MEETING OF THE ACADEMIC SENATE  
Tuesday, May 5 2009  
UU220, 3:10 to 5:00pm

I. Minutes:
   Approval of minutes for the Academic Senate meeting of April 14 2009 (pp 2-3).

II. Communication(s) and Announcement(s):

III. Reports:
   Regular reports:
   A. Academic Senate Chair:
   B. President’s Office:
   C. Provost:
   D. Vice President for Student Affairs:
   E. Statewide Senate:
   F. CFA Campus President:
   G. ASI Representative:

   Special reports:

IV. Consent Agenda:
   Approval of Curriculum Committee recommendations for course proposals
   HIST 100 and SCM 302.
   http://www.academicprograms.calpoly.edu/curric-handbook/Continuous-Course-
   Summaries/Continuous-Course-Summary.doc

V. Business Item(s):
   A. Election of Senate Chair and Vice Chair for 2009-2010.
   B. Resolution in Recognition of Shared Governance as an Important Component of
      Faculty Service: Foroohar, chair of Faculty Affairs Committee, second reading (pp
      4-8).
   C. Resolution on Revision to Fairness Board Description and Procedures: Shapiro,
      representative for Fairness Board, first reading (p 9).
   D. Resolution on Making Excellence Inclusive at Cal Poly: Executive Committee,
      first reading (p 10).
   E. Resolution on Archiving Senior Projects: Phillips, chair of the Instruction
      Committee, first reading (p 11).
   F. Resolution on Cal Poly Statement on Commitment to Community: Executive
      Committee, first reading (pp 12-13).
   G. Resolution on Campus Administrative Policies Section 523: Executive
      Committee, first reading (pp 14-31).
   H. Resolution on Proposal to Establish CAFES Center for Sustainability:
      Francis/Phillips/Shelton, representatives for CAFES, first reading (pp 32-50).

VI. Discussion Item(s):

VII. Adjournment:
CALIFORNIA POLYTECHNIC STATE UNIVERSITY  
San Luis Obispo, California 93407  
ACADEMIC SENATE  
805.756.1258  

MINUTES OF  
The Academic Senate  
Tuesday, April 14, 2009  
UU 220, 3:10 to 5:00 p.m.

I. Minutes: The minutes of March 3 and March 10, 2009 were approved as presented.

II. Communications and Announcements: Soares announced that President Baker approved resolution AS-680-09, Resolution to Change Administrative Status for Recreation, Parks, and Tourism Administration Program, and acknowledged receipt of AS-681-09 Resolution on Modification to the Bylaws of the Academic Senate: Revision to Make the Position of Academic Senate Chair an At-Large Position.

III. Reports:

Regular reports:
A. Academic Senate Chair: Soares reported that social hours might not continue due to the lack of attendance and funding.

B. President’s Office: none.

C. Provost: none.

D. Vice President for Student Affairs: none.

E. Statewide Senate: Foroohar announced that Barry Pasternack from Fullerton and Harry Riben from East Bay have been nominated for the Faculty Trustee position on the CSU Board of Trustees. LoCascio reported on speculations from the Board of Trustee on a 10% increase in fees and money for remediation being moved to instruction.

F. CFA Campus President: Saenz reported that CSU administration is not interested in offering a golden handshake since it affects only a small number of employees and the savings is small.

G. ASI Representative: Kramer announced that Cal Poly will be sponsoring the statewide meeting of California State Student Association in May.

Special reports:
Dan Howard-Greene, Larry Kelley, and Bob Koob: report on current budget conditions: in 2008-2009, Cal Poly received an $8.1 million mid-year budget reduction. For 2009-2010, Cal Poly could experience a $4.1 million deficit; however, Propositions 1C and 1D plus additional federal stimulus funding and college-based fee revenue increases could reduce the deficit to $3.3 million. PowerPoint presentation is available at http://www.calpoly.edu/~acadsen/presentations/2008-2009/budget_update_0409.ppt

IV. Consent Agenda: none.
V. Business Item(s):
   A. Resolution in Recognition of Shared Governance as an Important Component of Faculty Service (Faculty Affairs Committee): Foroozar presented this resolution, which encourages faculty to participate in shared governance, reinstates the value of shared governance in the RPT process, and asks the administration to provide active and material support. Resolution will return as a second reading item.

VI. Discussion Item(s):
    Vacancies in Academic Senate offices of Chair and Vice Chair for 2009-2010: Soares announced that he would not be continuing as Chair next year leaving a vacancy in this office for 2009-10. He encouraged senators to consider serving in this position.

The meeting was adjourned at 4:43 p.m.

Submitted by,

Gladys Gregory
Academic Senate
WHEREAS, Retention, Tenure, and Promotion (RTP) processes, as implemented, often undervalue service; and

WHEREAS, Faculty are often discouraged from making a strong commitment to service which is seen as providing fewer benefits than research or teaching, and/or benefits that are less portable across institutions; and

WHEREAS, As the demographics of faculty at Cal Poly change, there is concern that shared governance responsibilities are being undertaken by fewer and fewer faculty members; and

WHEREAS, Mentoring new faculty in the demands of service, and to their role and responsibilities relative to shared governance, is an often neglected aspect of faculty development; and

WHEREAS, The modern realities of increased expectations regarding scholarship as well as a continuing expectation regarding effective teaching create a high level of workload commitments; and

WHEREAS, As an institution valuing shared governance, Cal Poly relies heavily upon the work of committed faculty members to conduct the business of the University beyond the classroom; and

WHEREAS, President Baker has recognized the value of faculty service in his support of AS-574-01 (attached); therefore be it

RESOLVED: That the Academic Senate of Cal Poly affirm its commitment to and appreciation for faculty who engage in shared governance as part of their faculty service activities; and be it further

RESOLVED: That the Academic Senate urge colleges and departments to update their retention, tenure, and promotion (RTP) documents; and be it further
RESOLVED: That the updated department and college RTP policies shall include incentives to encourage faculty at appropriate stages of their academic careers to engage actively and productively as contributors to shared governance at all levels; and be it further

RESOLVED: That the Academic Senate encourage departments and colleges to establish and support formal or informal mentorship programs that encourage new faculty members, at appropriate stages of their career, to become full, well-rounded academic citizens of the campus through participation in shared governance; and be it further

RESOLVED: That the Academic Senate request that campus administrators, including the President and Provost, provide active and material support such as sufficient assigned time to fairly compensate faculty members for their governance activities; and be it further

RESOLVED: That the Academic Senate forward this resolution to all college deans and department chairs/heads.

Proposed by: Academic Senate Faculty Affairs Committee
Date: March 10 2009
Revised: April 9 2009
WHEREAS, Over the last several years that there have been many changes in the demands required of all faculty, particularly those who have been newly hired; and

WHEREAS, Among the new demands for some faculty are those requiring use of technology in the delivering the curriculum, the proliferation of community service learning in the curriculum and the involvement of faculty in various aspects of campus assessment; and

WHEREAS, The ethnic and gender demographics of the new faculty differs significantly from the demographics of the faculty historically; and

WHEREAS, Many departments/programs have not updated their Retention, Tenure and Promotion (RTP) criteria and procedures for many years; and

WHEREAS, An increasing number of new faculty are being hired because of enrollment growth and/or to replace those faculty members who have retired; therefore, be it

RESOLVED: That the Academic Senate of Cal Poly recommend that all departments and programs review and amend, where appropriate, their RTP criteria and procedures to reflect any significant changes in the demands or duties required of their faculty; and be it further

RESOLVED: That each department and dean make it explicitly clear to each tenure-track faculty member what is to be required in order to be retained, tenured, and promoted; and be it further

RESOLVED: That each department or program be encouraged to have available, if they have not already done so, a program to mentor each of their new tenure-track faculty; and be it further
RESOLVED: That in the implementation of the previous recommendations, steps be taken by the Provost to ensure that all retention, tenure, and promotion policies, procedures and professional development programs are clear and unbiased with respect to gender, ethnicity and other non-professional consideration, and that they are fairly and consistently applied.

Proposed by: Myron Hood, Academic Senate Chair
Date: May 14, 2001
Revised: May 22, 2001
To: Unny Menon  
Chair, Academic Senate  

From: Warren J. Baker  
President  

Date: December 10, 2001  

Copies: Paul Zingg  
Deans  
Department Heads/Chairs  
Mike Suess  

Subject: Response to Academic Senate Resolution AS-574-01/MH  
Resolution on RTP Criteria and Retention of New Faculty  

The subject resolution is approved. By copy of this memorandum to college deans and department heads/chairs, I am requesting that current personnel policies and procedures pertaining to retention, tenure and promotion be reviewed and updated, where appropriate. The criteria should be clearly articulated and consistently applied.

Departments play a critical role in clearly communicating all criteria, including any special requirements applicable within a department or college, to new tenure-track faculty members. Departments are encouraged to develop mentoring programs to guide the future efforts of new faculty members early in their careers at Cal Poly. Similarly, department heads/chairs are expected to assist new tenure-track faculty members in formulating a professional development plan. The plan should generally outline how a faculty member intends to provide substantive contributions to his/her discipline and how those activities can be useful in keeping his/her teaching current and dynamic. Specific goals and milestones should be proposed throughout the probationary period with an emphasis on what the faculty member intends to accomplish in teaching, research, professional development and service by the time he/she is considered for tenure.

Please extend my appreciation to members of the Academic Senate for their support and recognition of the importance of clear standards in evaluation of faculty.
Adopted:

ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-___-09

RESOLUTION ON REVISION TO
FAIRNESS BOARD DESCRIPTION AND PROCEDURES

WHEREAS, The service culture of the University is best served by a committee structure that is compact and robust; and

WHEREAS, To recognize the Fairness Board consists of a spectrum of University constituents who volunteer their time and resource to provide a service to the grievant (student); and

WHEREAS, The Fairness Board has well-defined procedures for handling student grievances; and

WHEREAS, The student grievant, her/himself, has a responsibility to the process; therefore, be it

RESOLVED: That the following addition to the Fairness Board Description and Procedures be approved by the Academic Senate:

"Procedures":
A.9.E: In the event the student grievant fails to appear at the scheduled hearing, the Board may dismiss the case;

and be it further

RESOLVED: That the revision to the Fairness Board Description and Procedures be forwarded to the President for inclusion in "Campus Administrative Policies."

Proposed by: Academic Senate Fairness Board
Date: February 28, 2009
ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-___-09

RESOLUTION ON
MAKING EXCELLENCE INCLUSIVE AT CAL POLY

BACKGROUND: The Making Excellence Inclusive initiative is designed to help colleges and universities fully integrate their diversity and educational quality efforts and embed them into the core of academic mission and institutional functioning. Through this initiative, the Association of American Colleges & Universities (AAC&U) re-envisioned diversity and inclusion as a multi-layered process through which we achieve excellence in learning; research and teaching; student development; institutional functioning; local and global community engagement; workforce development; and more. (AAC&U Initiative overview)

WHEREAS: The Academic Senate has a 30-plus year history of espousing the principles of Making Excellence Inclusive as a learning-community imperative - most recently in the Senate’s Fall ’08 retreat and (AS-663-08) Resolution on Diversity Learning Objectives; and

WHEREAS: “Build an Inclusive Community” is one of seven goals of the Cal Poly Strategic Plan; and

WHEREAS: A learning environment that supports attention to diversity is a standard of accreditation as promulgated by the Western Association of Schools and Colleges; and

WHEREAS: The Academic Senate has affirmed the academic value of diversity (AS-505-98); therefore be it

RESOLVED: That the Academic Senate support Making Excellence Inclusive as a goal and organizing principle of the Cal Poly learning community; and, be it further

RESOLVED: That resources for the professional development of faculty in Making Excellence Inclusive be established, sustained, and identified by the University, colleges, and other instructionally-related entities as part of their inventory of efforts to promote Inclusive Excellence; and, be it further

RESOLVED: That faculty efforts in Making Excellence Inclusive be recognized as a substantive component of service in the Retention, Promotion, and Tenure (RPT) evaluation process; and, be it further

RESOLVED: That this resolution be forwarded to the Provost, college deans, and department chairs/heads for their use in their respective (RPT) processes.

Proposed by: Academic Senate Executive Committee
Date: March 30 2009 and revised 4.28.09
Adopted:

ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-____-09

RESOLUTION ON
ARCHIVING SENIOR PROJECTS

WHEREAS, Each academic department determines the standards for the successful completion of senior projects, including style guides; and

WHEREAS, Each academic department determines whether or not to archive senior projects in the Kennedy Library; and

WHEREAS, The Kennedy Library provides guidelines for formatting and archiving senior projects; and

WHEREAS, In order to ensure faculty and students are aware of departmental and library policies governing the submission and archiving of senior projects; therefore be it

RESOLVED: That all academic departments make available to their students in writing all policies and procedures relevant to archiving senior projects; and be it further

RESOLVED: That all policies and procedures conform to current Kennedy Library archiving requirements; and be it further

RESOLVED: All departmental policies and procedures for archiving senior projects conform to University policies pursuant to the Family Educational Rights and Privacy Act (FERPA) and Intellectual Property Rights; and be it further

RESOLVED: That the Provost’s Office request that all academic departments provide these policies and procedures for archiving senior projects to their faculty and students; and be it further

RESOLVED: That these policies be made available in writing to all students in each department by winter quarter 2011.

Proposed by: Academic Senate Instruction Committee
Date: April 5, 2009
Revised: April 28, 2009
RESOLUTION ON
THE CAL POLY STATEMENT ON COMMITMENT TO COMMUNITY

BACKGROUND: The Committee on University Citizenship (CUCIT) is a University-wide standing committee charged with exploring issues and making policy recommendations related to the preservation and ongoing development of a vital, effective tradition of University citizenship at Cal Poly. The committee explores and makes recommendations on strategies designed to foster and expand:

- an engaged, civil, and mutually respectful classroom and other educational environments;
- a tradition of confident, effective, and civil public campus discourse that prepares students for active civic engagement and leadership roles;
- a greater awareness of factors that lead to hostile campus work environments and strategies for further promoting campus work environments that are free from harassment and characterized by mutual respect and support; and
- the civic engagement of students, faculty, and staff beyond the University — and for strengthening Cal Poly’s role as a good institutional citizen in regional, state, national, and international contexts.

(Distilled from http://www.president.calpoly.edu/committees/CUCIT.pdf)

1 RESOLVED: That the Academic Senate accept and endorse the Cal Poly Statement on Commitment to Community; and, be it further

4 RESOLVED: That the Academic Senate work with its University’s administration in developing plans and strategies to operationalize the goals of the Cal Poly Statement on Commitment to Community.

Proposed by: The Academic Senate Executive Committee
Date: April 21 2009
Revised: April 28 2009
Cal Poly Statement on Commitment to Community

The Cal Poly community values a broad and diverse campus learning experience where its members embrace core values of mutual respect, academic excellence, open inquiry, free expression, and respect for diversity. Membership in the Cal Poly community is consistent with the highest principles of shared governance, social and environmental responsibility, engagement, and integrity.

As students, faculty and staff of Cal Poly, we choose to:

- Act with integrity and show respect for ourselves and one another
- Accept responsibility for our individual actions
- Support and promote collaboration in University life
- Practice academic honesty in the spirit of inquiry and discovery
- Contribute to the University community through service and volunteerism
- Demonstrate concern for the well-being of others
- Promote diversity and social justice by acting against intolerance, hate, and discrimination

Individual commitment to these actions is essential to Cal Poly's dedication to an enriched learning experience for all its members.

Committee on University Citizenship
April 22 2009
Accepted:

ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-___-09

RESOLUTION ON
CAMPUS ADMINISTRATIVE POLICIES SECTION 523

WHEREAS, The Academic Senate Faculty Affairs Committee has reviewed §523 (Faculty Personnel Actions) of the Cal Poly Campus Administrative Policies (CAP); therefore be it

RESOLVED: That the Academic Senate of Cal Poly acknowledge and appreciate the work of the Academic Senate Faculty Affairs Committee by endorsing §523 (Faculty Personnel Actions) of the Cal Poly Campus Administrative Policies (CAP); and be it further

RESOLVED: That the Academic Senate affirm the Memorandum of Understanding (collective bargaining agreement for faculty employees) between The California State University (CSU) and Unit 3 Faculty as the embodiment of controlling terms and conditions that resolve ambiguity and/or govern conflict in the application of §523 in faculty personnel actions.

Proposed by: Academic Senate Executive Committee
Date: March 26 2009
Revised: April 21, 2009
523 FACULTY PERSONNEL ACTIONS

523.1 Performance review: retention, promotion, and tenure

A. Performance evaluation procedures

1. Evaluations shall be conducted in accordance with Article 15 of the Memorandum of Understanding (MOU) [the collective bargaining agreement for faculty employees between The California State University and Unit 3 Faculty] and Title 5 of the California Code of Regulations.

2. Each college or other academic unit shall develop a written statement of procedures and criteria for each type of personnel action. (In this section, the use of the word "college" includes other academic units such as the library, intercollegiate athletics, and Counseling Services covered under the MOU.) Departments (In this section, use of the word "department" includes equivalent units such as area) desiring to develop statements to serve as addenda to the college statement may do so. Full-time probationary and full-time tenured faculty may participate in the development and/or subsequent amendment of these procedures and criteria. College and department statements are subject to review and approval by the college dean and the Provost/Vice President for Academic Affairs. In the event a policy or procedure in a college or department statement is in conflict with a provision of the MOU, the provision in the MOU shall prevail.

3. Timetables for evaluations shall be published annually and shall be developed in consultation with the Academic Senate.

4. A faculty employee subject to performance or periodic review has the primary responsibility for collecting and presenting evidence of their accomplishments to those charged with the responsibility of reviewing and evaluating faculty employees. Applicants should seek advice and guidance from their department chair (in this section, the use of the words "department chair" also includes department head) and dean to understand how criteria and standards are applied.

5. Evaluators will provide their written evaluation and recommendation to the faculty employee at least ten days before transmitting the evaluation to the next level of review.

6. Personnel Action File (PAF)
The PAF is the official permanent employment record of a faculty employee and resides in the office of the college dean.

The WPAF is initiated by the applicant to support consideration for a performance review for retention, promotion, tenure, or periodic review. The WPAF for tenure or tenure/promotion includes the entire employment period at Cal Poly. The WPAF for promotion shall emphasize the period since the last promotion at Cal Poly or appointment to the current rank. The Provost establishes a specific deadline by which the WPAF is declared complete for each type of personnel action. Insertion of materials after that date must have the approval of the college peer review committee (PRC) and is limited to items that became accessible after the deadline. The table of contents or index should be updated to reflect any material added to the file during the course of the evaluation cycle. All supporting materials in the WPAF should be referenced and clearly explained.

a. The applicant shall submit the WPAF to the department chair by the established deadline. Materials shall include but be not limited to:

(1) Index of materials contained in the WPAF

(2) Resume

(a) The resume should be organized according to the categories to be evaluated including: teaching activities and performance or librarian/counselor effectiveness and performance; professional growth and scholarly achievement; service to the University and/or community; and any other activities which indicate professional commitment, service, or contribution to the discipline, department, college, or library (in the case of librarians).

(b) The resume should be specific and distinguish between publications, submitted manuscripts, and manuscripts in preparation. A brief statement should describe the nature of the publication (type of journal/periodical, refereed or not) and the
applicant’s specific role in the accomplishment.

(3) Professional development plan

Professional development is defined as the generation of knowledge or the acquisition of experience, skill, and information that enables one to perform at a higher level of proficiency in one’s profession. Cal Poly recognizes and endorses the following four types of scholarship identified in the Carnegie Foundation report entitled Scholarship Reconsidered: Scholarship of Teaching; Scholarship of Discovery; Scholarship of Integration; and Scholarship of Application.

The professional development plan is a written narrative intended to serve as a guide to evaluators for understanding the faculty employee’s professional goals and values as a teacher-scholar. The plan should include short- and long-term goals and objectives on how the faculty employee intends to provide substantive contributions to their discipline, how those scholarly activities can keep their teaching current and dynamic, and a periodic external validation of those activities.

(a) A probationary faculty employee should emphasize what s/he intends to accomplish by the time s/he is considered for tenure.

(b) Applicants for tenure and/or promotion should articulate a long-term professional development plan noting how they intend to continue making a valuable contribution to the University, its instructional program(s), and the academic community.

(4) Student Evaluations

(a) A summary of results from at least two student evaluations during the period under review shall be included.

(b) Evaluative statements and recommendations, along with any written
statement or rebuttal by the applicant, will be added to the WPAF by the PRCs, department chair, and dean. At the end of the review cycle, the index, faculty resume, professional development plan, evaluation summaries, and recommendations will be filed in the permanent PAF.

8. Custodian of Files
During periodic and performance reviews, the department chair is the custodian of the WPAF at the department level (and, if appropriate, the PAF); at the college level, the custodian of the files is the dean; at the University level, the custodian is the Provost. Custodians of the files and members of PRCs shall ensure the confidentiality of the files. Normally, there shall be no duplication of file materials except for copies made for the applicant or appropriate administrator, or for distribution at PRC meetings. At the conclusion of each PRC meeting, the PRC chair is responsible for the collection of all duplicated materials. The only exception to this policy is that copies of a applicant's resume may be distributed to PRC members for use at times other than PRC meetings. After the PRC has made its recommendations, the copies of the resume shall be collected by the chair. Only the applicant/designee, PRC members, department chair, dean, and the Provost/designee shall have access to the PAF and WPAF files.

9. All evaluators, as described in "8" above, must sign the logs in the PAF and the WPAF before they make their recommendations. It is the professional obligation of all evaluators to review the information in the files before they vote or prepare a written recommendation. Evaluative statements shall be based on information in the files and validated with evidence such as class visitation; course outlines and tests; and significant curricular, scholarly, and committee contributions. If, at any level, the evidence is judged unsatisfactory, or if it does not appear to support the recommendations made, the WPAF shall be returned to the appropriate level for clarification. No one shall have access to the files except the PRC, the applicant/designee, department chair, dean, and University President/designee.

10. PRCs and department chairs

a. Membership of the PRC

(1) The probationary and tenured department faculty will elect members to serve on PRCs. No one shall
serve on more than one level of peer review for each faculty employee under review. For reappointment and tenure reviews, PRC members must be full-time tenured faculty employees of any rank. For promotion reviews, PRC members and the department chair must have higher academic rank than those being considered for promotion.

(2) Faculty employees being considered for promotion shall be ineligible to serve on promotion or tenure review committees.

(3) When there are insufficient eligible members to serve on the PRC, the PRC and department chair shall select members from related academic disciplines in consultation with the faculty employee under review.

(4) At the request of the department, the college dean may agree that faculty employees participating in the Faculty Early Retirement Program may be eligible to serve on a PRC, by election, as long as such service can be completed during the terms of the Faculty Early Retirement Program assignment. PRCs may be not composed solely of faculty participating in the Faculty Early Retirement Program.

b. Responsibilities
Because of the importance of all personnel actions, members serving on a PRC and department chairs are expected to perform due diligence; observe strict confidentiality; review, understand, and apply the relevant criteria; and provide constructive written assessment of the applicant’s performance.

The PRC and department chair’s responsibilities include:
(1) Review University, college, and any departmental personnel policies and procedures;
(2) Review and sign the applicant’s PAF and WPAF;
(3) Provide a written evaluation and recommendation to the applicant at least ten days prior to transmittal of the file to the next level of review;
(4) Within ten days following receipt of the recommendation, the applicants may submit a rebuttal statement or response in writing and/or
request a meeting be held to discuss the recommendation. The PRC or department chair at the second level of review, will consider the applicant’s rebuttal statement and meet with the applicant if requested. The committee or department chair will either revise the recommendation in writing or make no change to its prior recommendation. In the case of no change, no further statement is necessary from the committee or department chair. The rebuttal statement of the applicant under review shall be added to the WPAF.

c. PRC evaluations and recommendations

(1) Each PRC evaluation and recommendation shall be approved by a simple majority of the membership of that committee. For purposes of determining a simple majority vote of the PRC, the membership of the committee shall be defined as those committee members casting yes or no votes. If a member of the PRC or the department chair determines that s/he cannot evaluate an applicant for some reason (e.g., conflict of interest, prejudice, bias, etc.), the committee member or department chair shall withdraw from the applicant’s PRC. PRC members or the department chair who abstain from voting are expected to provide written rationale.

(2) Recommendations of a PRC at the college or department level must be accompanied by one of the following:

(a) A majority report and, if applicable, a minority report. Reports must include substantiating reasons for its recommendations and must be signed by those PRC members who support the report and its substantiating reasons.

(b) Individual recommendations from any PRC member must include substantiating reasons and signature.

(c) A combination of (a) and (b) above: a majority report, a minority report (if applicable), and/or individual
recommendations. In all cases, each report or recommendation must include substantiating reasons and must be signed by those supporting it.

11. Department chairs shall use Form AP 109 (Faculty Evaluation Form) to evaluate faculty for retention, promotion, and tenure. Department chairs are expected to conduct a separate level of review. Comments regarding student evaluations must be included in Section 1 of Form AP 109.

College deans should use the final page of Form AP 109 or similar format appended to Form AP 109 to record their evaluation and recommendation.

523.1.B. Criteria for retention, promotion, and tenure

A. Standards
The quality of faculty performance is the most important element to consider in evaluating individual achievement. Although teaching effectiveness is the primary and essential criterion, it alone is not sufficient for retention, promotion, and tenure. The degree of evidence will vary in accordance with the academic position being sought by the applicant. For example, the granting of tenure requires stronger evidence of worthiness than retention, and promotion to Professor requires a more rigorous application of criteria than promotion to Associate Professor.

B. University criteria
Recommendations for retention, promotion, and tenure are based on the exhibition of merit and ability in each of the following University criteria as well as those approved for the college/department (See CAP 523.1.A.2):

1. Teaching performance or effectiveness as a librarian and/or other professional performance

Consideration is to be given to such factors as the applicant’s competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor.

In formulating recommendations for the promotion of teaching faculty, evaluators will place primary emphasis on success in
instruction. The results of the formal student evaluation are to be considered in formulating recommendations based on teaching performance.

For librarians, consideration is to be given to such factors as furthering objectives of the library and the University by cooperating with fellow librarians; applying bibliographic techniques effectively to the acquisition, development, classification, and organization of library resources; initiating and carrying to conclusion projects within the library; demonstrating versatility, including the ability to work effectively in a range of library functions and subject areas; and supervisory and/or administrative abilities.

In formulating recommendations on the promotion of librarians, evaluators will place primary emphasis on effectiveness as a librarian as evaluated by colleagues and library users.

2. Professional growth and scholarly achievement
   Consideration is to be given to the applicant's educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, and external validation of scholarly activities.

3. Service to University and community
   Consideration is to be given to the applicant's participation in academic advisement; placement follow-up; co-curricular activities; department, college, and University committees; Academic Senate and its committees; individual assignments; systemwide assignments; and service in community affairs directly related to the applicant's teaching area as distinguished from those contributions to more generalized community activities.

4. Other factors of consideration
   Consideration is to be given to such factors as collegiality (working collaboratively and productively with colleagues and participation in traditional academic functions); initiative; cooperativeness; and dependability.

523.1.C Performance review of probationary faculty for retention

A. Performance reviews for the purpose of retention shall be in accordance with Articles 13 and 15 of the MOU.
B. It is the responsibility of the applicant to provide sufficient evidence that s/he has fulfilled the criteria for retention.

C. The normal probationary period is six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

D. Evaluation of probationary faculty involves a comprehensive assessment of performance during the entire probationary period with retention seen as leading to tenure. It should be understood that if a faculty employee has not demonstrated the potential to achieve tenure, then that individual should not be reappointed. This does not mean that retention is a guarantee of tenure.

E. In the event of a non-retention decision, a probationary faculty employee who has served a minimum of three years of probation will be extended a terminal year of employment with no further appointment rights.

523.1.D Performance review for tenure

A. Tenure represents the University’s long-term commitment to a faculty employee and is only granted when there is strong evidence that the individual who, by reason of their excellent performance and promise of long-range contribution as a teacher-scholar to the educational purpose of the institution, is deemed worthy of this important commitment. Tenure means the right of a faculty employee to continue at Cal Poly unless voluntarily terminated or terminated for cause, lack of funds, or lack of work.

1. To be recommended for tenure, an applicant must be rated during the final probationary year within one of the top two performance categories listed in Section V of Form AP 109 (Faculty Evaluation Form).

2. Tenure decisions are considered more critical to the University than promotion decisions. An applicant who does not have the potential for promotion to Associate Professor and Professor should not be granted tenure. This does not mean that retention is a guarantee of tenure nor is tenure a guarantee of promotion. The fact that a probationary faculty employee has received early promotion is not a guarantee of tenure.

3. Possession of the doctorate or other designated terminal degree from an accredited institution is required for tenure.

B. Tenure eligibility
Tenure eligibility shall be governed by the terms of Article 13 of the MOU.

1. Normal tenure
   A tenure award is considered normal if the award is made after the applicant has accrued credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

2. Early tenure
   a. A tenure award is considered "early" if the award is made prior to the applicant having achieved credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).
   b. In addition to meeting department, college, or library criteria for normal tenure, an applicant for early tenure must provide evidence of outstanding performance in each of the following performance areas: teaching or library effectiveness, professional growth and achievement, and service to the University and community.
   c. In order to receive early tenure, an applicant should, at a minimum, receive a favorable majority vote from the department PRC.

3. Tenure upon appointment
   Applicants for appointment with tenure shall normally be tenured professors or tenured librarians at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department.

523.1.E Performance review for promotion

A. Eligibility
   Promotion eligibility shall be governed by the terms of Article 14 of the MOU. Promotion in rank is not automatic and is granted only in recognition of teaching competency or effectiveness as a librarian, professional performance, and meritorious service during the period in
rank. The application of criteria will be more rigorous for promotion to Professor or Librarian than to Associate Professor or Associate Librarian.

1. Normal promotion
   a. An application for promotion to Associate Professor or Associate Librarian is considered normal if the applicant is eligible and both of the following conditions hold:

      (1) The applicant is tenured or the applicant is also applying for tenure.

      (2) The applicant has completed at least the equivalent of four years in their academic rank at Cal Poly.

   b. Tenure is required for promotion to the academic rank of Professor or Librarian.

2. Early promotion
   a. An application for promotion to Associate Professor or Associate Librarian is considered "early" if the applicant is eligible and one or both of the following is true:

      (1) The applicant is a probationary faculty employee who is not also applying for tenure.

      (2) The applicant has not satisfied the equivalent service requirements of at least four years in their academic rank at Cal Poly.

   b. Early promotion will be granted only in exceptional cases. The circumstances and record of performance which make the case exceptional shall be fully documented by the applicant and validated by evaluators. The fact that an applicant has reached the maximum salary in their academic rank or meets the performance criteria for promotion does not in itself constitute an exceptional case for early promotion.

B. Ranking
In addition to their carefully documented recommendations, department PRCs, department chairs, college or library PRCs, and deans shall submit a ranking of those promotion applicants who were positively recommended at their respective level.
DRAFT CAP.523 FACULTY PERSONNEL ACTIONS

523.2 Periodic evaluation of faculty unit employees

A. Definition of periodic evaluation

A periodic evaluation of a faculty unit employee ("faculty employee") shall normally be required for the following purposes:

1. Evaluation of tenured faculty employees who are not subject to a performance review for promotion.

2. Evaluation of probationary faculty employees who are not subject to a performance review for retention. For example, a probationary faculty employee who receives an initial two-year appointment will undergo a periodic evaluation during their first year.

3. Annual evaluation of temporary faculty employees.

4. Evaluation of lecturers for range elevation.

B. Periodic evaluation procedures and criteria

1. Periodic evaluation of tenured faculty employees
   
a. Eligibility

   (1) Tenured Professors, Librarians, and Student Services Professional-Academic Related III (SSP-AR III).

   Tenured full Professors shall be subject to a periodic evaluation at least once every five years.

   (2) Tenured Assistant or Associate Professor, Senior Assistant or Associate Librarian; and Student Services Professional-Academic Related II (SSP-AR II).

   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.
(3) Periodic evaluation of tenured faculty employees at any rank shall occur at least once every five years after promotion/appointment to their respective academic rank. Performance reviews for promotion can serve in lieu of periodic reviews for the purposes of this section. More frequent periodic evaluation of a tenured faculty employee may be requested by the employee, department chair, or dean. After such a request, the periodic evaluation shall be conducted as soon as possible.

b. Procedure for periodic evaluation of tenured faculty employees

(1) Procedures for the periodic evaluation of tenured faculty employees are similar to the procedures for conducting performance reviews (see CAP 523.1.A) with the exception that the periodic review concludes at the level of college dean.

(2) A tenured faculty employee shall be provided a copy of the PRC report of her/his periodic evaluation. The PRC chair, the department chair, and dean shall meet with the tenured faculty employee to discuss her/his strengths along with suggestions, if any, for improvement.

(3) A written copy of the periodic evaluation report shall be placed in the tenured faculty employee's PAF, and a copy shall be provided to her/him.

c. Criteria for periodic evaluation of tenured faculty employees

(1) The purpose of periodic evaluation of tenured faculty employees is to maintain and improve their effectiveness.

(2) Criteria are similar to the criteria for retention, promotion, and tenure (CAP 523.1.B).

2. Periodic evaluation of probationary faculty employees

a. Procedures for periodic evaluation of probationary faculty employees
(1) Periodic evaluation of probationary faculty employees shall be conducted by the elected department PRC composed of tenured faculty, the department chair, and the college dean in any year in which the probationary faculty employee is not subject to a performance review for retention.

(2) A written copy of the periodic evaluation report shall be placed in the probationary faculty employee's PAF, and a copy shall be provided to the employee.

b. Criteria for periodic evaluation of probationary faculty employees are similar to criteria for retention, promotion, and tenure (CAP 523.1.B).

3. Periodic evaluation of temporary faculty employees

a. Criteria

Evaluation of temporary faculty employees shall be appropriate to the work assignment of the temporary faculty employee and shall conform to the approved criteria established by the department/college for the performance of instructional and professional responsibilities applicable to temporary faculty.

b. Eligibility

(1) Full-time temporary faculty employees (e.g., lecturers) appointed for the entire academic year must be evaluated during that year by a PRC of the department, the department chair, and dean. Members of the PRC must be full-time tenured faculty employees. At the request of the department, the college dean may agree that a faculty employee participating in the Faculty Early Retirement Program may serve on a faculty PRC. However, PRCs may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

(2) Part-time temporary faculty employees appointed for the entire academic year must be evaluated by the department chair. A PRC evaluation is not required; however, full-time tenured faculty
employees should be given the opportunity to provide evaluative statements and such statements should be written and signed.

(3) Temporary faculty employees (full-time or part-time) appointed for one or two quarters are to be evaluated at the discretion of the department chair or dean. Also, the faculty employee may request that an evaluation be performed. The request must be in writing and must be accompanied by an updated resume. The request must be submitted to the department chair by the established deadline.

(4). Temporary faculty employees holding a three-year appointment pursuant to MOU Article 12 shall be evaluated at least once during the term of their appointment and may be evaluated more frequently upon the request of the faculty employee, department chair, or dean. Normally the evaluation will be scheduled during the second year of appointment.

(5) Lecturers who are no longer eligible for a service salary increase (SSI) in their current range and who have served at least five years in their current range may apply for range elevation.

c. Procedures for periodic evaluation of temporary faculty employees

(1) Academic Personnel will distribute a list of temporary faculty employees eligible for periodic review, including those eligible for range elevation, and the timetable for conducting the reviews.

(2) The temporary faculty employee shall submit a WPAF to the department chair by the established deadline. The file should include supporting materials to document the accomplishments of the work assignment of the temporary faculty employee including but not be limited to:

(a) Resume
(b) Summary of results of student evaluations of teaching
(c) Course syllabi and examples of course materials
(d) Examples of examinations
(e) Grading schemes and grade assignments
(f) Statement of teaching philosophy
(g) Professional accomplishments which contribute to maintaining currency in the faculty employee's field of expertise such as research, scholarship, and/or creative activity
(h) Service activities, if applicable

(3) All evaluators must sign the logs in the PAF and the WPAF before completing their written evaluative statements and recommendations.

(4) Evaluators shall provide their written evaluation and recommendation to the temporary faculty employee at least ten days before transmitting materials to the next level of review.

(5) The temporary faculty employee under review may submit a written rebuttal statement in response to the evaluation and/or request a meeting be held to discuss the evaluation within ten days following receipt of the evaluation.

(6) A written record of a periodic evaluation shall be placed in the temporary faculty employee's PAF. The temporary faculty employee shall be provided a copy of the written record of the evaluation.

(7) College deans are delegated authority to approve range elevation.

(8) Range elevation becomes effective at the beginning of the subsequent fall quarter.
REFERENCES

- Date approved by the President: ________

- Office responsible for implementation: Provost/Vice President for Academic Affairs; Academic Personnel

- Date when the policy is to be reviewed and by whom (where stipulated): ________

- Sunset clause (where stipulated): ________

- Related University policies/documents/manuals/handbooks: Cal Poly Strategic Plan; Administrative Bulletin 85-2; Ernest L. Boyer, Scholarship Reconsidered; The Carnegie Foundation for the Advancement of Teaching 1990

- Any laws, regulations, or codes of practice which should be referred to in conjunction with the policy: Fair Labor Standards Act; Title 5 of the California Code of Regulations; California Education Code; The Higher Education Employer-Employee Relations Act (HEERA); Memorandum of Understanding; CSU Technical Letter HR 97-07
RESOLUTION ON
PROPOSAL TO ESTABLISH COLLEGE OF AGRICULTURE,
FOOD AND ENVIRONMENTAL SCIENCES (CAFES) CENTER
FOR SUSTAINABILITY

1 RESOLVED: That the Academic Senate endorse the attached proposal to establish College of
2 Agriculture, Food and Environmental Sciences (CAFES) Center for
3 Sustainability.

Proposed by: College of Agriculture, Food and
Environmental Sciences
Date: April 13 2009
State of California  
Memorandum

To: John Soares, Chair  
Academic Senate

From: Robert D. Koob  
Provost and Vice President  
for Academic Affairs

Date: April 13, 2009

Copies: Susan Opava  
David Wehner

Subject: Request for Academic Senate Review of the  
Proposal for the Establishment of the CAFES  
Center for Sustainability

Attached is a copy of a preliminary proposal to establish the CAFES Center for  
Sustainability. In accordance with campus policy for the Establishment, Evaluation and  
Discontinuation of Centers and Institutes, this proposal received conceptual approval by  
the Academic Deans’ Council at its meeting on April 6, 2009. I would now appreciate  
the Academic Senate’s review of this proposal, if possible, prior to the close of Spring  
Quarter 2009. Simultaneously an ad hoc committee, appointed by me, will review  
organizational and financial aspects of the proposed center. Please feel free to contact  
Dean David Wehner, College of Agriculture, Food and Environmental Sciences, author  
of the proposal should you have any questions or would like him to make a presentation  
to the Academic Senate.

Thank you, and if you have any questions, please do not hesitate to contact my office.

Enclosure
THE CAFES CENTER FOR SUSTAINABILITY
California Polytechnic State University
San Luis Obispo

Proposal to Establish a Center

Prepared By:
The Sustainable Agriculture Resource Consortium (SARC)

Members: John Phillips, Neal MacDougall, Dave Headrick, and Hunter Francis, with the assistance of Steve Moore, Jean-Pierre Wolff and Shirley Bianchi.\(^1\)

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\(^1\) John Phillips is the current Faculty Director of the SARC, Neal MacDougall and Dave Headrick are faculty Program Directors, and Hunter Francis is the Program Associate. Steve Moore and Jean-Pierre Wolff are current members of SARC’s Advisory Board, and Shirley Bianchi is a past member of SARC’s Advisory Board.
Introduction

This document has been written to satisfy the requirements for the creation of an officially-sanctioned center at the California Polytechnic State University in San Luis Obispo. Specifically, the Sustainable Agriculture Resource Consortium (SARC) wishes to become known as the CAFES Center for Sustainability. The SARC has been in existence since 2000, and started its movement towards becoming a permanent entity in 2002 when a faculty directorship was established. Since its inception, the SARC has been active in program development, outreach, and fundraising—all of which have allowed the SARC to create a presence on campus and in the community for sustainability-related activities such as the classes, projects, and conferences discussed below.

Given the SARC’s success, the increasing relevance of sustainability concerns to the agricultural industry, and rising interest in the topic on the part of students, staff and faculty, there is now consensus within the College of Agriculture, Food, and Environmental Sciences (CAFES) to use the foundation SARC has laid to establish a new center—with a new name. The role of the current SARC in the process of the center’s development will be to steward its establishment, and meld into the new center upon its inception. The new center will become a focal point for activities around the theme of sustainability within CAFES. This focus will include:

- Existing SARC initiatives
- Relevant projects in virtually every CAFES Department
- Tasks previously assigned to CAFES’ Resource Conservation and Environmental Stewardship Committee
- Objectives generated by the ‘Sustainability’ strategic initiative, prioritized by CAFES’ 2008 Strategic Visioning process**
- Collaborations with the College’s Land Use Committee
- Fundraising, outreach, and recruitment for related programs

** One of eight strategic visions identified was: “CAFES educates leaders in sustainable agriculture, food industries, and environmental stewardship by modeling state-of-the-art sustainable practices in all of its operations.”

Since 2000, SARC activity has encompassed a wide array of issues. Our work has taken on especially critical importance since President Warren Baker signed the Talloires Declaration on April 23, 2004 that committed Cal Poly to “respond to, serve, and strengthen” its community for “local and global citizenship.” This has pushed us to maintain and strengthen our programs that serve both the local region and the state. In presenting this proposal for center status, we believe that the SARC has already attained a level of performance that is expected of centers and institutes at Cal Poly in terms of organization, fundraising, and recognition both inside and outside the University.

In the following sections, you will find text addressing the rationale, role, organization, financing and by-laws of the future center as currently planned.
CAFES Center for Sustainability Proposal

Rationale for the Center

This section of the proposal addresses the mission of the new Center, its reason for being and the gaps it fills.

The SARC has assisted the College of Agriculture, Food and Environmental Sciences (CAFES) in responding to student and public interest in sustainability, which is growing rapidly. This growth reflects a need for information. The new center can help Cal Poly meet this need by working with faculty and staff to develop curricula, resources, and infrastructure, and, importantly, to cultivate connections with external stakeholders. This will greatly enhance the educational experience of those seeking to play leadership roles within a quickly changing and increasingly competitive agricultural landscape.

The current mission of the SARC is “to advance sustainable food and agricultural systems through the College of Agriculture at Cal Poly.” The SARC was formally conceived by two Cal Poly CAFES students in response to a desire to establish an umbrella organization at Cal Poly to promote sustainable agriculture. In particular, SARC was envisioned to coordinate activities at the Student Experimental Farm (SEF). The two-acre SEF was established in 1989 and was eventually certified as an organic farm in 1995. The SARC has helped the Farm maintain a high level of student interest, and has promoted faculty involvement. The current Cal Poly Organic Farm was established in 2000. It incorporates the original SEF site, plus an additional 9.5 acres within the Horticulture and Crop Science Department, both co-managed by that department.

Aside from the goal of maintaining and building programs around the Organic Farm, the SARC has been committed to creating numerous additional programs. This includes activities that go beyond the scope of certified organic agriculture. We believe a bona fide center based in CAFES is needed to advance similar activities. Our experience affirms that sustainability encompasses a broad range of practices, policies, and disciplines, to which the traditional academic department structure does not readily lend itself. The benefits of sustainability-related activities across departmental lines will deepen the understanding of students in each of the individual departments, and strengthen departments by promoting interdepartmental activities.

Furthermore, there is a need for an agriculture-based sustainability center to emphasize the agricultural aspects of sustainability in various forums at Cal Poly. Currently, other technical colleges such as engineering and architecture have well-established sustainability-oriented groups. Having an agriculture-based sustainability center will make it easier to partner with the existing groups in the other colleges to undertake multidisciplinary projects. It is important that the new center present itself as the agricultural face of sustainability when working with the University administration to implement the Talloires Declaration and other sustainability initiatives. Beyond providing a College presence in University-wide sustainability efforts, the new center will help link the College to external initiatives, and provide visibility for CAFES programs in the community and across the state (e.g., to prospective students, collaborators, and donors).

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2 Answers the questions: What will the proposed unit do (research, public service, etc.)? Why is it needed? Why is the present organizational structure not adequate?
The Center’s Role in the College of Agriculture, Food and Environmental Sciences

This section of the proposal addresses how the center fits into the activities of the College of Agriculture, Food and Environmental Sciences, both at the college and the department level, and who the center’s founding members are.

The new center will:

- Assist CAFES in providing leadership in the realm of sustainability
- Foster the development and funding of new curricula and research projects
- Compile existing information on sustainability in agriculture and resource management, and identify research needs and priorities for the future
- Increase the visibility of CAFES programs in sustainability (on and off campus)
- Assist CAFES in forging new partnerships with external leaders in sustainability
- Work with CAFES Advancement to identify funding sources for related projects
- Help CAFES to improve the sustainability of its operations
- Provide a CAFES voice in University-wide sustainability efforts

Members of the SARC have already developed a Sustainable Agriculture minor which is a broad set of courses introducing students to concepts of sustainability as they affect agriculture. The SARC has played a pivotal role in the growth of the Cal Poly Organic Farm, where students can participate via the Organic Farming Enterprise class, through student projects, and as paid staff or volunteers.

CAFS departments have made use of the Organic Farm via teaching and projects:

- Senior projects
- Numerous class field trip excursions
- Infrastructure improvement projects conducted by CAFES classes
- University-sponsored workshops (e.g., WOW and ‘Make a Difference Day’)
- Development of business and marketing plans (by AGB students)
- Studies in organic soil fertility, composting, and cropping systems

The SARC has also served CAFES goals by disseminating information on sustainable agriculture to the general public and various professional communities. It has done this through the hosting of an array of lectures, seminars and Continuing Education offerings. For example, every year since 2002, the SARC has hosted its annual Sustainable Agriculture Pest Management Conference in collaboration with CCOF (California Certified Organic Farmers). This professional development event has played a significant role in extending valuable information on sustainable practices, and in showcasing the work of CAFES faculty alongside the work of other researchers in this arena. The success of the conference has been made possible by a high level of involvement from industry partners. It provides an excellent model for the new center to expand this involvement.

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3 Answers the questions: What is its relationship to the instructional program? Who are the unit's founding members, and how does their expertise relate to its purpose? What effect will the unit have on the department(s) (e.g. will it generate released time for faculty or support for student research or internships)?

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CAFES Center for Sustainability Proposal

Outside of the University, the SARC has served as a key Cal Poly collaborator in several regional efforts to promote agricultural sustainability through:

- The Central Coast Ag Network and its ‘Central Coast Grown’ label;
- The Central Coast Agri-tourism Council’s ‘AgAdventures’ agri-tourism program;
- Numerous ‘farm-to-school’ workgroups seeking to establish connections between local farms and schools;
- CSU-sponsored Cesar Chavez Day, AmeriCorps, and other youth activities;
- The College Farms Sustainable Agriculture Educators Working Group, founded with other California universities (e.g., UC Berkeley, UC Davis, CSU Chico);
- An Invasive Pest Coalition project to assess the economic impact of select invasive pests and eradication measures on California agriculture.

Beyond current SARC initiatives, there are numerous classes and projects currently existing within CAFES, which could be expanded, supported and/or better promoted with the help of a new center. These include classes, research, and projects for:

- Agricultural policy
- Agri-tourism
- Alternative energy
- Animal husbandry and grazing systems (including grass-fed beef)
- Cropping systems
- Cultural diversity
- Fair Trade chocolate
- Irrigation and water systems technology
- Long-term ecological monitoring
- Organic food production, processing and certification
- Pest bio-control
- Range and watershed management
- Sustainable silviculture
- Sustainable viticulture

A variety of the above activities are currently being conducted at Cal Poly’s 3,000 acre Swanton Pacific Ranch, including an award-winning forestry program, an organic apple farm, a leased organic row crop operation, and a natural beef program. Given its distance from the San Luis Obispo campus, it has been a challenge to make CAFES students aware of the numerous sustainable agricultural opportunities at the Ranch. The new center would assist in this endeavor.

The SARC was founded by two CAFES students, Hunter Francis and Terry Hooker (both in ERSS), with the assistance of a faculty steering committee comprised of:

- John Phillips (HCS)
- Neal MacDougall (AGB)
- Tom Ruehr (ERSS)
- Doug Williams (BRAE)
- Mark Shelton (CAFES)
CAFES Center for Sustainability Proposal

Since 2000, additional faculty members have offered their assistance at critical junctures in the development of SARC and Organic Farm programs. Significant contributions have been made by:

- David Headrick (HCS)
- Rob Rutherford (ASCI)
- Tom Neuhaus (FSN)
- Lynn Moody (ERSS)
- Joe Montecalvo (FSN)
- Ramon Leon (formerly of the HCS, now at the EARTH University in Costa Rica)

As SARC initiatives have been largely soft-funded in the past, SARC participants are particularly grateful to the Horticulture and Crop Science, Agribusiness, and Earth and Soil Sciences Departments for their numerous in-kind contributions in the form of expertise, operational support, and staff time, as well as to the CAFES Dean for early seed funding.

The knowledge base of past, current, and future faculty involved with the SARC is, by necessity, diverse. However, SARC focus has been concentrated in the area of organic and sustainable crop production to date. Additionally, the SARC has worked closely with CAFES Farm Operations in the development and promotion of Cal Poly’s compost facility. The idea of forming a CAFES Center for Sustainability is to combine these with similar efforts for sustainability within CAFES. We expect that the establishment of a new center will significantly step up the involvement of CAFES faculty and staff, many of whom are already pursuing related initiatives.

In the past, involvement in the SARC at the dean’s office level has included participation by an Associate Dean in SARC oversight, and at the Assistant Dean level to help SARC find funding, and to help the college show off “learn by doing” concepts exemplified by SARC activities. There has been involvement by College accounting staff and by an accounting instructor in the Agribusiness Department to improve the organization and business operation of the SARC and the Organic Farm. Recently, the CAFES dean has engaged his department heads in providing consultation regarding the role a center for sustainability could play within the College, and he has committed to helping to underwrite the Director position for the center in the future.

It is expected that a new center would continue to draw the support and involvement of Cal Poly faculty to assist in the execution of its activities. The center would solicit ongoing university support for faculty resources as well as look externally for project-oriented support. Faculty participation would be encouraged by the development of grant funding to provide release time for participants. The center would facilitate the generation of pertinent grants, by helping to identify grant opportunities, by cultivating relationships with grantors, and by serving as an umbrella organization capable of developing resources for grant writers and of building a grant history. Furthermore, a dynamic and highly visible center for sustainability within CAFES would help to attract private sponsorship of and industry partnership in CAFES projects.
Organization of the Center\(^4\)
This section of the proposal addresses the Center's organization, by-laws and its needs.

At present, the SARC is a small organization with one full-time staff member (the Program Associate) serving under the direction of a Faculty Director. The intention for the new center in the near term is to keep its organizational structure simple, and overhead low. With the establishment of the center, we suggest creating a full-time directorship as a permanent position with part-time support staff directly responsible to the CAFES Dean and under the guidance of a faculty Steering Committee and an external Advisory Board. Currently, the SARC has a 28 member Advisory Board comprised of some of California's leading voices in the realm of sustainable and organic agriculture. The existing SARC Advisory Board can be refined and built upon. For the new center, the relationship of staff to the Steering Committee, the Advisory Board and CAFES administration is described in the by-laws and organizational chart below.

The new SARC Director will help facilitate faculty interested in working on projects relating to agricultural sustainability, in particular in subject areas identified by the College as strategic priorities. Specifically, a group of fifteen CAFES faculty from eight different departments has committed to working towards the College's sustainability priority by way of an ad hoc CAFES Sustainability Committee, and it is expected many among them will play an active role in the new center. These and other faculty already engaged in activities related to sustainability could serve as center 'Project Leaders' with little additional assignment.

Currently, the facility needs of the SARC are minimal, and it is expected this will continue to be the case with the establishment of a center. The SARC uses office space in Building 11 furnished by the Horticulture and Crop Science Department, which is shared with Cal Poly Organic Farm staff. Facilities under the control of departments like Agribusiness, Horticulture and Crop Science, and Dairy Science are often available to SARC when they involve curriculum-related activities (e.g., meetings, lectures, field trips). In the future and where possible, we anticipate that CAFES departments will work with the new center to provide facilities and resources for sustainability programs that directly benefit their respective students.

\(^4\) Answers the questions: What is the organizational structure of the unit? What are its by-laws? What support is required for the unit? What facilities will be needed (space, equipment, etc.)?
Financing of the Center

This section of the proposal will address the Center's financing and sources of funding.

With funding for general support and for SARC projects, faculty have often been paid or compensated through release time. Students and staff have served the SARC through paid, work-study, volunteer or internship arrangements. The strategy for future funding of the new center will discriminate between program funding which will support the general, administrative work of the center, and project funding which will support specific projects that have specific outcomes and timelines.

Since its inception, the SARC has received substantial funding from external sources:

- The Columbia Foundation ($150,000)
- The Clarence E. Heller Foundation ($50,000)
- The Oreggia Family Foundation ($50,000, which was matched 2:1 by SARC with $100,000)

The SARC has also received numerous smaller grants from community and charitable organizations, such as:

- The San Luis County Board of Supervisors
- The San Luis Obispo Community Foundation
- The James Beard Foundation of New York

SARC has held four successful annual fundraising dinners in the past four years. These dinners have raised as much as $50,000 each. The most recent dinner, held on October 2, 2008, featured special guest speaker Dr. Timothy LaSalle, former Cal Poly professor and current CEO of the Rodale Institute in Pennsylvania. The dinners highlight the work of leading figures in the sustainability movement, and have helped raise awareness of sustainability efforts within CAFES. Best-selling author and journalist, Michael Pollan, is scheduled to be the guest speaker at the next fundraiser dinner on October 15, 2009.

Every December, the SARC co-sponsors, with the Sustainable Agriculture Pest Management Conference. This continuing education event attracts up to 200 pest control advisors (PCAs), agricultural consultants and growers. The event has been held each year for the past seven years, raising approximately $15,000 annually for the SARC.

In the future, the new center would expand activities through new projects managed by the center and funded, most likely, through project-related grants from external funding sources. For example, the center could expand the pest management conference to a second site, or develop new conferences around other themes. Funds are available through USDA and EPA to undertake new conferences dealing with the promotion of organic agriculture, community food systems, and the reduction of pesticide use, as well as other topics related to sustainability.

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5 Answers the questions: How will the unit be financed in the short term and in the long term? What will happen if outside sources of funding are no longer available after the unit is formed?
Other sources of project funding include:

- The Agricultural Research Initiative (ARI) funding
- State Faculty Support Grants
- Instructionally-Related Activities funds
- Kellogg Foundation and funding from similar charitable foundations
- Organic Farming Research Institute grants
- Sustainable Agriculture Research and Education (Western SARE) grants
- USDA Higher Education Challenge grants

The center should also be able to receive back from Grants Development, once it reaches the critical mass of grant awards, a portion of the overhead recovered on grant activity.

Other sources of financing may come from business opportunities generated by the center’s activities. For example, the center could work with the Organic Farm to begin supplying more produce to Cal Poly’s Campus Dining, thus shifting some of its production to Cal Poly customers as well as brokering with local organic growers to meet the complete demand of on-campus eateries. The farm currently generates approximately $300,000 of revenue from its annual, subscription Community Supported Agriculture (CSA) program, most of which is put directly back into operating the Organic Farm.

The SARC currently enjoys the use of funds generated by the Armstrong Endowment, which were granted for use by the SARC by Dean David Wehner. In the past, this endowment was used to cover the quarter-time release of SARC’s Faculty Director throughout the regular academic year. The SARC will also receive distribution of the Dr. Sonya Woods Anderson Sustainable Agriculture Resource Consortium Endowment, a $100,000 permanent endowment established as part of Dr. Woods’ estate plan. Revenue generated from this endowment in the future will be used exclusively for the purposes of meeting the greatest needs of the Sustainable Agriculture Resource Consortium (and, eventually, the new center).

The center will continue to undertake general, non-event-oriented fundraising throughout the year to supplement the other fundraising activities. As mentioned above, the center will play an active role in grant facilitation for faculty, and in collaborating with CAFES Advancement staff to cultivate private sponsorship. Through increased public awareness, the new center will build upon existing endowments to ensure an increasingly secure flow of funds to cover administrative costs. In the future, assistance in covering the center’s administrative operating expenses will be furnished by the CAFES Dean through partial underwriting of the Director position.
Participation in the Center

This section of the proposal will address the Center’s membership and its Advisory Board.

The Center shall be comprised of a center Program Director, a faculty Steering Committee, center Project Leaders and Program Assistants reporting to the Dean of the College of Agriculture, Food and Environmental Sciences with the support of the center Advisory Board, all under the general oversight of the Dean of Research and Graduate Programs.

Faculty participating in center functions and projects will receive credit for these contributions in their reviews for retention, tenure and promotion as such participation can be classified readily as research, other scholarly activity, or service to the college or university. Professional development and service are recognized avenues for demonstrating merit in Cal Poly’s faculty review process.

Oversight and governance of the SARC, as well as selection and responsibilities of its members, are described in the By-laws below.

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6 Answers the questions: What constitutes membership in the unit? What is its advisory board? How is the board selected? How will the unit ensure that participating faculty receive credit for their contributions in the review for retention, tenure, and promotion?
Appendix A: By-laws of the CAFES Center for Sustainability

ARTICLE I - NAME
The name of this organization shall be the CAFES Center for Sustainability referred to in these By-laws as the center.

ARTICLE II - PURPOSE
Section 1 - Purpose: The center is a non-profit, non-partisan organization established for educational, research, and service purposes. The center will advance sustainable food and agricultural systems through the College of Agriculture at Cal Poly through a process of the:

- Education of students and the general public on the principles and specific techniques for implementing sustainable practices related to food, agriculture and natural resource management;
- Demonstration of holistic approaches to sustainable agriculture and resource management on Cal Poly land;
- Investigation of sustainable farming, food systems, and natural resource management through the use of undergraduate senior projects, graduate theses and faculty research; and,
- Facilitation of collaborative efforts among students, faculty, staff, and community members interested in managing and promoting sustainable food, agricultural, and natural systems.

The center will be financed by grants, contracts, and revenue generated by center activities. The center will serve as a vehicle for securing industrial sponsorship and support to sustain projects at the center.

Section 2 - Policies: The policies of the center shall be in harmony with the policies of the California State University and the California Polytechnic State University, San Luis Obispo (“University”), and the California Polytechnic State University Corporation (“Corporation”).

ARTICLE III - PARTICIPANTS
Section 1 - Class of Participants: Participants may be faculty, staff, and students of the California Polytechnic State University, San Luis Obispo, and consultants, research associates, and others interested in the center.

a. Faculty: Faculty participants are persons appointed by the University to faculty rank and participating in the activities of the center.

b. Staff: Staff participants are persons employed by the University or Corporation and participating in the activities of the center.

c. Students: Student participants are persons engaged in study at the University on a full-time or part-time basis, and participating in the activities of the center.

d. Affiliated Researchers: Affiliated researchers are faculty or other persons from outside the University who carry out or collaborate on research and/or other projects under the auspices of the center.

e. Industry Representatives: Industry representatives are persons actively engaged in the agricultural industry as practitioners, vendors, or industry advocates.
f. **Association Representatives:** Association representatives are persons affiliated with a professional or trade association/organization representing center interests and activities.

**Section 2 - Approval to Participate:**

a. **Eligibility to Participate:** All interested faculty, staff, and students of the California Polytechnic State University, San Luis Obispo, are eligible to participate in the center, if so requested by the individual and approved by the center. Any faculty, staff, student, or outside participant may recommend individuals for participation in the center. Such recommendations shall be made to the Director.

b. **Request for Participation:** Any qualifying individual interested in a center program may request to participate (see Class of Participants for criteria for participation).

c. **Acknowledgment of Participation:** The Director of the center shall acknowledge participants.

**Section 3 – Terms and Conditions:** Terms and conditions of participation shall be determined by the center Director and shall conform to the duration of center project(s) in which participants are involved.

**Section 4 - Role of Participants:** Participants are encouraged to be actively engaged in the activities of the center. They may propose programs to be implemented by the center. If approved, these programs will receive center support as necessary and possible. Participants are expected to support the programs of the center and assist the Director in program development.

**ARTICLE IV – CENTER ADMINISTRATION**

**Section 1 – Administration:** The administration of the center shall consist of the center Director, the faculty Steering Committee, center Project Leaders, the Program Assistants, and the external Advisory Board. Their collective goal is to ensure that the center works toward fulfilling its mission.

a. **The center Director:** The center shall be administered by a Director appointed by the CAFES Dean in conjunction with center Steering Committee members. The Director may be an active Cal Poly faculty or staff member or may be hired from outside the University. The Director will report to the CAFES Dean. The Director is responsible for the oversight and management of all center activities. This includes working with the dean and center Steering Committee members to develop a comprehensive strategy for center programming, as well as specific annual workplans. Specific responsibilities include the coordination of fundraising, grant development and grant proposal writing, event management, bookkeeping and budgeting, outreach, web management, and maintaining and tracking all paperwork pertaining to the center. The center Director is responsible for identifying, recruiting, scheduling, and managing any part-time help. The Director shall submit an annual report following each academic year to the Provost and Vice President for Academic Affairs, the CAFES Dean, and the Dean of Research and Graduate Programs. The report shall include a summary of the year’s activities and a financial report, as well as information on scholarly
publications and technical reports, students supported by the center, theses, and senior projects completed under the auspices of the center, honors and awards to faculty and students, and any other noteworthy achievements.

b. **The Project Leaders:** The Project Leaders must be part of the full-time faculty and staff of Cal Poly (and not necessarily of the College of Agriculture, Food and Environmental Science). They shall direct specific projects developed in collaboration with the center Director, the Steering Committee, and the team of Project Leaders. This includes developing and managing annual program workplans, and coordinating, with the assistance of the center Director, projects identified in the workplans. Project Leaders shall not be compensated directly for their work as Project Leaders but it is expected that they will incorporate compensation for specific projects undertaken within their program for which funding has been provided.

c. **The Program Assistants:** As funding allows, the Program Assistants assist the center Director in maintaining and tracking correspondence (mail and e-mail), phone calls and in-person contacts; handling general questions about the center from the university, the community and the general public; and facilitating the staging of center events.

**ARTICLE V -- FACULTY STEERING COMMITTEE**

**Section 1 -- Membership:** There shall be a faculty Steering Committee numbering no more than twelve Cal Poly faculty. The Steering Committee shall be made up of a group of faculty representing an array of disciplines relevant to sustainable agriculture, food and environmental sciences. These faculty members may concurrently participate in center activities as Program Leaders, though this is not a requirement. In fact, it is expected that many Steering Committee members will be drawn from Program Leader ranks. The center Director, in consultation with the College Dean and center Project Leaders, shall choose the membership of the Steering Committee. Terms of the individual members of the Steering Committee shall be three years with the possibility of renewal at the end of the three years. There is no limit as to the number of renewals an individual member might have. The center Director, in consultation with the Project Leaders, shall determine whether individual Steering Committee members shall have their membership renewed.

**Section 2 -- Duties:** The Steering Committee is responsible for working with the Director in strategizing and implementing center programs. This includes providing leadership by prioritizing lead initiatives, providing direction and oversight of Project Leader activity, helping to identify and to pursue sources of funding, and assisting in the operation of the center.

**Section 3 -- Meetings:** The Steering Committee shall meet a minimum of once per quarter. A report of the meetings shall be made available to the Steering Committee, center Project Leaders, the Advisory Board, the CAFES Dean, and the Dean of Research and Graduate Programs.

**Section 4 - Number Constituting a Quorum:** A majority of Committee members shall constitute a quorum.
ARTICLE IV – EXTERNAL ADVISORY BOARD

Section 1 – Membership: There shall be an Advisory Board numbering no more than twenty members drawn from industry, community and government. The Advisory Board shall be made up of a group of people representing the diversity of activities in the agricultural industry including, but not limited to, production, services, inputs, marketing, finance, energy, and labor. This diversity should also address the scale of activity in that representatives from very small to very large organizations should be considered. The Advisory Board should also include representatives from the communities of the Central Coast of California and from local and regional government. The center Director, in consultation with the College Dean and center Steering Committee members, shall choose the membership of the Advisory Board. Terms of the individual members of the Advisory Board shall be three years with the possibility of renewal at the end of the three years. There is no limit as to the number of renewals an individual member might have. The center Director, in consultation with the Steering Committee members, shall determine whether individual Advisory Board members shall have their membership renewed.

Section 2 – Duties: The Advisory Board will endeavor to provide the center with fundraising assistance, feedback on its workplans, and guidance on its strategies via its formal meetings and via any informal consultations.

Section 3 – Meetings: The Advisory Board shall meet a minimum of once a year. A report of the meetings shall be made available to the Advisory Board, the Steering Committee, Project Leaders, the CAFES Dean, and the Dean of Research and Graduate Programs.

Section 4 - Number Constituting a Quorum: A majority of Board members shall constitute a quorum.

ARTICLE VII – EXECUTIVE COMMITTEE OF THE ADVISORY BOARD

Section 1 – Composition: There shall be an Executive Committee consisting of four members drawn from the membership of the Advisory Board. The center Director will request those Advisory Board members interested in serving on the Committee to submit their names for consideration. In consultation with Steering Committee members, the center Director shall appoint the members of the Committee. The terms of the individual members of the Executive Committee shall be four years with a staggered membership such that every two years, two new members shall be brought onto the Committee and the two senior members rotated off. There shall be no renewal of Executive Committee membership.

Section 2 – Purpose: The Executive Committee will assist the center Director in putting together agendas for the Advisory Board meetings; will formulate potential policy discussions for Advisory Board meetings; will act as a sounding board for the center Director in matters related and relevant to the Advisory Board; and will serve to advise on tactical issues related to the operation of the center.
Section 3 – Meetings: The Executive Committee will meet at least as often as the Advisory Board and in advance of the Advisory Board meeting.

ARTICLE VIII - FISCAL POLICIES
Section 1 - Fiscal Year: The fiscal year shall be in accordance with that of the Cal Poly Corporation.

Section 2 - Accounts and Audits: The books and accounts of the center shall be kept by the Cal Poly Corporation in accordance with sound accounting practices, and shall be audited annually in accordance with Corporation policies.

Section 3 - Funding: Funding for the center shall come from private or governmental grants and contracts, gifts, and fees from center-generated short courses, conferences, and center-generated publications.

Section 4 - Dissolution: In the event the center is dissolved, any assets remaining after payment of all debts and liabilities shall be distributed to the Corporation in trust for College of Agriculture, Food, and Environmental Sciences. If debts and liabilities exceed assets, the College of Agriculture, Food, and Environmental Sciences will be responsible for said debts and liabilities.

ARTICLE VIII - OPERATING GUIDELINES
The Advisory Board may develop operating guidelines to implement these By-laws.

ARTICLE IX – AMENDMENTS
The By-laws may be amended by a 2/3 vote of the members of the Steering Committee, faculty Project Leaders, and full-time, non-student center staff voting at any meeting of the faculty Project Leaders. All relevant staff and faculty shall have two (2) weeks advance written notification of the proposed amendments. Any changes to the By-laws adopted by the faculty and staff must be approved by both the CAFES Dean and the Dean of Research and Graduate Programs before incorporation into the By-laws.
Appendix B: Organizational Chart
THE CAFES CENTER FOR SUSTAINABILITY

ACADEMIC SENATE EXECUTIVE COMMITTEE SUMMARY
APRIL 28, 2009

General Considerations

◊ CAFES-focused
◊ Interdisciplinary
◊ Links numerous existing initiatives within College
◊ Uses SARC as a point of departure (with CPOF example)
◊ Response to burgeoning interest in sustainability

CAFES Link to Sustainability

◊ Talloires Declaration
◊ Collaboration with Centers / Initiatives in other Colleges
◊ Focal point for ideas pertaining to food/ag sustainability
◊ Campus-wide sustainability events
◊ Assistance in working with Facilities

Role

◊ Foster the development and funding of new curricula and research projects
◊ Compile existing information on sustainability in agriculture and resource management, and identify research needs and priorities for the future
◊ Increase the visibility of CAFES programs in sustainability (on and off campus)
◊ Assist CAFES in forging new partnerships with external leaders in sustainability
◊ Work with CAFES Advancement to identify funding sources for related projects
◊ Help CAFES to improve the sustainability of its operations

Organization

◊ Responsible to CAFES Dean
◊ Oversight by Dean of Research & Graduate Programs
◊ Guided by Faculty Steering Committee
◊ Advised by external Board

Viability

◊ Seed funding from SARC reserves
◊ Revenue generating activities meet current needs
◊ Additional annual support from CAFES Dean
◊ Program vs. project funding
◊ Stakeholders currently under cultivation
◊ Growing opportunities to fund projects in this realm