

Adopted: February 5, 2019

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

AS-865-19

**RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
CHAPTER 1: PREFACE**

Impact on Existing Policy: This resolution establishes a statement of policy about the proposal and revision of university-level faculty personnel policies. Policies and statements in the attached policy document are derived from AS-650-06, AS-725-11, AS-752-12, and AS-859-18. It supersedes AS-829-17ⁱ

- 1 WHEREAS, The Academic Senate Faculty Affairs Committee is constructing a
2 document entitled "University Faculty Personnel Policies" (UFPP) to
3 house all university-level faculty personnel policies; and
4
- 5 WHEREAS, AS-859-18 resolved that "The Academic Senate Faculty Affairs
6 Committee construct UFPP by proposing university-level faculty
7 personnel policies to the Senate in the form of chapters or portions of
8 chapters of UFPP according to the procedures approved in AS-829-17";
9 and
10
- 11 WHEREAS, AS-859-18 resolved that "By the end of Spring 2020 Colleges and other
12 faculty units reorganize their faculty personnel policy documents to
13 conform their documents to the chapter structure of UFPP"; therefore be
14 it
15
- 16 RESOLVED: The policy document contained at the end of the attached report
17 "Proposed Chapter of University Faculty Personnel Policies Document:
18 CHAPTER 1: PREFACE" be established as Chapter 1: Preface of UFPP, and
19 be it further
20
- 21 RESOLVED: Colleges and the Library revise their personnel policy documents by
22 Spring 2020 to have chapter 1 of their documents be a Preface modeled
23 after that of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee
Date: January 8, 2019
Revised: January 30, 2019

ⁱ (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.

**Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 1: PREFACE**

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, **FAC will replace the current University Faculty Personnel Actions (UFPA) document piece by piece to construct a new University Faculty Personnel Policies (UFPP) document.** FAC may then employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- **Clarify existing policies** that are common and already in place across the university.
- **Standardize procedures** for faculty evaluation at the university level.
- **Set baseline expectations and offer guiding principles** with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- **Establish a common structure for all personnel policy documents across campus.**

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

1. **Preface**
2. **Faculty Appointments**
3. **Personnel Files**
4. **Responsibilities in Faculty Evaluation Processes**
5. **Evaluation Processes**
6. **Evaluation Cycle Patterns**
7. **Personnel Action Eligibility and Criteria**
8. **Evaluation of Teaching and Professional Services**
9. **Evaluation of Professional Development**
10. **Evaluation of Service**
11. **Governance**
12. **Workload**
13. **Appendices**

FAC is proposing to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation, and a description of feedback received on this proposed chapter.

Summary of Chapter 1: Preface

The Preface of UFPP offers the guiding principles for its faculty policies in the form of Cal Poly's vision and mission statements and the statement of Cal Poly's commitment to the teacher-scholar model. It

**Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 1: PREFACE**

also includes an account of the purpose and scope of the document in relation to the various forms of legislation, contract provisions, local Academic Senate resolutions, or any other documents that inform and establish our faculty personnel policies. The Preface directs colleges and the Library to maintain and update their own personnel policy documents in accord with UFPP. It closes with a statement of the Academic Senate established procedures for composing and revising sections of UFPP.

Impact on Existing Policy

This Preface gives a new form of expression to pre-existing policies, values, provisions and requirements, *but does not establish new policies*. The statements of policies in the Preface were established by Academic Senate resolutions. The Preface states that by the Senate action establishing the Preface as a chapter of UFPP, its formulation of those policies supersedes those in its originating resolutions. It thereby clarifies the policy history related to the provisions of this portion of UFPP.

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges to restructure their faculty personnel policy documents into the same chapter division as UFPP. When a chapter of UFPP is approved by the Academic Senate and ratified by the President, colleges will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly.

Current college documents typically begin with guiding statements and include provisions for revising the policy document.

For colleges with up-to-date formulations of their values and mission, procedures for policy revision, etc., this imposition on the colleges would be as insignificant as placing the heading of "Chapter 1: Preface" over their existing statements of guiding principles and their procedures for revising their documents. Colleges with out-of-date prefatory statements and policy revision procedures would take on the task to update them, now with some guidance of what is expected for this portion of their personnel policies document.

Colleges should cover the topics in UFPP, but may add additional subdivisions as necessary.

Feedback from Faculty Units

When proposing personnel policies, FAC consults with faculty units about the proposed change so the faculty units may offer feedback on the proposal. FAC then considers this feedback when revising the proposed policy and sending it to the Senate.

Faculty units provided no specific feedback on the elements of the Preface.

What follows is the proposed text of the chapter...

1. Preface

1.1. Summary

- 1.1.1. The prefatory materials in the document include a general statement of Cal Poly's vision and mission statements, along with Cal Poly's commitment to the teacher-scholar model. It states the hierarchy of policy in the CSU. It also includes the formal statement of the Senate personnel policy revision process by which portions of this document are composed and revised. Colleges and departments can put in the Preface of their personnel policies documents their own mission/vision statements, any guiding principles that inform their understanding and implementation of the teacher/scholar model, and any policies or procedures for revising their policy documents.
- 1.1.2. Chapter 1 was established by Academic Senate Resolution AS-865-19.

1.2. Vision Statement

- 1.2.1. Cal Poly will be the nation's premier comprehensive polytechnic university, an innovative institution that develops and inspires whole-system thinkers to serve California and help solve global challenges. (CAP 110.2)

1.3. Mission Statement

- 1.3.1. Cal Poly fosters teaching, scholarship, and service in a Learn by Doing environment in which students, staff, and faculty are partners in discovery. As a polytechnic university, Cal Poly promotes the application of theory to practice. As a comprehensive institution, Cal Poly provides a balanced education in the arts, sciences, and technology, while encouraging cross-disciplinary and co-curricular experiences. As an academic community, Cal Poly values free inquiry, cultural and intellectual diversity, mutual respect, civic engagement, and social and environmental responsibility. (CAP 110.1, AS-650-06)

1.4. Teacher-Scholar Model

- 1.4.1. Cal Poly faculty have adopted the Teacher-Scholar Model defined as participation in both teaching and scholarship (AS-725-11). The Teacher-Scholar Model includes, when possible, meaningful student engagement in faculty scholarly activity and inclusion of scholarship in teaching to create vibrant learning experiences for students. The resolution defined scholarship in general terms as the scholarships of discovery, application, integration, and teaching/learning (Boyer, *Scholarship Reconsidered*, 1990), implemented in a discipline-specific manner while mindful of Cal Poly's mission. The Teacher-Scholar Model allows for individual variations in the balance between teaching and scholarly activities. The personnel policies in this document promote the development of teacher/scholars.

1.5. Purpose and Scope of this Document

- 1.5.1. University level personnel policies for faculty are contained in this document, titled "University Faculty Personnel Policies" (abbreviated as UFPP). It includes the University statement of policy, criteria and university-wide procedures for faculty personnel actions. This document is based on Title V, Higher Education Employer-Employee Relations Act (HEERA), and the CSU-CFA Collective Bargaining Agreement (CBA). If Title V, HEERA and/or the CSU-CFA Collective Bargaining Agreement is in conflict with the provisions in these criteria and procedures, the terms of Title V, HEERA and/or the CSU-CFA Collective Bargaining Agreement, and not the provisions of these procedures and criteria, shall govern.

UNIVERSITY FACULTY PERSONNEL POLICIES

- 1.5.2. Policies in this document are derived largely from the 2013 revision of University Faculty Personnel Actions (UFPA), which is included in the appendices to this document. Policies stated in UFPP supersede their prior formulations in UFPA. Until superseded by policies in UFPP, the policies in UFPA remain in effect.
 - 1.5.3. Personnel policies established by Academic Senate resolutions are commonly cited throughout this document following the form of "AS-XXX-YY". Since each chapter of UFPP is established by Academic Senate action, the formulation of policies in UFPP supersedes the formulations of those policies in prior Academic Senate resolutions.
 - 1.5.4. Policy statements contained in UFPP are also derived from sources beyond the scope of the Academic Senate, such as provisions in the CBA, HEERA, or Title V. Policies derived from the Collective Bargaining Agreement (i.e. the CSU faculty contract) are cited by CBA article and section. Policies from Cal Poly's Campus Administrative Policies (CAP) are cited by their CAP numbers. Other documents establishing policies are cited by descriptive titles (e.g. administrative memos cited by their source and date). In these cases, the verbal formulation of the policy is approved by the Senate, but the statement of these policies in their original source governs.
 - 1.5.5. Colleges and the Library shall have their own personnel policy documents to extend, develop, and apply university level policies in ways that are suited to the programs within the college. In the case of any conflict between college and university policies, the university policy shall govern. College personnel policies should remain current in relation to the policies that govern over the college policies, including university policies, the CSU-CFA Collective Bargaining Agreement, HEERA, and Title V. Colleges shall define a process for reviewing and updating their personnel policies. College personnel policies must be approved by the Dean and the Provost. College personnel policies that are currently in effect shall be made available on the Academic Personnel website.
 - 1.5.6. Departments may also have personnel policy documents. Department level personnel policies extend, develop, and apply college level policies in ways that are suited to the disciplines within the department. In the case of any conflict between a department's policies and college or university policies, the college or university policies shall govern. Departments opting to draft their own personnel policies shall define the process for composing and approving such policies. Department level personnel policies shall be approved by their college Dean and the Provost. Department personnel policies that are currently in effect shall be made available on the Academic Personnel website.
- 1.6. Procedure for Updating University Faculty Personnel Policies**
- 1.6.1. This section of the Preface states the policies related to the composition and revision of sections of UFPP. The policies in this section are established by AS-865-19 which is based on the following Academic Senate resolutions: AS-650-06, AS-725-11, AS-752-12, and AS-859-18. It supersedes AS-829-17.
 - 1.6.2. Cal Poly's university-level faculty personnel policies are composed and approved by means of shared governance between faculty and administration. Personnel policies are established or revised either by means of Academic Senate resolutions or consent agenda items, both of which must be ratified by the university President.
 - 1.6.3. The Academic Senate Faculty Affairs Committee proposes university level faculty personnel policies to the Senate in the form of chapters or portions of chapters of the University Faculty Personnel Policies document (UFPP).

UNIVERSITY FACULTY PERSONNEL POLICIES

- 1.6.4. University-wide faculty personnel policy proposals from the Academic Senate Faculty Affairs Committee may appear on the Academic Senate meeting agenda as consent items at the discretion of the Academic Senate Executive Committee. The Academic Senate Faculty Affairs Committee submits the personnel policy proposals to the Academic Senate Executive Committee. The Academic Senate Executive Committee determines whether and how the personnel policy proposals shall be placed on the Academic Senate agenda.
- 1.6.5. When the Academic Senate Executive Committee places personnel policy revisions on the Academic Senate consent agenda, any senator may request an item be removed from the consent agenda no later than one week prior to the meeting. Items removed from the Academic Senate consent agenda will be placed on the Senate agenda as business items. Items not removed from the consent agenda are considered approved by the Academic Senate on the meeting date of the consent agenda.
- 1.6.6. Personnel policy revisions that are on the Senate agenda shall consist of reports attached to resolutions. The report contains the proposed revision to university policy and all background or explanatory information about the change in policy. The Academic Senate Faculty Affairs Committee chair (or designee) is responsible for presenting the policy proposal to the Academic Senate Executive Committee and to the Academic Senate. The Academic Senate Chair (or designee) may invite interested parties concerning the policy proposals to be present at the meetings where pulled proposals will be discussed. Queries from senators regarding policy proposals are directed to the chair of the Academic Senate Faculty Affairs Committee.
- 1.6.7. Proposed revisions to university-wide faculty personnel policies should include as many of the following as are relevant to the proposal:
 - The text of the proposed policy.
 - The text of superseded policy (if available).
 - Summary of the proposed changes noting especially any revisions to reflect existing policy stated elsewhere, or any proposed changes in policy.
 - Citation of relevant documents, which may include: Academic Senate resolutions, provisions in the collective bargaining agreement, administrative memos, existing policy documents in need of revision, superseded policy statements.
 - Expected effects of the policy change on faculty units.
 - The nature of consultation with affected faculty units.
 - The timeline and nature of implementation.



OFFICE OF THE PRESIDENT

MEMORANDUM

To: Dustin Stegner, Chair
Academic Senate

Date: March 22, 2019

From: Jeffery D Armstrong, President

Copies: K. Enz Finken
M. Pedersen
A. Liddicoat
K. Brown
College Deans

Subject: Response to AS-865-19 Resolution on University Faculty Personnel Policies
Chapter 1: Preface

This memo acknowledges my support of the above-entitled Academic Senate resolution. Colleges as well as the Library are encouraged to revise their personnel policy documents to align with Chapter 1 of the University Faculty Personnel Policies (UFPP) as outlined in this resolution and supporting documentation.

Please express my appreciation to the Academic Senate members and the Academic Senate Faculty Affairs Committee for their attention to this important matter.