

State of California
Memorandum

To: Amy Fleischer, Damon Fleming, Christine Theodoropoulos,
Andy Thulin, Dean Wendt, Philip Williams,
Keith Humphrey, Adriana Popescu, Don Oberhelman

Date: November 19, 2021

From: Kathryn Rummell 
Interim Associate Vice Provost for Academic Personnel

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Cynthia Jackson-Elmoore
Assoc. Deans/Dept. Heads/Chairs*
Tina Hadaway-Mellis, Andrea Lawson*
Tom Gutierrez
Lewis Call

*with attachments

Subject: **Periodic Evaluations 2021-22 – Response Requested by December 3, 2021**

Enclosed are lists of faculty members scheduled for periodic evaluation and the appropriate timetables for conducting those reviews. The lists for the 2021-22 periodic evaluation cycle reflect the requirement to conduct a cumulative evaluation per Provisions 15.28 and 15.29 of the Unit 3 collective bargaining agreement (CBA).

Interfolio will be utilized for all faculty evaluations during the 2021-22 academic year for both the Personnel Action File (PAF) and Working Personnel Action File (WPAF). Each Interfolio case contains PDF files of scanned materials from the PAF, including student evaluation reports for the previous six academic years. Candidates are unable to add or delete materials to the “Electronic Personnel Action File (ePAF)” and “Student Evaluation Reports” sections in Interfolio. Candidates should review these sections for accuracy, and if they discover any inaccuracies, they should notify their college dean or appropriate administrator before the deadline to submit the Working Personnel Action File. Candidates are no longer required to sign and date the paper PAF log. Instead, by submitting their Interfolio case, they acknowledge that they have reviewed the “Electronic Personnel Action File (ePAF)” and “Student Evaluation Reports” sections for accuracy.

Evaluators should use the Faculty Evaluation Form *AP109* for periodic evaluations of tenured and probationary faculty, and the Lecturer Evaluation Form *AP109-L* for periodic evaluations of lecturers. Please use the most recent evaluation forms located at <https://academic-personnel.calpoly.edu/content/forms>. It is the professional obligation of **all evaluators** to review the information in **both** the Working Personnel Action File and the Electronic Personnel Action File within Interfolio before they vote or submit a written recommendation. By signing the written evaluation, they acknowledge agreement with the evaluation and acknowledge that the evaluation resulted from thorough review of the Electronic Personnel Action File (ePAF), including student evaluations, and the Working Personnel Action File (WPAF). All evaluators are to ensure the confidentiality of personnel files. As a reminder, the current CBA requires a **rebuttal period of ten (10) days** at each level of review (CBA 15.5) and requires that the individual faculty unit employee being evaluated shall be provided a **notice of at least five (5) days** that a classroom visit, online observation, and/or review of online content is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits their class(es) regarding the classes to be visited and the scheduling of such visits (CBA 15.14). A written record of the periodic evaluation is placed in the faculty member's PAF at the conclusion of the review process.

Please verify the enclosed eligibility lists with your departments and notify Lindsay Howell (lmhowell@calpoly.edu) of any corrections by December 3, 2021. Faculty scheduled for evaluation must be notified of the deadlines for submitting their Working Personnel Action File via Interfolio and provided with college and departmental criteria by which they will be evaluated **before the end of Fall Quarter 2021**. The current college and departmental criteria are available at <https://academic-personnel.calpoly.edu/content/policies/criteria>.

The following information is applicable for those faculty who are subject to periodic evaluation during 2021-22:

1. Probationary Faculty Unit Employees not subject to RPT performance evaluation

Probationary faculty members who are not scheduled for performance evaluation in 2021-22 are subject to a required periodic evaluation by an elected peer review committee of tenured faculty members, the tenured department head/chair and dean. **SEE BLUE SECTIONS OF PERIODIC EVALUATION LIST.**

2. Temporary Faculty Unit Employees with 12.12 or 12.13 Eligibility

Lecturers who may be eligible for a three-year appointment pursuant to Article 12.12 (initial 3-year appointment) or Article 12.13 (subsequent 3-year appointment) must receive a cumulative evaluation by a peer review committee of tenured

faculty members, the tenured department head/chair and dean. Pursuant to Article 15.28, lecturers in their 6th consecutive year of employment consisting of at least 2 quarters/year must be evaluated on their cumulative performance during the 6-year qualifying period in order to be eligible for an appointment with 12.12 3-year entitlement. Pursuant to Article 15.29, lecturers in the 3rd year of their 12.12/12.13 appointment must be evaluated on their cumulative performance during the period of their 3-year appointment in order to be eligible for an appointment with 12.13 3-year entitlement. Please note that if a lecturer is in year 3 of 3 and has had no assignments during the entire period of their 3-year appointment, there is no basis on which to evaluate their performance, thus they should not receive an evaluation. This applies to lecturers who were approved for unpaid leave during all three years of their 3-year appointment. If no work exists in the department to support the initial or subsequent 3-year appointment of the lecturer, or if the time base of the lecturer was zero during the third year of their 3-year appointment, they shall be placed on the re-employment list pursuant to Article 38.48 (CBA 12.12f), but should receive an evaluation in the event of reappointment in the future. **SEE LAVENDER SECTIONS OF PERIODIC EVALUATION LIST**

3. Temporary Faculty Unit Employees without 12.12 or 12.13 Appointment (not including coaches)

- a. **Full-time lecturers appointed for the entire 2021-22 academic year must be evaluated by a peer review committee of tenured faculty members, the tenured department head/chair and dean. SEE ORANGE SECTION OF PERIODIC EVALUATION LIST.**
- b. **Part-time lecturers appointed for the entire 2021-22 academic year (including any 12.3 appointments) must be evaluated by the tenured department head/chair and dean.** A peer review committee evaluation is not required; however, full-time tenured faculty members should be given the opportunity to provide evaluative statements, and such statements shall be written and signed. **SEE LIME SECTION OF PERIODIC EVALUATION LIST.**
- c. **Any other lecturers (full-time or part-time) appointed for one or two quarters** are evaluated at the discretion of the department head/chair or the dean. Although the faculty unit contract allows such evaluations to be discretionary, tenured department head/chairs are encouraged to evaluate all temporary faculty unit employees on a regular basis. **SEE YELLOW SECTION OF PERIODIC EVALUATION LIST.**
- d. **Pursuant to Provisions 15.25 and 15.26, any lecturer not scheduled for periodic evaluation during 2021-22 may request that an evaluation be performed.** The request must be in by the close of file deadline on the applicable timetable, and must be accompanied by an updated Working Personnel Action File.

4. Post-Tenure Periodic Evaluation

Tenured faculty members are subject to an evaluation **at least once every five years** (or more often at the discretion of the department head/chair or dean) by an elected tenured peer review committee, the tenured department head/chair and dean. Associate Professors applying for promotion in their fifth year will not be required to undergo a post-tenure review. Participants in the Faculty Early Retirement Program (FERP) shall not be required to undergo evaluation unless an evaluation is requested by either the FERP participant or the appropriate administrator (Provision 15.35). **SEE POST-TENURE EVALUATION LIST.**

5. Temporary Coaching Faculty – Evaluation Schedule provided by Director of Athletics

Coaches (full-time and part-time) are evaluated by their head coach and the Director of Athletics. There must be an opportunity for peers to provide evaluative statements, and such statements shall be written and signed (Provisions 15.23 and 15.24).

6. Temporary Counselor Faculty

Temporary counselors (full-time and part-time) are evaluated by the Director of Counseling Services, the AVP of Campus Health and Wellbeing, and the Vice President for Student Affairs.

The University Personnel Action Procedures and Criteria and CBA Provisions 15.20-15.37 contain additional information on periodic evaluations (available at <https://academic-personnel.calpoly.edu/content/policies/criteria>).

By June 24, 2022, college deans/equivalent are requested to submit to Academic Personnel the list of employees who have received an evaluation during 2021-22, including the type of evaluation received and the date of completion. The college deans should also include whether lecturers who have undergone a cumulative review were rated as “satisfactory”.

Please contact Lindsay Howell (lmhowell@calpoly.edu) regarding any faculty evaluation process or eligibility list questions.

Periodic Evaluation Timetables 2021-22

Probationary Faculty (appointed FWS 2021-22 & 2022-23)	
Temporary Faculty Unit Employees with 12.12 or 12.13 Eligibility	
Full-Time Temporary Faculty (appointed FWS 2021-22)	
Part-Time Temporary Faculty (appointed FWS 2021-22)*	
Post-Tenure Periodic Evaluation	
Lecturer Range Elevation	
Close PAF and WPAF from Candidate to DH/DC:	14-Jan (Fri)
PRC Evaluation to Candidate:	11-Feb (Fri)
PRC Evaluation to Department Head/Chair:	22-Feb (Tu)
Department Head/Chair Evaluation to Candidate:	18-Mar (Fri)
Department Head/Chair Evaluation to Dean:	28-Mar (Mo)
Dean Evaluation to Candidate:	29-Apr (Fri)
Dean Provides List of Evaluations Conducted to AP:	24-Jun (Fri)

Probationary Faculty (appointed WS 2022 & FWS 2022-23)	
Close PAF and WPAF from Candidate to DH/DC:	1-Apr (Fri)
PRC Evaluation to Candidate:	15-Apr (Fri)
PRC Evaluation to Department Head/Chair:	25-Apr (Mo)
Department Head/Chair Evaluation to Candidate:	13-May (Fri)
Department Head/Chair Evaluation to Dean:	23-May (Mo)
Dean Evaluation to Candidate:	10-Jun (Fri)
Dean Provides List of Evaluations Conducted to AP:	24-Jun (Fri)

Part-Time Temporary Faculty (1 or 2 quarters)**		Part-Time Temporary Faculty (1 or 2 quarters)**	
Close PAF and WPAF from Candidate to DH/DC:	14-Jan (Fri)	Close PAF and WPAF from Candidate to DH/DC:	4-Apr (Mo)
Department Head/Chair Evaluation to Candidate:	28-Jan (Fri)	Department Head/Chair Evaluation to Candidate:	22-Apr (Fri)
Department Head/Chair Evaluation to Dean:	7-Feb (Mo)	Department Head/Chair Evaluation to Dean:	2-May (Mo)
Dean Evaluation to Candidate:	11-Mar (Fri)	Dean Evaluation to Candidate:	27-May (Fri)
Dean Provides List of Evaluations Conducted to AP:	24-Jun (Fri)	Dean Provides List of Evaluations Conducted to AP:	24-Jun (Fri)

****Evaluations conducted at the discretion of department head/chair or upon request of lecturer**