

Adopted: December 5, 2023

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

**AS-966-23**

**RESOLUTION ON REVISIONS TO UFPP 6.2: PROBATIONARY  
FACULTY EVALUATION PATTERNS**

**Impact on Existing Policy: This policy concerns personnel and revises UFPP 6.2.**

- 1 WHEREAS, The Academic Senate Faculty Affairs Committee is engaging in ongoing  
2 efforts to streamline faculty evaluations through revisions to University  
3 Faculty Personnel Policies (UFPP); and  
4
- 5 WHEREAS, Standardizing to a two-year retention pattern for evaluation of  
6 probationary faculty reduces workload for faculty, staff, and  
7 administrators across campus; therefore be it  
8
- 9 RESOLVED: That the resolved revisions to UFPP 6.2 Probationary Faculty Evaluation  
10 Patterns in the attached report be enacted for 2024-2025, and be it  
11 further  
12
- 13 RESOLVED: That academic units using one-year retention patterns work with  
14 academic personnel to adjust to two-year retention patterns as soon as is  
15 feasible.

Proposed by: Academic Senate Faculty Affairs Committee  
Date: October 17, 2023

**UFPP 6.2 Probationary Faculty Evaluation Patterns**  
**Proposed Revisions**  
**Fall 2023**

**EXECUTIVE SUMMARY:** The Academic Senate Faculty Affairs Committee (FAC) proposes standardization of a two-year retention pattern for probationary tenure-track faculty eliminating alternative retention patterns from use at Cal Poly.

**BACKGROUND:** 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 approval of updates to University Faculty Personnel Policies (UFPP) including consultation with faculty affected by proposed changes and clear identification of which policy documents have been superseded by a proposed change. This process uses Academic Senate resolutions to establish new policy, revise existing policy, or substantially reformulate existing policy. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda.

**Summary**

Probationary tenure-track faculty must be evaluated annually through tenure/promotion (CBA 15.20, 15.32). These evaluations are either “periodic” evaluation, concluding with evaluation reports, or “performance” evaluations concluding with personnel actions such as retention, promotion, or tenure.

UFPP 6 allows for three faculty evaluation patterns. One pattern starts with an initial three-year appointment with two annual periodic evaluations, followed by a retention evaluation, and for those retained for another three years, two more periodic evaluations concluding with promotion/tenure. This three-year retention cycle is allowed by the CBA, but is not used by any academic unit at Cal Poly. **This policy revision eliminates this three-year retention pattern from use at Cal Poly.**

This policy revision preserves the standard at Cal Poly of tenure-track appointments initiating with a two-year appointment with a retention evaluation in the second year of the appointment.

Some colleges use a two-year retention pattern following this initial two-year appointment. Some other colleges and the library follow the initial two-year appointment with annual retention evaluations through tenure. **This policy revision would standardize the two-year retention pattern by eliminating the annual retention pattern.** Probationary faculty would continue to be evaluated annually, but with retention evaluations occurring only every other year through promotion/tenure.

The policy revision provides alternative versions of the two-year retention pattern for faculty hired with one or two years of service credit. It explicitly states the ability of deans to recommend to the provost retention for one instead of two years in exceptional cases.

**UFPP 6.2 Probationary Faculty Evaluation Patterns  
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**Impact on Existing Policy**

These policies supersede those currently in UFPP 6.2, and would require academic units (viz. colleges and the library) that use an initial two-year appointment followed by annual retention evaluations to change to a two-year retention pattern.

**Implementation**

The policies would be contained in UFPP and formally go into effect the academic year following their approval. Colleges on annual retention patterns would need to sort out how to shift to two-year retention for their probationary faculty.

**Consultation**

FAC engaged in consultation with colleges and the library starting Spring 2023. We encountered no objections to these revisions.

**What follows are the proposed revised policies for UFPP and a copy showing revisions from current policy (which can be seen in the current version of UFPP posted to the Academic Personnel website).**

## **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. Cal Poly's 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.
- 6.2.3. The Two-Year Retention Pattern standardly 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
- 6.2.4. Faculty hired with one year of service credit shall have the second retention be for a fifth year during which a promotion/tenure performance evaluation occurs according to the following pattern:
- Year 1: Periodic Evaluation
  - Year 2: Retention to third and fourth year
  - Year 3: Periodic Evaluation
  - Year 4: Retention to fifth year
  - Year 5: Tenure/Promotion
- 6.2.5. Faculty hired with two years of service credit shall undergo a promotion/tenure performance evaluation in the fourth year according to the following pattern:
- Year 1: Periodic Evaluation
  - Year 2: Retention to third and fourth year
  - Year 3: Periodic Evaluation
  - Year 4: Tenure/Promotion
- 6.2.6. In exceptional cases, the dean may recommend to the provost that faculty be retained for one year instead of two years.

## 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~~

6.2.5.6.2.2. A-Cal Poly's 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.

6.2.6.6.2.3. The Two-Year Retention Pattern standardly 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

6.2.4. Faculty hired with one year of service credit shall have the second retention be for a fifth year during which a promotion/tenure performance evaluation occurs according to the following pattern:

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

6.2.5. Faculty hired with two years of service credit shall undergo a promotion/tenure performance evaluation in the fourth year according to the following pattern:

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

6.2.6. In exceptional cases, the dean may recommend to the provost that faculty be retained for one year instead of two years.

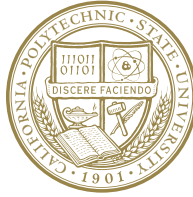
6.2.7. An Annual Retention Pattern starts with a Periodic Evaluation in the first year of appointment. From the second through the fifth year of appointment candidates undergo Performance Evaluation for retention to the next year. In the sixth year of appointment the candidate undergoes Promotion and 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. All the evaluation patterns defined above are for faculty hired without service credit. These evaluation patterns provide a basis for the formulation of alternatives for faculty hired with service credit. Alternative evaluation patterns for faculty hired with service credit should be included in the appendices to college-level personnel policy documents.



OFFICE OF THE PRESIDENT

**MEMORANDUM**

**To:** Jerusha Greenwood  
Chair, Academic Senate

**Date:** December 21, 2023

**From:** Jeffrey D. Armstrong  
President

**Copies:** Ken Brown  
Daniel Grassian  
Jen Haft  
Cynthia Jackson-Elmoore  
Al Liddicoat  
Kathryn Rummell  
Academic Deans  
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*Jeffrey D. Armstrong*

**Subject:** Response to AS-966-23 Resolution on Revisions to UFPP 6.2: Probationary Faculty Evaluation Patterns

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By way of this memo, I approve the above-entitled Academic Senate resolution. Colleges, as well as the library, are encouraged to revise their personnel policy documents to include clarity of the discretionary university policy considerations and align with Subchapter 6.2 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.