**ACADEMIC SENATE**
**Of**
**CALIFORNIA POLYTECHNIC STATE UNIVERSITY**
**San Luis Obispo, CA**

**AS-872-19**

**RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES**
**CHAPTER 5: EVALUATION PROCESSES**

<span style="color:red">**Impact on Existing Policy: This resolution establishes the statement of policy about the faculty evaluation processes. Its impact on existing policy is described in the attached report. [i]**</span>

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|---|---|---|
| 1 | WHEREAS, | The Academic Senate Faculty Affairs Committee is constructing a document |
| 2 | | entitled "University Faculty Personnel Policies" (UFPP) to house all |
| 3 | | university-level faculty personnel policies; and |
| 4 | | |
| 5 | WHEREAS, | AS-859-18 resolved that "The Academic Senate Faculty Affairs Committee |
| 6 | | construct UFPP by proposing university-level faculty personnel policies to |
| 7 | | the Senate in the form of chapters or portions of chapters of UFPP according |
| 8 | | to the procedures approved in AS-829-17"; and |
| 9 | | |
| 10 | WHEREAS, | AS-859-18 resolved that "By the end of Spring 2020 Colleges and other |
| 11 | | faculty units reorganize their faculty personnel policy documents to conform |
| 12 | | their documents to the chapter structure of UFPP"; therefore be it |
| 13 | | |
| 14 | RESOLVED: | The policy document contained at the end of the attached report "Proposed |
| 15 | | Chapter of University Faculty Personnel Policies Document: CHAPTER 5: |
| 16 | | EVALUATION PROCESSES" be established as Chapter 5: Evaluation |
| 17 | | Processes of UFPP, and be it further |
| 18 | | |
| 19 | RESOLVED: | Colleges and the Library revise their personnel policy documents by Spring |
| 20 | | 2020 to have chapter 5 of their documents cover evaluation processes as per |
| 21 | | chapter 5 of UFPP. |

Proposed by: Academic Senate Faculty Affairs Committee
Date:     February 26, 2019

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<span style="color:red">**[i] (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty.  Examples include curricula, academic personnel policies, and academic standards.**
**(2) Indicate if this resolution supersedes or rescinds current resolutions.**
**(3) If there is no impact on existing policy, please indicate NONE.**</span>

# 5. Evaluation Processes

## 5.1. Summary

5.1.1. This chapter defines all the evaluation sequences allowed for any sort of faculty evaluation currently used by all the colleges. Standard and familiar evaluation processes include lecturer evaluations and the periodic, retention, promotion, and tenure evaluations of tenure-track faculty. Each of these processes consists of a sequence of different levels of evaluation. The levels of evaluation were defined in Chapter 4, as the responsibilities of various evaluating bodies, such as department and college peer committees, department chairs or heads, or administrative evaluators. University-level definition of these processes allows for colleges to formulate their policy and procedure documents using common definitions of these processes. The scope of the processes covered in this section includes all faculty evaluation processes including instructional faculty, library faculty, counselors, and coaches. Exceptions to the normal sequence of evaluation levels are also covered. Colleges must establish in their personnel policy documents which of the permissible evaluation processes they elect to use in their faculty evaluations.

5.1.2. Chapter 5 was established by Academic Senate Resolution AS-872-19.

## 5.2. Instructional Faculty Evaluation Processes

### 5.2.1. Two-Stage Part-Time Lecturer Evaluation

5.2.1.1. Two-Stage Part-Time Lecturer Evaluation provides feedback and guidance to the faculty member.

5.2.1.2. Two-Stage Part-Time Lecturer Evaluation consists of the following levels of evaluation:
- Department Chair/Head
- Dean

5.2.1.3. Two-Stage Part-Time Lecturer Evaluation is PERMISSIBLE for periodic evaluation of part-time lecturers who are neither 12.12 nor 12.13 eligible and who are appointed in all three terms of an academic year.

5.2.1.4. Two-Stage Part-Time Lecturer Evaluation is PERMISSIBLE for periodic evaluation of part-time lecturers who are neither 12.12 nor 12.13 eligible and who are appointed in fewer than three terms of an academic year.

### 5.2.2. Three-Stage Periodic Evaluation

5.2.2.1. Three-Stage Periodic Evaluation provides feedback and guidance to the faculty member in support of future personnel actions.

5.2.2.2. Three-Stage Periodic Evaluation consists of the following levels of evaluation:
- DPRC
- Department Chair/Head
- Dean.

5.2.2.3. Three-Stage Periodic Evaluation is REQUIRED for full-time lecturer evaluation.

5.2.2.4. Three-Stage Periodic Evaluation is REQUIRED for part-time lecturer evaluation for those who are eligible for 12.12 or 12.13 appointments.

5.2.2.5. Three-Stage Periodic Evaluation is REQUIRED for review of probationary faculty who are not subject to performance review.

5.2.2.6. Three-Stage Periodic Evaluation is REQUIRED for post-tenure review.

5.2.2.7. Three-Stage Periodic Evaluation is PERMISSIBLE for lecturer range elevation.

5.2.2.8.    Three-Stage Periodic Evaluation is PERMISSIBLE for periodic evaluation of part-time lecturers who are neither 12.12 nor 12.13 eligible and who are appointed in all three terms of an academic year.

5.2.2.9.    Three-Stage Part-Time Lecturer Evaluation is PERMISSIBLE for periodic evaluation of part-time lecturers who are neither 12.12 nor 12.13 eligible and who are appointed in fewer than three terms of an academic year.

**5.2.3.    Four-Stage Lecturer Range Elevation Evaluation**

5.2.3.1.    Four-Stage Lecturer Range Elevation Evaluation is an evaluation process that results in lecturer range elevation and includes an additional peer review committee between the department and the Dean.

5.2.3.2.    Four-Stage Lecturer Range Elevation Evaluation consists of the following levels of evaluation:
- DPRC
- Department Chair/Head
- CPRC
- Dean

5.2.3.3.    Four-Stage Lecturer Range Elevation Evaluation is PERMISSIBLE for lecturer range elevation.

**5.2.4.    Four-Stage Performance Evaluation**

5.2.4.1.    Four-Stage Performance Evaluation is a performance that results in the retention or tenure for tenure-track faculty.

5.2.4.2.    Four-Stage Performance Evaluation consists of the following levels of evaluation:
- DPRC
- Department Chair/Head
- Dean
- Provost.

5.2.4.3.    Four-Stage Performance Evaluation is PERMISSIBLE for tenure of tenure-track faculty.

5.2.4.4.    Four-Stage Performance Evaluation is PERMISSIBLE for retention of tenure-track faculty.

**5.2.5.    Five-Stage Promotion Evaluation**

5.2.5.1.    Five-Stage Promotion Evaluation is a performance evaluation that results in promotion to higher rank for tenure-track faculty, and includes a college level peer review committee as an additional level of review between the department and the Dean.

5.2.5.2.    Five-Stage Promotion Evaluation consists of the following levels of evaluation:
- DPRC
- Department Chair/Head
- CPRC
- Dean
- Provost.

5.2.5.3.    Five-Stage Promotion Evaluation is REQUIRED for promotion of tenure-track faculty.

5.2.5.4.    Five-Stage Promotion Evaluation is PERMISSIBLE for tenure of tenure-track faculty

5.2.5.5.    Five-Stage Promotion Evaluation is PERMISSIBLE for retention of tenure-track faculty

**5.3.   Library Faculty Evaluation Processes**

**5.3.1.    Library Faculty Periodic Evaluation**

5.3.1.1. Library Faculty Periodic Evaluation is a periodic evaluation that provides feedback and guidance to the library faculty member in support of future personnel actions.

5.3.1.2. Library Faculty Periodic Evaluation consists of the following levels of evaluation:
- DPRC
- Associate Dean
- Dean
- Vice-Provost

**5.3.2. Library Faculty Performance Evaluation**

5.3.2.1. Library Faculty Performance Evaluation results in retention, promotion, or tenure of library faculty.

5.3.2.2. Library Faculty Performance Evaluation consists of the following levels of evaluation:
- DPRC
- Associate Dean
- Dean
- Vice-Provost
- Provost

**5.4. Counseling Services Faculty Evaluation Processes**

**5.4.1. Counseling Services Periodic Evaluation**

5.4.1.1. Counseling Services Periodic Evaluation provides feedback and guidance to the counseling services faculty member in support of future personnel actions.

5.4.1.2. Counseling Services Periodic Evaluation consists of the following levels of evaluation:
- DPRC (optional)
- Director
- Health Center Director
- Vice President of Student Affairs

**5.4.2. Counseling Services Performance Evaluation**

5.4.2.1. Counseling Services Performance Evaluation results in retention, promotion, or tenure of counseling services faculty.

5.4.2.2. Counseling Services Performance Evaluation consists of the following levels of evaluation:
- DPRC (optional)
- Director
- Health Center Director
- Vice President of Student Affairs
- Provost

**5.5. Athletic Faculty Evaluation Process**

5.5.1. Athletic Faculty Periodic Evaluation provides feedback and guidance to the athletic faculty member in support of future personnel actions.

5.5.2. Athletic Faculty Periodic Evaluation consists of the following levels of evaluation:
- Athletic Director

**5.6. Exceptions**

5.6.1. If the department chair/head is not a tenured faculty member or academic administrator, then this level of evaluation is skipped and the evaluation will move to the next level of review. (CBA 15.43)

5.6.2. If the department chair/head does not hold a higher rank than the faculty member under evaluation for promotion, then this level of evaluation is skipped and the evaluation will move to the CPRC. (CBA 15.43)

5.6.3. If a conflict of interest exists between the faculty member under review and chair/head or administrator, such as close relationship, prejudice, bias, etc., the chair/head or administrator should withdraw from this level of evaluation and provide a written rationale for withdrawal.

5.6.4. Deans withdrawing from their level of evaluation may designate an associate dean in their college to perform the duties of the dean's level of evaluation.

**5.7. University Evaluation Process Calendar**

5.7.1. The office of Academic Personnel will publish the annual evaluation process calendar. This process calendar will provide the dates by which levels of review should be concluded.

# MEMORANDUM

**To:**   Dustin Stegner
          Chair, Academic Senate

**From:** Jeffery D Armstrong
          President

**Date:**   April 26, 2019

**Copies:** K. Enz Finken
            M. Pedersen
            A. Liddicoat
            K. Brown
            College Deans

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**Subject:**   Response to AS-872-19 Resolution on University Faculty Personnel Policies
               Chapter 5: Evaluation Process

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This memo acknowledges my support of the above-entitled Academic Senate resolution. Colleges as well as the Library are encouraged to revise their personnel policy documents to align with Chapter 5 of the University Faculty Personnel Policies (UFPP) as outlined in this resolution and supporting documentation.

Please express my appreciation to the Academic Senate members and the Academic Senate Faculty Affairs Committee for their attention to this important matter.