

California State University, Sacramento
University ARTP Committee

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Faculty Senate Received
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Memorandum

November 13, 2007

To: Faculty Senate

Via: Senate Executive Committee


From: William A. Dillon, Presiding Member
University ARTP Committee

Subj: Amendment of Section 9.06 of University ARTP Policy

The University ARTP Committee recommends amendment of Section 9.06 of University ARTP Policy. The proposed amendments alter the currently approved language of Section 9.06 only insofar as is necessary to accommodate the Post Promotion Salary Increase Program set forth in Section 31.14 a-d of the M.O.U. (2007) as reproduced verbatim in Section 9.07 of the University ARTP Policy (2007), a copy of which is attached. The proposed amendments to Section 9.06 appear in bold faced type in the text of the section which follows.

9.06 Periodic Evaluation of Tenured Faculty

The Office of **Human Resources** has responsibility for ensuring a department's conformity to University policy on the periodic evaluation of tenured faculty. Should a question of interpretation arise, it shall be brought to the University ARTP Committee, which retains jurisdiction over matters of policy and interpretation of policy, in the form of recommendations.

Individual members of the faculty would always be wise to examine appropriate portions of the University ARTP document and more general policy documents (in this case including the Memorandum of Understanding) to understand the content and the extent of rights and obligations arising under the procedures set forth in this section.

1. Purpose of Evaluation: **Either** to assist tenured faculty members to maintain or improve their teaching effectiveness **or to evaluate faculty members in their chosen area(s) of performance when they apply for a post promotion salary increase (PPI) or both. (Please see Section 9.07 below.)**
2. Frequency of Evaluation of Instructional Performance: Tenured faculty shall be evaluated at intervals of no greater than five years. An evaluation for purposes of

retention, tenure or promotion shall fulfill the requirement. **An evaluation for the purposes of a PPI shall not fulfill the requirement unless it coincides with or contains an evaluation of teaching performance conducted under this section.**

3. Each Academic Dean, as the appropriate administrator, is delegated the responsibility for monitoring the periodic evaluation of tenured faculty in his/her college and for ensuring that the evaluations conducted by the faculty committees and department chairs are in compliance with the procedures contained in this policy.
4. Procedures:
 - a. Each tenured faculty member subject to periodic evaluation shall be evaluated by an elected peer review committee consisting of at least three tenured full-time department faculty of equal or higher rank. **FERP faculty shall be eligible to serve during the semester of their employment, provided that at least one member of the committee shall be a full-time tenured faculty member.** A department member scheduled for this evaluation may not serve on any committee to conduct a periodic evaluation of tenured faculty during the year in which he/she is subject to evaluation.
 - b. **In the case of an evaluation of instructional performance not associated with the Post Promotion Increase program,** the department chair shall not serve on nor meet with the peer review committee but shall conduct an independent evaluation and submit a separate evaluation report. **In connection with an application for a PPI, the Dean shall conduct the appropriate administrator's evaluation of performance in those areas chosen by the faculty member and submit a separate report. In that case, a department chair may serve as an elected member of a peer review committee that is evaluating performance in those areas chosen by the faculty member.**
 - c. The department shall develop a schedule specifying the order of **routine** periodic evaluation of tenured faculty from year to year. **An evaluation for the sole purpose of a PPI shall be conducted in the academic year in which the faculty member becomes eligible and chooses to apply for a PPI.**
 - d. State law and University policy guarantee to faculty the right of confidentiality. Consequently, substantive deliberations having to do with periodic evaluation of tenured faculty unit employees shall be open only to committee members.
 - e. The peer review committee and the **appropriate administrator or designee** shall consider the following subject matter **when** conducting the reviews **of teaching performance either apart from or in connection with PPI's.**
 - 1) Student evaluations taken since the last evaluation of the faculty member's performance.
 - 2) Signed, written statements from students, and other signed, written statements concerning the faculty member's teaching effectiveness only if the faculty

member has been provided an exact copy of each statement at least five days before the evaluation.

- 3) Material submitted by the faculty member being evaluated. This evidence may include, but not be limited to, the following:

- Teaching materials
- Curriculum development
- Participation in professional meetings
- Professional lectures, seminars, workshops
- Consultant work
- Publications
- Leave activities

When conducting a review of performance in areas other than teaching at the choice of a faculty member applying for a PPI, the committee and the Dean shall consider the material submitted to the file by the faculty member to support an evaluation of performance in the area or areas chosen by the faculty member.

- f. The faculty member being evaluated shall have the right to meet with the peer review committee prior to the submission of the committee's **evaluation statement**.
- g. The faculty member being evaluated shall have the right to meet with the department chair **or the Dean in the case of an evaluation for a PPI** prior to submission of **the chair's or the Dean's evaluation statement**.
- h. The committee shall prepare a written, signed evaluation **statement** containing an assessment of the evidence **contained in the file**. It shall provide a written copy of this **statement** to the faculty member at least five days before the custodian places it in the Personnel Action File.
- i. The department chair **or the Dean in the case of a PPI** shall prepare a written, signed evaluation **statement** containing an assessment of the evidence **in the file**. He/she shall provide a written copy of this **statement** to the faculty member at least five days before the custodian places it in the Personnel Action File.
- j. The department chair **or the Dean in the case of a PPI** and the chair of the peer review committee shall meet with the faculty member to discuss his/her strengths and weaknesses along with suggestions, if any, for his/her improvement **in the areas of performance subject to the evaluation of each**.
- k. The evaluation statements shall be placed in the Personnel Action File. The faculty member shall have the right to submit written rebuttals to them and these rebuttals shall also be placed in the Personnel Action File.

- l. The Academic Dean shall not normally conduct an evaluation of **the teaching performance of tenured faculty apart from the PPI program** under these procedures. However, a faculty member may appeal the evaluations of the faculty committee or the department chair **or both** by requesting, in writing, that the Dean conduct an independent evaluation of **teaching performance apart from the PPI program.**

- m. **In connection with the PPI program, the Academic Dean shall conduct the appropriate administrator's evaluation of those areas of performance, including teaching performance, chosen by the faculty member applying for a PPI. Appeals from the evaluation of the peer review committee or the Dean or both shall follow the course set forth in Section 9.07 d below.**

The Committee has been advised that campus policies and procedures to govern the award of P.P.I.s must be in place in the units by the beginning of the next Fall term. The P.P.I. program will operate during the next two academic years and then come to an end unless embodied in subsequent M.O.U.'s. The Committee therefore urges prompt action by the Senate on this matter so that the departments or equivalent units may adjust their policies in light of an altered University policy to take account of P.P.Is and have their adjustments reviewed and approved by the University by next Fall.

The Committee requests that its Presiding Member be present when the Executive Committee discusses and acts on this proposal.

WAD/mjd

9.07 The Post Promotion Increase Program

A. "Eligibility: The Post Promotion Increase (PPI) Program is a program for those senior faculty members (Full Professors and Lecturer D faculty and equivalent librarian, counselor and coaching faculty ranks) who have exhausted all their SSI eligibility. Having established the pool of eligible recipients, one half of the pool will be nominated for PPI increases in fiscal year 2008/2009, and the second half of the pool in fiscal year 2009-2010. Selection of the two groups will be conducted by reference to their dates of hire. The half of the pool with the earliest dates of hire will be considered for PPI increases in fiscal year 2008/2009 with the remainder being considered in fiscal year 2009/2010." (M.O.U. 31.15 a)

B. "Standards: Although academic work is normally divided among teaching, scholarship-professional development and service, the PPI process will evaluate all faculty members on their actual work assignments." (M.O.U. 31.15 b)

C. "Process: The eligible unit employee shall provide a maximum of two pages summarizing accomplishments since last promotion in categories in which they choose to be evaluated. A recommendation for a PPI award may then be made by a faculty RTP committee at the initiating unit. If the committee establishes that the faculty member 'meets expectations' in those areas for which s/he is evaluated, s/he shall receive a two and one-half percent (2.5%) salary increase. In cases when the committee establishes that the faculty member 'exceeds expectations' in one or more areas, the President or designee shall establish the amount of award which shall be no less than two and seventy-five one hundredths percent (2.75%) salary increase and no more than three and one-half percent (3.5%) salary increase." Note: On this campus, failure to provide the two page summary of accomplishments required by this subsection by the file closure date shall be taken in all cases as un rebuttable evidence of a faculty member's decision not to seek a PPI at that time.

"It is the intent of the parties that PPI evaluations be conducted according to the evaluation process set forth in Article 15 (of the M.O.U.) using established criteria for teaching, scholarship, and service. Further, whenever possible, said evaluations should take place as part of the regularly scheduled evaluative process and not conducted separately." (M.O.U. 31.15 c)

D. "Appeal: Each campus shall have an appeal committee composed of five (5) Full Professors who are not being considered for a PPI in that given year. The appeal committee shall be elected per the campus Senate process. Faculty members can appeal the department/initiating unit committee's substantive recommendations and /or the award amount determined by the President. The award of the appeal committee to an individual cannot exceed the amount designated in the PPI program for the related Evaluation rating, and the total amount of all awards cannot exceed the amount of funds provided in the appeals pools. The decision of the faculty appeal committee shall be final and binding." (M.O.U. 31.15 d)