening occurs and if a variety of other positive conditions occur, employees may move upward within the institution. Most often, the employee secures additional training and is then employed away from the institution.

Community colleges do provide staff development and evaluation programs. However, these programs provide evaluation, training, and education within the narrow confines of the employee's present job functions. Evaluation and staff development programs are usually designed to improve job performance rather than to enhance the growth or flexibility of the employee. For example, community college instructors are given additional experiences in the disciplines or in teaching-learning theory. Janitors are taught how to maintain a building. Secretaries are given experiences that increase their effectiveness as office workers. Although these experiences may be beneficial in the short run, they do little to prepare for future jobs within the institution or to tap the potential skills the employee may have to offer. They also do not provide flexibility for institutional change or development of new missions.

A community college instructor who wanted to become an administrator would probably have to move to two new institutions before becoming a dean. In most cases, two subsequent moves would be required to attain the presidency. Directors of the various service departments in a community college definitely have a difficult time moving within an institution. In some directorates, a peaking out occurs early in the person's career, leaving little hope of upward mobility. There are, however, some examples of community colleges promoting from within the ranks. These examples are by no means typical. The assertion that community colleges tend to seek talents outside the institution rather than develop them from within remains essentially correct.

An institution that only promotes from within may also have a great detriment to overcome. The inward spiral of ideas, new ways of doing things, or a fresh approach to old problems might well be thwarted. A healthy balance between seeking new talent from outside and a solid internal evaluation and development program is the best answer to staff morale problems, continuity and predictability within the institution, and more appropriate use of tax dollars.

The Components of an Employee Evaluation and Development Model

Seeking advice from industry for curriculum development and special instructional methods has proved beneficial and appropriate for community colleges. To draw upon business and industrial models for evaluation and development of personnel might well be the most important consideration community colleges could give to cooperation between business and community colleges in this decade.

Community colleges and private enterprise face many of the same personnel problems. Unionization of employees, affirmative action requirements, search for new talents, staff development, unemployment projections (RIFs), and staff morale are just a few of the problems faced by both. Industry has, however, developed overall plans for enhancing the professional life of employees while community colleges have struggled to respond to charges of poor communication, low morale. and mistrust. Not only have administrators and boards of trustees struggled to respond, their responses have often been meager philosophical approaches that fail to attack the real issue: How do employees meet their professional goals within the context of institutional evaluation, development, or change? (DeHart, 1982)

The answer may be to borrow from a hiring, developing, and promoting concept used in industry that is applicable to two-year institutions. Most community colleges already use components of this model. The components tend to be buried in personnel office practices, division and department procedures, and informal administrative practices. The three major components of the model can be identified with particular office functions.

Hiring. Hiring of staff is a personnel office function closely coordinated with instructional or service offices charged with supervising the staff hired. Personnel offices must coordinate affirmative action goals, write job descriptions, establish general salary ranges, recruit, screen applicants, and set up the interviewing process. Once the candidate is identified, the employment mechanism is activated. Employment consists of establishing where the employee will work, who supervises, compensation levels, starting dates, special benefits, and completing internal records.

Although several offices may collaborate in the hiring process, the main leadership role will generally rest with the personnel office.

Staff Development. Developing staff is a nebulous role, scattered throughout the institution, with no one in particular accountable if development does not occur. This is the primary reason development becomes a private action on the part of many employees. To be effective, development should take on a three-dimensional aspect in the community college.

First, there is development that is more an orientation to the position and the institution. Supervisors should explain office procedures, college policies, and other information to new employees. Depending on the level of responsibility and authority, it could take a full academic year before a new employee is able to function without close supervision. Job success depends on successful orientation of the new staff member to the objectives of the position and its relationship to other offices.

Poor performance by the employee or supervisor during this orientation period may set up the dynamics for poor performance and poor evaluations, thus making future staff development or growth impossible. The supervisor should give a great deal of thought to employee orientation. Because supervisors think in terms of the complete employee, little attention is paid to this aspect of development.

Second, understanding emerging institutional directions and goals is a part of staff development that affects evaluation. Preparation for these goals and directions is vital. Should new instructional programs or new facets of established programs emerge, or a major new institutional thrust take place without staff development, staff affected by these changes will be defensive and negative. If the institution has a professional staff that is a part of the governance program, union, or association, the defensiveness may be played out through these channels. Lack of communication, mistrust, and staff-administration splits can often be traced to new goals, objectives, or changes in direction being established without adequate preparation or training of staff.

Promoting. The promoting function as a deliberate endeavor is lacking in most community colleges. To prepare staff for future growth within the institution, an analysis of the staff's personal goals must be made. This is rarely done after the first professional appointment.

Reviewing or helping staff to reach career goals through institutional support for those goals and matching them with long- and short-range staff development programs is an absolute must.

Job efficiency and effectiveness is greater when staff can incorporate institutional goals and objectives with personal goals. Although employee advancement will cause the institution to lose some employees

to other colleges, it is more likely that the professionally talented and energetic people will remain.

One of the better programs training staff for promotion is found in the Dallas County Community College System. The use of internships, both internal and external, is a major strength of the program. At the City-Wide Colleges in Chicago, there has been a concerted effort to create, through temporary assignments or dual titles, a means to prepare employees for future growth.

Staff Development and Promotion

Training staff for new endeavors should be part of the college promotion plan. For example, the college wishing to use technology to assist instruction should be willing to pay the costs of additional classes, conferences, staff publications, and in-house workshops on this topic. It may be appropriate to reward staff for participation in these programs.

It is probably unwise for the institution to encourage teaching staff charged with conducting freshmen and sophomore courses to continue getting more advanced education in the discipline. Instead of a better-prepared instructor, the college may end up with someone who teaches advanced concepts in lower-division courses, but complains that students at the freshman/sophomore level are ill-prepared. A program that develops skills in the delivery of freshman/sophomore course concepts would be more appropriate. These types of staff development programs are typical in both industrial models and in community colleges.

Organizational development is a term normally applied by industry to what is described here as employee promoting. The definition is nearly the same. Private enterprise views organizational development as a dynamic function and responsibility of management. If the organization is dynamic—that is, changing to meet new markets and new technological advances—then management must constantly develop staff to meet those challenges. Nadler (1970, p. 89) states that "employee development activities in the business world are designed to produce a viable and flexible work force for the organization as it moves toward its future."

The Industrial Model

Any program, hiring, developing, and promoting employees, must be grounded in sound selection practices such as affirmative action and solid orientation and employee development. New to many community colleges is a third component—varying an employee's on-the-job experiences to facilitate movement to other positions within an institution.

The model shown below illustrates how hiring, staff development, evaluation, and promotion form an integral part of a personnel development strategy. There are twenty-three segments of this model. A checklist is provided below for easy reference. In most community colleges, current employees would be located at the personnel development category. Most colleges would find employees strung out along various levels of the model.

Component A: Hiring

_____ 1. Position Open
_____ 2. External Recruiting
_____ 3. Internal Recruiting
_____ 4. Minority Recruitment
_____ 5. Affirmative Action Process
_____ 6. For Parallel or Lower Positions
_____ 7. Interviewing Process
_____ 8. Employment

Component B: Developing

_____ 1. Supervisor Evaluation of Goals Relating to Position
_____ 2. Personnel Development Program
_____ 3. Performance Evaluation
  a. Deficient Performance
  b. Average Performance
  c. Above-Average Performance
_____ 4. Personnel Reevaluation
_____ 5. Position Retention
_____ 6. Termination
_____ 7. Position Change
  a. To Component C (Advancement)
  b. To Component A (New Position)

Component C: Promoting

_____ 1. Goal Setting (Personal)
_____ 2. Career Planning Review
_____ 3. In-Service Training
_____ 4. Internal Internship
_____ 5. External Internship
_____ 6. Additional Education
_____ 7. Other Training
_____ 8. Internal Promotion of Candidate

Most community colleges will already have many of the elements of components A and B and use some of the elements in component C for staff development. The industrial model calls for component C to be

an integral part of the overall model or the organizational development strategy breaks down.

Each of the segments is used as an integral part of a whole. Each element is redefined in the context of the institution's local setting. For example, the Personnel Development Program element (Component B) is very informal at the College of Lake County. It is a mix of staff development and personal goal attainment activities conducted for large groups of the staff and immediate supervisors. At the same college, the Career Planning element is largely informal knowledge of those working closely with individual staff. Some offices have formal task analysis and job preparedness, but no overall college endeavor exists. Yet, the hiring process works very well at the College of Lake County.

It may take as many as three years to completely put the model in place. Vigorous discussions and staff meetings are necessary before launching it. The model should be examined by the institution and accepted by everyone from the president to the stock clerk.

Applying the Model

The model may at first raise serious concerns because it indicates a stronger effort at affirmative active. The model assumes a definitive affirmative action plan has already been developed. The minority recruitment and affirmative action elements will require a deliberate, extensive search for qualified minority candidates. Again, the industrial model is adaptable.

There are at least four ways the model can be used by community colleges to reach affirmative action goals.

1. Establish acceptable requirements for entry into a position. Seek potential employees who meet the requirements but who are not overly qualified. If a master's degree is required, the overly qualified Ph.D. applicant should not be considered.

2. Recruit actively through personal contacts. College administrators should visit campuses with minority graduates. Booths and other strategies will be needed at appropriate professional meetings.

3. Plan the position opening well in advance so that a strong recruitment effort may be made in-house and off campus.

4. Establish a strong role for college affirmative action processes, such as designating affirmative action oversight review mechanisms.

The first elements of the model to be implemented should be the affirmative action components. Internal staff development and promotional mechanisms may be built on that base. Without first addressing affirmative action goals, many institutions will not secure minority employees, no matter how qualified.

Consternation may also occur when poor performance is noted. When an employee does not function as desired, a great deal of time and energy can be spent by the supervisor. Quite often the situation becomes personalized, and negative emotions are experienced by both the employee and supervisor. When this occurs, little opportunity is left for a more positive approach to the problem. There is no mechanism in most colleges to deal with malfunctions in the typical model. This model, however, provides avenues for staff development, reassignment, or termination.

No employee comes to the institution with only one set of skills or capabilities. Institutions desire to help each employee to grow professionally, to assess career goals, to sharpen other skills, and to develop as many possible avenues to other positions within the institution as abilities and capabilities will allow. It is still unlikely that the president's secretary will acquire the necessary skills to become president. But the model can be used to encourage professional staff to fill a variety of faculty and administrative roles, and to allow clerical staff to reach to professional staff expertise level.

The model is applicable to all employees: deans and custodians, faculty and clerks, mail clerks and division directors. Funding the entire model at one time could be more costly than an institution can bear. Each institution will need to target groups to make the most of limited funds. In the targeting process, some consideration can be given to recredentialing staff to handle new curricula and programs, thereby avoiding RIFs and permitting offices to acquire badly needed short-term professional help through internal internships.

The model also promotes understanding between offices about how the college works and provides job satisfaction to employees. Administrators will have to decide who has potential and who should continue to be employed in the same positions. Timid implementation of the model could create more problems than not having a model (Drucker, 1974).

In most colleges, the model can be implemented by reallocating funds rather than finding new money. Much of the money needed to implement the model can be found in funds set aside for recruitment, staff development, staff orientation, grants and contracts with government agencies, and professional travel. Currently, these funds are so dissipated throughout college budgets that they do little to help institutions grow.

Summary

Many college presidents openly declare the greatest resource they have at their disposal are human resources. Few, however, set

about to nurture this resource through an organizational development plan. The conceptual model for maintaining and developing community college staff provides such a plan.

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This chapter provides a review of some legal considerations and predictions for the future.

Concluding Comments

Al Smith

Even with the very comprehensive list of recommendations made in this volume there is one major area of staff evaluation that has not been covered. That area is the legal aspects of staff evaluation programs. While space does not permit a full exploration, in closing it should be helpful to mention some of the legal considerations associated with staff evaluation. Thomas (1981) has compiled an extensive list of legal considerations which are offered here for the reader's review. This list should help colleges avoid any legal entanglements that might arise as a result of new or revised staff evaluation plans.

1. The criteria should be developed from a job analysis (job-related) through content validation procedures.
2. Administration, faculty, and students should be involved in the development of the system.
3. Individuals evaluating job performance should observe employees frequently.
4. Where possible, evaluations should be based on observable job behaviors.
5. Evaluation forms must be written in clear and concise language, including directions and purpose.
6. Evaluations should be conducted and scored under standardized conditions.
7. Evaluators must be trained in use of the instrument.

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8. Several evaluation sources are required and their evaluations should be independent.
9. Performance evaluation must be conducted before any personnel decisions can be made.
10. Evaluations should be supported by objective evidence of performance results.
11. Student evaluations with comments about the faculty member must not be summarized. Either all or none of the comments should be made public.
12. Classroom observations by colleagues must follow a list of teaching behaviors known to the faculty member being observed.
13. Self-appraisals must not be used for tenure, promotion, and retention decisions.
14. Criteria, standards, and procedures should be communicated to the persons being evaluated.
15. Faculty should be informed of the results of their performance evaluation.
16. The evaluation system must not be discriminatory in intent, application, and results.

This list of legal considerations was developed using the references of Holley (1977), Kaplin (1979), and Seldin (1980. Thomas (1981) was careful to note that this proposed set of guidelines provided no guarantee that an institution following these suggestions would not be found liable in a court suit. However, she felt that the probability of such an outcome would be considerably reduced if these guidelines were followed.

It is always dangerous to make predictions about the future, particularly in uncertain times. However, when predictions are based on past experience there is often less chance for error. In closing, the following predictions are offered regarding staff evaluation in two-year colleges. These predictions are based on the content of this publication and the author's experiences with two major projects on faculty and staff evaluation in the community colleges. These predictions will be of value to colleges considering changes in staff evaluation programs.

1. Successful changes in staff evaluation programs will only occur in those colleges where the institution's president or chief academic officer shows strong administrative support for a new or revised evaluation plan.

2. Effective and long lasting changes in staff evaluation programs will only be found in those two-year colleges where there has been full and extensive staff involvement in the proposed change.

3. The most successful staff evaluation programs will be found in those colleges that develop a base of expertise, both internal and external to the institution, for revising their staff evaluation programs.

4. Change in present staff evaluation programs will only occur at those institutions where there is a generally recognized need for a new or revised evaluation program.

5. Interest in staff evaluation programs will increase in the 1980s, with colleges developing staff evaluation plans that cover all employees, not just the faculty.

6. Collective bargaining agreements will not hinder, and may even foster, the development of new or revised faculty and staff evaluation and development programs in future years. Such programs will be found in equal numbers in both unionized and nonunionized colleges.

7. Research and evaluation studies in this area will focus more on the impact of these programs than they have in the past. Little is really known about the impact of staff evaluation procedures on faculty, administrators, part-time faculty, academic support staff, and nonacademic support staff.

Overall, staff evaluation promises to continue to attract considerable attention in the 1980s. This attention will be most appropriate given the central value of this administrative function. The colleges that can most effectively manage, develop, and reward their most important and valuable resource, their staff members, are likely to be the most successful colleges in meeting their educational goals for the remainder of this decade.

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Material abstracted from additions to the ERIC system provides further information on faculty and staff evaluation.

Sources and Information: Faculty and Administrator Evaluation

Jim Palmer

As Behrendt and Parsons note in an earlier chapter, faculty evaluation became an issue of the 1970s. Reasons for this include, among other factors, pressures on administrators to justify the retention of personnel in times of fiscal constraint (Mark, 1977), state legislative mandates requiring faculty evaluation (Cohen and Brawer, 1972b), demands for an appropriate means of identifying and recognizing meritorious performance (Walker, 1979), and the growing consensus that some aspects of college administration, including faculty evaluation, be shared with students (Menard, 1975).

This final chapter reviews a selection of the staff evaluation literature that appeared during the 1970s. Included in this review are journal articles and ERIC documents that were processed by the ERIC Clearinghouse for Junior Colleges from 1972 through 1982. A bibliography of these works is provided at the end of this chapter.

Problems in Faculty Evaluation

Despite the development of sophisticated evaluation programs, the literature reveals that community college practitioners have yet to

A. Smith (Ed.). *Evaluating Faculty and Staff.* New Directions for Community Colleges, no. 41. San Francisco: Jossey-Bass, March 1983.

reach consensus as to the purposes and method of faculty evaluation. The many criticisms of faculty evaluation programs indicate the need for continued research in the development of evaluation systems that enhance faculty development and student learning.

One of the major problems cited in the literature is the fact that faculty evaluation systems often have two contradictory purposes: to enhance faculty development efforts by assessing the strengths and weaknesses of individual instructors, and to determine whether the employment of a faculty member should be continued or terminated. Cohen (1974, p. 21) argues that such dual-purpose evaluation systems are counterproductive and damaging to morale: "One faculty evaluation scheme cannot both judge and assist. The procedure that gathers evidence for dismissal is different from that which reflects a climate of support, of communication, and of growth inducement." Mark (1977, p. 5) notes that most writers on the subject concur with Cohen and that the literature "demands the separation of the evaluation process into the goals of development and of promotion, salary, and retention." Yet Mark's review of the literature and of predominant practices leads her to conclude that there has been little research into how the two goals of evaluation can be separated. "The outcome," she reports, "is more judgment and less assistance" (p. 5). Faculty fears and distrust of the evaluation process are often the result.

Another issue of concern to writers is the respective roles played by administrators, students, and faculty peers in the evaluation process. Mark (1977) briefly reviews the literature concerning self-evaluation, peer evaluation, student evaluation, and administrative evaluation. "Research evidence on the various evaluative components," she concludes, "reveals a mixed picture of effectiveness" (p. 33). Cohen and Brawer (1972b) argue that efforts to determine the relative importance of different parties in the evaluation process may be pointless. Regardless of the parties involved, the authors maintain, evaluation efforts should focus on the personal growth of the instructor. Other works examining the role of one or more of these parties include Cohen and Brawer (1972a), Schneider (1975), and Walker (1979). Papers examining the role of students in the faculty evaluation process are reviewed in a separate section below.

The feasibility of basing faculty evaluation on measured advances in student learning is a bone of contention in the evaluation literature. Cohen and Brawer (1972a) argue that measurable indices of student learning should be used to determine the effectiveness with which instructors actually cause learning. Despite methodological limitations in assessing the impact of teaching on students' long-term affective development, Cohen and Brawer note that "measuring student

gains toward specific objectives is more closely akin to measuring student change in general than is assessing an instructor on the basis of his methods or his efforts" (p. 203). Other writers are less enthusiastic. Swofford (1978, p. 51) acknowledges the advances made in educational measurement, but cautions that the efforts of some "propagandists of education" to utilize pretests, post-tests, and other measures of learning "are about as credible as the statistics the military used to prove success in Vietnam from 1966–1970." Wilson (1980, p. 26) argues flatly that faculty evaluation is by nature a subjective process: "There is no valid or reliable instrument for measuring teacher effectiveness. Nor will there ever be." The final vote on the relationship of student learning to faculty evaluation is not yet in.

The Student Role in Evaluation

The role of students in the faculty evaluation process has generated a large proportion of the evaluation literature. Of central interest to writers is the credibility and impact of student evaluations.

Kiernan (1975), drawing upon a study of student evaluations of faculty at ten two-year colleges in the New York City area, outlines eleven objections to such evaluations. Among other points, she notes that students are in no position to judge the instructor's knowledge of his or her field; that student evaluations can vary depending on the subject matter taught by the instructor; that personality matters sometimes interfere with objective evaluation; and that evaluation instruments themselves are not validated. In a rebuttal, Eagle (1975) cites research studies pointing to the reliability of student evaluations and to the ability of students to judge instructors fairly and objectively. Also supporting the value of student evaluations is the finding by Deegan and others (1974) that the faculty and deans at a random sample of 200 California community colleges viewed student evaluations as an effective evaluation tool.

Two studies examine the impact of student evaluations on faculty change and improvement; their findings are mixed. Fitzgerald and Grafton (1981) found in a study at one California community college that faculty had a higher degree of confidence in student evaluations than in peer evaluations. These faculty also indicated that changes in their teaching methodology "were more the result of student evaluations than of peer evaluations" (p. 331). Eagle (1980) found in a study at the Bronx Community College that instructors' knowledge of their ratings by students and of their relative standing among their colleagues in terms of student ratings did not produce a significant change in these ratings over time.

Several documents discuss the development and composition of rating instruments used by students to evaluate faculty. Rasor and others (1981) detail a study conducted at American River College (Ca.) to develop an instrument that restricts students' evaluations to observable teacher behavior. Yess (1981) discusses the problems inherent in rating instruments that are developed through the collective bargaining process without scientific pilot testing. Nickens (1981) details a study conducted to identify criteria that students would like to use as a basis for faculty evaluation and to determine whether students felt competent to rate faculty on the basis of these criteria. Rating instruments based on the criteria that are important to students, Nickens argues, would "provide a more reliable and valuable measurement" (p. 59). Information on rating instruments developed and used at other institutions include Bers (1977), Bichara and Hazard (1978), Haywood (1979), and Nelson (1976).

Some research has been conducted to identify personality or instructional factors that might affect student evaluations of community college faculty. Handleman (1974) describes a study in which student evaluations of an instructor who used objective tests exclusively were compared with evaluations of the same instructor using classroom tests that combined objective and subjective formats. Findings indicate that the instructor was evaluated significantly higher by students who took objective exams than by those who took combination objective/subjective examinations. South and Morrison (1975) describe a study testing the hypothesis that student-centered teachers—those who are more sensitive to the personal needs of students—will be perceived by their students to be more effective than teachers who are more concerned with course subject matter; this hypothesis did not hold true in all cases. Finally, Hunter (1979) examines a study conducted to determine if the interaction of preferred learning styles with preferred teaching styles can affect student grades and student ratings of instruction. No statistically significant relationship was discovered.

Developing Evaluation Criteria

In his review of the literature concerning the evaluation of community college faculty, Tolle (1970, p. 6) notes that objective measures of teacher effectiveness have yet to be developed: "every study still seems to end with a recommendation that even more work be carried out to identify the criteria that should be used in the evaluation of instructional effectiveness."

Since 1970, a number of researchers have concerned themselves with the identification of evaluation criteria. Most of these documents

describe efforts to identify evaluation criteria through a survey of students and faculty. Rhode Island Junior College developed a fifty-time evaluation instrument on the basis of a faculty-student survey that solicited opinions concerning the characteristics of effective faculty performance (Menard, 1975). In a similar effort, St. Louis Junior College surveyed its faculty members to determine what should be included in faculty evaluation, how much weight should be given to each item, and whether teaching effectiveness is best measured by performance or outcome (St. Louis Junior College District, 1974). Other efforts to identify evaluation criteria through surveys are described by Dickens (1980), Minuk (1981), and Wiesenfeld (1975).

Another approach to criteria identification is described by Morsch and others (1955). They report the methodology and findings of a research project undertaken by the United States Air Force to determine evaluation criteria that correlate with and are predictive of student achievement. Using an eight-day hydraulics maintenance course taught by 121 instructors on a regular basis to classes of about fourteen students using the same classrooms and materials, Air Force researchers correlated student gains criteria (as measured by pre- and post-tests) with instructor variables. These instructor variables included peer and supervisor evaluations and measures of instructor subject knowledge and general intelligence. Major findings include the fact that peer and supervisor ratings did not significantly correlate with student gains criteria.

Evaluation Programs and Systems

Several documents describe the faculty evaluation programs conducted at individual colleges. Among these documents are three evaluation manuals from St. Louis Community College: *Faculty Evaluation System: Instructional Resources Faculty* (1981b); *Faculty Evaluation System: Teaching Faculty* (1981c); and *Faculty Evaluation System: Counseling Faculty* (1981a). Besides detailing evaluation procedures, each manual outlines performance criteria, indicators of professional development, and levels of satisfactory and unsatisfactory achievement. Evaluation forms and instruments are also included.

Other papers review programs that emphasize the involvement of all members of the community college in the evaluation process. Kinnebrew and Day (1973) describe the procedures and forms used by Sacramento City College in a faculty evaluation program that includes self-evaluation, as well as input from students, peers, and administrators. In another document, Lewis (n.d.) describes a point-based faculty evaluation system under which instructors accumulate credits on the

basis of student evaluations, supervisor evaluations, course work, curriculum development activities, speaking engagements, publications and participation in professional meetings, commencement ceremonies, faculty meetings, and other activities. The accumulation of thirty points out of a possible sixty-seven is required for the instructor to be recommended for promotion.

Another approach to evaluation requires faculty to document professional competency. Saunders (1981) details the evaluation system at Shelby State Community College (Tenn.), in which the instructor maintains a portfolio of materials that report, for each evaluation cycle, activities in the areas of instruction, service to the college, professional growth, and community service. Prior to the beginning of the evaluation period, the faculty member and his or her supervisor determine the emphasis that will be placed on each of these areas in the instructor's final evaluation. Brawer and Purdy (1972) present, among other items, a description of the Assessment of Student Learning system (ASL) that is used to evaluate faculty at Golden West College (Ca.). This system requires faculty and division chairs to discuss class plans and instructional objectives. Follow-up meetings are held each year, at which instructors present evidence of student learning to substantiate instructional effectiveness. A similar system adopted at Lee College (Tex.) is discussed by Cloud (1977). In this system, "Each instructor defines his own instructional priorities in terms of performance objectives and collects information necessary to document the fact that the objectives have been met" (p. 42).

Administrator Evaluation

While most of the ERIC literature focuses on faculty and staff evaluations, a smaller number of ERIC documents address themselves to problems in and guidelines for administrator evaluation. Losak (1975) examines the barriers to rational administrator evaluation that are posed by power relationships, the influence of rumor, and other psychological factors often at the heart of administrator dismissal. Guidelines and suggestions for administrator and presidential evaluation are presented by Henderson (1976), Lahti (1980), Lorne (1978), and Williams (1977a).

Other papers detail specific evaluation practices. Thomas (1980) reports the methodology and findings of a national survey of community college chairpersons that was conducted to determine the purposes, procedures, and criteria used to evaluate their administrative performance; to solicit opinions about present and desirable components of chairperson evaluation systems; and to examine how chairper-

sons from various academic disciplines in their views about evaluation. Administration evaluation systems at Tri-County Technical College (S.C.), Alvin Community College (Tex.), Northern Virginia Community College and Los Angeles Community College District are described, respectively, in McCombs (1980), Lewis (n.d.), Williams (1977b), and Los Angeles Community College District (1977).

Obtaining Copies of ERIC References

The ERIC documents (ED numbers) listed are available on microfiche (MF) or in paper copy (PC) from the ERIC Document Reproduction Service (EDRS), Computer Microfilm International Corporation, P. O. Box 190, Arlington, Virginia 22210. The microfiche price for documents under 480 pages is $0.97. Prices for paper copies are: 1–25 pages, $2.15; 26–50 pages, $3.90; 51–75 pages, $5.65; 76–100 pages, $7.40. For materials having more than 100 pages, add $1.75 for each 25-page increment (or fraction thereof). Postage must be added to all orders. Abstracts of these and other documents in the junior college collection are available upon request from the ERIC Clearinghouse for Junior Colleges, Room 96, Powell Library, University of California, Los Angeles, California 90024. Journal articles, those not marked with an ED number, are not available from EDRS.

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Index

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