

Adopted: April 30, 2019

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

AS-874-19

**RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
CHAPTER 6: EVALUATION CYCLE PATTERNS**

Impact on Existing Policy: This resolution establishes the statement of policy about faculty evaluation cycle patterns. Its impact on existing policy is described in the attached report.ⁱ

- 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 6:
16 EVALUATION CYCLE PATTERNS" be established as Chapter 6: Evaluation
17 Cycle Patterns 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 6 of their documents cover evaluation processes as per
21 chapter 6 of UFPP.

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

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.

6. Evaluation Cycle Patterns

6.1. Summary

- 6.1.1. Evaluation cycle patterns are multi-year sequences of annual evaluation processes leading to personnel actions. For instance, the sequence of annual evaluations that lead to retention, promotion, and tenure for tenure-line faculty comprise an evaluation cycle pattern, as does the sequence of lecturer evaluations that lead towards a three-year contract or range elevation. This chapter defines all evaluation cycle patterns and allows the Colleges and the Library to choose the patterns that best serve their needs and expectations.
- 6.1.2. Chapter 6 was established by Academic Senate Resolution AS-874-19.

6.2. Probationary Faculty Evaluation Patterns

- 6.2.1. Evaluation patterns for probationary faculty consist of a sequence of periodic and performance evaluations. The periodic evaluations must consist of Three-Stage Periodic Evaluations. The retention evaluations must be either Four-Stage or Five-Stage Performance Evaluations. Colleges and the Library must specify in their personnel policies whether Four-Stage or Five-Stage Performance Evaluations would be used for retention of probationary faculty. In the descriptions of evaluation patterns that follow, "Performance Evaluation" could be either Four-Stage or Five-Stage Performance Evaluation. Tenure and Promotion occurring together in one evaluation requires a Five-Stage Performance Evaluation. "Periodic Evaluation" for probationary faculty is always a Three-Stage Periodic Evaluation.
- 6.2.2. A Three-Year Retention Pattern starts with Periodic Evaluations in the first two years of appointment. In the third year of appointment a Performance Evaluation results in a decision of whether to retain the candidate for another three years or to another one year. Candidates retained for three years undergo a Periodic Evaluation in the fourth and fifth years followed by a Promotion and Tenure evaluation in their sixth year. Candidates retained for one year undergo annual Performance Reviews in their fourth and fifth years followed by a Promotion and Tenure evaluation in their sixth year.
- 6.2.3. The Three-Year Retention Pattern proceeds as follows for each year of appointment for faculty retained for three years:
 - Year 1: Periodic Evaluation
 - Year 2: Periodic Evaluation
 - Year 3: Retention to fourth, fifth and sixth year
 - Year 4: Periodic Evaluation
 - Year 5: Periodic Evaluation
 - Year 6: Tenure/Promotion
- 6.2.4. The Three-Year Retention Pattern proceeds as follows for each year of appointment for faculty retained for one year:
 - Year 1: Periodic Evaluation
 - Year 2: Periodic Evaluation
 - Year 3: Retention to fourth year
 - Year 4: Retention to fifth year
 - Year 5: Retention to sixth year
 - Year 6: Tenure/Promotion
- 6.2.5. A Two-Year Retention Pattern starts with a Periodic Evaluation in the first year of appointment. In the second year of appointment a Performance Evaluation results in a

decision of whether to retain the candidate for a third and fourth year of appointment. Candidates retained to a third and fourth year undergo a Periodic Evaluation in the third year followed in the fourth year by another Performance Evaluation for retention to a fifth and sixth year of appointment. Candidates retained to a fifth and sixth year undergo Periodic Review in the fifth year, followed by a Promotion and Tenure review in their sixth year.

6.2.6. The Two-Year Retention Pattern proceeds as follows for each year of appointment:

- Year 1: Periodic Evaluation
- Year 2: Retention to third and fourth year
- Year 3: Periodic Evaluation
- Year 4: Retention to fifth and sixth year
- Year 5: Periodic Evaluation
- Year 6: Tenure/Promotion

6.2.7. An Annual Retention Pattern starts with a Periodic Evaluation in the first year of appointment. From the second through the fifth year of appointment candidates undergo Performance Evaluation for retention to the next year. In the sixth year of appointment the candidate undergoes Promotion and Tenure evaluation.

6.2.8. The Annual Retention Pattern proceeds as follows for each year of appointment:

- Year 1: Periodic Evaluation
- Year 2: Retention to third year
- Year 3: Retention to fourth year
- Year 4: Retention to fifth year
- Year 5: Retention to sixth year
- Year 6: Promotion and Tenure

6.2.9. The Three-Year Retention Pattern shall be the default evaluation cycle pattern for tenure-track professors. Colleges and the Library may choose the Two-Year or the Annual Retention Patterns at their discretion, and must state that choice in their personnel policies document.

6.2.10. Choosing the Two-Year Retention Pattern requires establishing comparable patterns for faculty hired with credit towards tenure.

6.3. Post-Tenure Faculty Evaluation Pattern

6.3.1. A Three-Stage Periodic Evaluation shall be conducted during the third year in which a tenured faculty employee has served in the academic rank of Associate Professor or Associate Librarian. The purpose of the evaluation is formative and intended to assist and guide the Associate Professor or Associate Librarian in their preparation for subsequent promotion review.

6.3.2. A Three-Stage Periodic Evaluation of tenured faculty employees at any rank shall be conducted at least once every five years after promotion or appointment to their respective academic rank. Performance reviews for promotion can serve in lieu of periodic reviews.

6.3.3. More frequent periodic evaluation of a tenured faculty employee may be conducted by request of the faculty member, the department chair/head, or dean. After such a request, the periodic evaluation shall be conducted as soon as possible.

6.3.4. Participants in the Faculty Early Retirement Program (FERP) shall not be required to undergo a periodic evaluation unless an evaluation is requested by either the FERP participant or the appropriate administrator (CBA 15.35).

- 6.3.5. Promotion from Associate Professor to Professor requires a Five-Stage Performance Evaluation.

6.4. Instructional Lecturer and Temporary Librarian Evaluation Patterns

- 6.4.1. Full-time instructional lecturers and temporary librarians appointed for the entire academic year that do not hold a three-year appointment with a 12.12 or 12.13 entitlement must be evaluated each year by a department PRC, the department chair/head, and dean.
- Years 1–5: Three-Stage Periodic Evaluation (Annual)
 - Year 6: Three-Stage Periodic Evaluation (6 year cumulative)
- 6.4.2. Part-time instructional lecturers and temporary librarians appointed for the entire academic year that do not hold a three-year appointment with a 12.12 or 12.13 entitlement must be evaluated each year by the department chair, and dean. Tenured faculty members should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24). Department and college personnel policies may require evaluation by a DPRC in addition to the department chair/head and dean levels of review.
- Years 1–5: Two or Three-Stage Periodic Evaluation (Annual)
 - Year 6: Three-Stage Periodic Evaluation (6 year cumulative)
- 6.4.3. Full-time or part-time instructional lecturers and temporary librarians appointed for one or two academic quarters or a partial year for 12-month temporary faculty employees that do not hold a three-year appointment with a 12.12 or 12.13 entitlement may be evaluated at the discretion of the temporary faculty member, department chair/head or dean (CBA 15.25). These evaluations must include the department chair/head and dean levels of review and may include a department PRC. Tenured faculty members not participating on the PRC should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24).
- 6.4.4. Full-time and part-time instructional lecturers and temporary librarians that hold a three-year appointment with a 12.12 or 12.13 entitlement must be evaluated at minimum in the third year of their three-year appointment. The temporary faculty member may be evaluated more frequently at the request of the temporary faculty member or dean (CBA 15.26).
- Year 3: Three-Stage Periodic Evaluation (Cumulative)
- 6.4.5. Part-time instructional lecturers and temporary librarians must be evaluated at least by the department chair/head and dean. Tenured faculty members should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24). Department and college personnel policies may require evaluation by a department PRC in addition to the department chair/head and dean levels of review.
- Year 3: Three-Stage Periodic Evaluation (Cumulative)
- 6.4.6. Lecturers eligible for range elevation must undergo at least a Three-Stage Periodic Evaluation. A Four-Stage Lecturer Range Elevation is permissible. Colleges must specify in their personnel policy documents which evaluation process they use for lecturer range elevation.



OFFICE OF THE PRESIDENT

MEMORANDUM

To: Dustin Stegner
Chair, Academic Senate

Date: May 13, 2019

From: Jeffery D. Armstrong
President

Copies: Kathleen Enz Finken
Mary Pedersen
Al Liddicoat
Ken Brown
Amy Fleischer
Andy Thulin
Christine Theodoropoulos
Dean Wendt
Kathryn Rummell
Scott Dawson

Subject: Response to AS-874-19 Resolution on University Faculty Personnel
Policies Chapter 6: Evaluation Cycle Patterns

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 6 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.