

Adopted: March 3, 2020

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

AS-888-20

**RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
SUBCHAPTER 6.3: POST-TENURE FACULTY EVALUATION PATTERN**

Impact on Existing Policy: This resolution revises academic personnel policies contained in University Faculty Personnel Policies (UFPP) 6.3, which was established by AS-874-19.ⁱ

- 1 WHEREAS, AS-687-09 established University Faculty Personnel Actions (UFPA)
2 as Cal Poly's governing document concern faculty evaluation; and
3
- 4 WHEREAS, UFPA VI.B.1.a.(2) requires associate professors and associate
5 librarians to undergo a periodic post-tenure evaluation in their third
6 year at rank; and
7
- 8 WHEREAS, Policies on post-tenure faculty evaluation from UFPA are now
9 contained in University Faculty Personnel Policies (UFPP) chapter 6.3;
10 and
11
- 12 WHEREAS, University policy requiring a third-year associate professor/librarian
13 post-tenure evaluation has long been widely ignored around campus;
14 and
15
- 16 WHEREAS, Consultation with colleges and the library reveals that they prefer the
17 choice of whether or not to implement a third-year associate
18 professor/librarian post-tenure evaluation to be determined at the
19 college level; therefore be it
20
- 21 RESOLVED: The policy included in the report "Proposed Revision of University
22 Faculty Personnel Policies UFPP subchapter 6.3 Post-Tenure Faculty
23 Evaluation Pattern" replace the policies currently in UFPP 6.3, and be
24 it further
25

26 RESOLVED: Colleges and the Library revise chapter 6 of their personnel policy
27 documents by Fall 2020 to reflect whether or not they implement the
28 third-year associate professor/librarian post-tenure evaluation.

Proposed by: Academic Senate Faculty Affairs Committee
Date: February 18, 2020

**¹ (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.**

**Proposed Revision of University Faculty Personnel Policies
UFPP subchapter 6.3 Post-Tenure Faculty Evaluation Pattern**

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies which specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. FAC has used this process to construct a new University Faculty Personnel Policies (UFPP) document and is now employing the same process to revise or propose new personnel policies to UFPP on an as-needed basis.

In creating UFPP FAC has adopted a guiding principle that, as far as possible, the migration of existing personnel policies from the former governing personnel policies document, University Faculty Personnel Actions (UFPA), into UFPP shall *not change* those policies as they are in UFPA, but instead *just reformulate them* into the new style and structure of UFPP. Once the policies previously in UFPA are in place in UFPP, FAC may then visit them for subsequent revision in the form of presenting to the Academic Senate revisions to chapters and sections of UFPP.

In AY 2018-2019 the Academic Senate moved policies concerning the multi-year patterns of faculty evaluations from UFPA into chapter 6 of UFPP. One policy from UFPA requires associate professors undergo a periodic evaluation in their third-year post-tenure. This policy, though it has been established by Academic Senate resolution AS-687-09, has been widely ignored. When the Senate considered UFPP chapter 6 the presence of this policy and the widespread disregard of it initiated some discussion about whether or not to preserve this policy. In light of the widespread disregard for this policy, and in light of the value of this policy in those few quarters on campus that follow it, our interim Provost, Mary Pedersen, asked that in AY 2019-20 the Senate consider whether to keep this policy and require conformity across campus, or revise the policy to reflect the current practices around campus by rendering this review optional.

FAC has consulted with the colleges and the library on this matter and now proposes a revision to our policies to preserve existing practice. The upshot of this consultation is that the colleges that conform with this policy want to preserve it and those which have not conformed do not want to implement it. In short, colleges want the option to decide at their level whether or not to require a third-year associate professor periodic review and not have such a review be required at the university level. FAC agree that rendering this review optional is a good policy.

Summary of subchapter 6.3 Post-Tenure Faculty Evaluation Pattern

The policy requiring a third-year associate professor periodic evaluation is stated in UFPP:

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.

**Proposed Revision of University Faculty Personnel Policies
UFPP subchapter 6.3 Post-Tenure Faculty Evaluation Pattern**

This policy is a restated version of the original policy at UFPA VI.B.1.a.(2) established by the Academic Senate in resolution AS-687-09 that created UFPA as the governing faculty personnel policy document at Cal Poly:

A periodic evaluation is conducted during the third year in which a tenured faculty employee has served in the academic rank of Associate Professor, Associate Librarian, or SSP-AR II. The purpose of the evaluation is formative and intended to assist and guide the Associate Professor, Associate Librarian, or SSP-AR II in their preparation for subsequent promotion review.

The proposed revision to subchapter 6.3 of UFPP replaces “shall” with “may” in the policy in question, and adds a requirement that if any college or the library or a department decides to require such a periodic evaluation, that this requirement be stated in their personnel policies. Rendering this policy optional at the college level warrants moving it to a place later in that subchapter, below the general allowance of ad hoc post-tenure evaluations off the normal five-year calendar. And so the sections of this subchapter are rearranged. We’ve also implemented one editorial change, replacing “reviews” for “evaluations” in 6.3.1.

Impact on Existing Policy

UFPP subchapter 6.3 is current Cal Poly policy as part of UFPP Chapter 6 established by AS-874-19. These policies about third-year associate professor/librarian evaluation are from UFPA, established by AS-687-09. Enforcing this policy would change practices in most colleges and the library which have not adhered to this policy.

The Collective Bargaining Agreement (CBA) requires tenured faculty to be evaluated at intervals of no greater than five years (CBA 15.35). Timelines for periodic evaluations are determined by faculty units and approved by the President (CBA 15.4). Nothing in the CBA prohibits post-tenure evaluation cycles of less than five years, so long as the timeline is established as a matter of policy.

If the Senate rejects this revision to UFPP 6.3, then the existing policy requiring a third-year associate professor/librarian evaluation would be tacitly reaffirmed and Academic Personnel would assist the colleges and library in implementing the existing policy.

If the Senate accepts the proposed revision to UFPP 6.3, then the current and long-standing practices at the colleges and library would now conform with university policy.

Implementation

If the Senate rejects the revision to this policy, the third-year associate professor evaluation remains in Cal Poly policy. Implementation of the policy in college and library faculty evaluation calendars would start AY 2020-2021.

**Proposed Revision of University Faculty Personnel Policies
UFPP subchapter 6.3 Post-Tenure Faculty Evaluation Pattern**

If the Senate revises this policy to render the third-year associate professor evaluation optional, then practices in the colleges and library could continue as they have, though any college or the library may need to revise their policy documents effective the following academic year to reflect their practices in relation to university policy.

What follows is text of the proposed revision of UFPP 6.3. The first version presents the proposed new policy and the second version reveals the revision with markup formatting with existing policy language in black text, moved but otherwise preserved policy in green text with double-strikeout and double-underlining, and revisions to policy text are noted in red with strikeouts for deletions and underlining for new policy text ...

6.3. Post-Tenure Faculty Evaluation Pattern

- 6.3.1. 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 evaluations for promotion can serve in lieu of periodic evaluations.
- 6.3.2. 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.
- 6.3.3. A Three-Stage Periodic Evaluation may 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. Colleges and other faculty units requiring this evaluation shall include that requirement in their personnel policies documents.
- 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.

6.4.6.3. Post-Tenure Faculty Evaluation Pattern

~~6.4.1.1.1.1. 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.~~

6.4.2.6.3.1. 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~~ evaluations for promotion can serve in lieu of periodic ~~review~~ evaluations.

6.4.3.6.3.2. 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.

6.3.3. A Three-Stage Periodic Evaluation shall ~~may~~ 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. Colleges and other faculty units requiring this evaluation shall include that requirement in their personnel policies documents.

6.4.4.6.3.4. 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).

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



OFFICE OF THE PRESIDENT

MEMORANDUM

To: Dustin Stegner

Date: April 22, 2020

From: Jeffrey D. Armstrong
President

Copies: Mary Pedersen
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Subject: Response to AS-888-20 – Resolution on University Faculty Personnel Policies
Subchapter 6.3 – Post-Tenure Faculty Evaluation Pattern

I am pleased to endorse the above-entitled Academic Senate resolution. Colleges as well as the library are encouraged to revise their personnel policy documents to align with Subchapter 6.3 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 curricular matter.