

Adopted: February 5, 2019

**ACADEMIC SENATE
Of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA
AS-866-19**

**RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
CHAPTER 2: FACULTY APPOINTMENTS**

Impact on Existing Policy: This resolution establishes the statement of policy about faculty appointments. Its impact on existing policy is described in the attached report.

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- 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 Committee
6 construct UFPP by proposing university-level faculty personnel policies to
7 the Senate in the form of chapters or portions of chapters of UFPP
8 according to the procedures approved in AS-829-17"; and
9
- 10 WHEREAS, AS-859-18 resolved that "By the end of Spring 2020 Colleges and other
11 faculty units reorganize their faculty personnel policy documents to
12 conform their documents to the chapter structure of UFPP"; therefore be
13 it
14
- 15 RESOLVED: The policy document contained at the end of the attached report
16 "Proposed Chapter of University Faculty Personnel Policies Document:
17 CHAPTER 2: FACULTY APPOINTMENTS" be established as Chapter 2:
18 Faculty Appointments of UFPP, and be it further
19
- 20 RESOLVED: Colleges and the Library revise their personnel policy documents by
21 Spring 2020 to have chapter 2 of their documents cover faculty
22 appointments as per chapter 2 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 2: FACULTY APPOINTMENTS**

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 2: Faculty Appointments

This chapter covers university-level requirements for all forms of faculty appointments, including:

**Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 2: FACULTY APPOINTMENTS**

- Tenure-track
- Full-time lecturer
- Part-time pool lecturer
- Non-instructional faculty

It includes the required application elements and the baseline recruitment policies, referring to the separate recruitment procedures document maintained by Academic Personnel. It directs the Colleges and Library to determine their criteria for appointment.

Impact on Existing Policy

This chapter on Faculty Appointments gives a new form of expression to pre-existing policies and requirements, but does not establish new policies. Many of the provisions of this chapter are driven by the Collective Bargaining Agreement (especially for lecturer appointments).

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges and the Library 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, they 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 and Library personnel policy documents typically include sections on faculty appointment. The establishment of this chapter of UFPP would require these provisions to be contained in Chapter 2, which would be called "Faculty Appointments." For those with well-developed personnel policy documents whose appointment policies are up-to-date, the implementation of this change would be insignificant. Those whose policies are out-of-date would now have some guidance for taking on the task of updating their policies.

The Colleges and the Library may subdivide this chapter to clarify distinctions between appointment requirements for different classifications of faculty according to their needs.

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.

The College of Liberal Arts provided editorial suggestions to clarify policy statements.

CLA also raised questions about practices in the colleges that were not reflected as university policy. The response from FAC about these questions consisted of expressing the goal of revising the policy

Proposed Chapter of University Faculty Personnel Policies Document:
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statements without revising policies. Practices common among the Colleges (and the Library) that are not reflected in university policy would remain college-level (or library) policy until some later date when FAC can consider whether to revise university-policy accordingly. The practice in questions concerns the requiring of statements of a commitment to diversity and inclusion in faculty recruitment processes.

The Library also offered some editorial suggestions.

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

2. Faculty Appointments

2.1. Summary

- 2.1.1. This chapter provides university-wide recruitment and appointment policies for faculty. Policies in this chapter refer to but do not include the more detailed hiring procedures maintained by Academic Personnel. Colleges and departments include in this chapter any specific hiring policies that go beyond the university-level policies, including any statements of their own specific criteria and requirements for their faculty appointments.
- 2.1.2. Chapter 2 was established by Academic Senate Resolution AS-866-19.

2.2. Tenure-Track Recruitment

- 2.2.1. Current University tenure-track recruitment procedures, as well as information about contract updates concerning academic appointments, are accessible at the Academic Personnel website.
- 2.2.2. Advertising and Recruitment: Tenure-track positions must be advertised nationally. Academic Personnel will place an advertisement for all tenure-track searches in publications listed in documents on the Academic Personnel website. These advertisements meet the requirement to advertise the position nationally. Departments must also place all additional advertisements listed in the required recruitment plan. A minimum 30-day period is required between the latest of all ad publication dates (whether online or print) and the closing date or review begin date. For online advertising the 30 days is counted from the first day of appearance.
- 2.2.3. Applications for tenure-track faculty positions must be submitted to the university's applicant tracking system. Application packages must include at least the following items:
 - Current Curriculum Vitae (CV)
 - At least three letters of reference
 - Unofficial transcripts at the time of application (Official transcripts required for appointment)
 - Cover Letter (preferred)
 - Other materials required by the college or department
- 2.2.4. The Search Committee, consisting of elected tenured or probationary faculty, shall use procedures as determined by the University's Procedure for Recruiting Tenure-Track Faculty and any approved college or departmental recruitment policies and procedures in addition to those listed below. With the department's recommendation and the dean's permission, FERP faculty may serve on the Search Committee. With the department's recommendation and the dean's permission, probationary faculty may serve on the Search Committee (CBA 12.22.a).
- 2.2.5. Each search committee must have one trained Employment Equity Facilitator (EEF) who shall normally be a tenured faculty member and may not be the department chair/head or the chair of the Search Committee. Information about the role of the EEF and about training for the EEF positions is available on the website of the Office of Equal Opportunity.
- 2.2.6. The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. The search committee members, or screening sub-committee members, and department chair/head shall review and sign the Personnel Action File for these candidates.

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- 2.2.7. The Search Committee shall provide a list of acceptable candidates as finalists to the department chair/head. The department chair/head shall provide appointment recommendations to the dean.

2.3. Tenure-Track Qualifications

- 2.3.1. Normally, a doctorate or other appropriate terminal degree shall be required for appointment to a tenure-track position. The appropriate terminal degree will be determined by the department and approved by the dean. In the areas where a doctorate is required, candidates who have completed all doctoral requirements but the dissertation (ABD) may also be considered during the recruitment process. However, all minimum degree requirements must be completed prior to the appointment start date.
- 2.3.2. Colleges and departments shall specify the relevant evidence of potential for excellence in university-level teaching, scholarship and service. Evidence of potential for teaching excellence in the department and/or college may include experience or potential to teach using learn by doing, project-based learning, service learning and other teaching methods that are common at Cal Poly. Evidence of potential for ongoing research, scholarship, and/or creative activity should show how candidates will remain current and contribute to the knowledge and developments within their discipline/professional field, and obtain promotion. Evidence of service should show potential to make substantive contributions to the department, college, and/or university.
- 2.3.3. 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 (CBA 13.17).

2.4. Lecturer Recruitment

- 2.4.1. Department chairs make the hiring recommendation to the deans who are the appointing authorities in the colleges responsible for approving and hiring lectures. Department faculty may be involved in screening or vetting applicants for the part-time pools or by serving on search committees for full-time lecturer recruitments.
- 2.4.2. Full-time lecturer appointments require a search with a process similar that of tenure-track searches. Colleges or departments determine the appropriate interview format for the full-time lecturers.
- 2.4.3. Advertisements need to be posted and the requisition must be open for a minimum of 30 days before review of applicants can begin.
- 2.4.4. Required documents for full-time lecturer recruitment:
- Application
 - CV
 - Cover letter (preferred)
 - List of CSU courses taught
 - Transcripts
 - Name and email address of 3 references.
- 2.4.5. Criteria for appointment for full-time lecturers are determined by the college or department. Initial appointment is for 1 academic year with a possible 1-year extension. Full-time lecturer appointments are unconditional and their work

assignment cannot be reduced once these appointments are made. The department must meet the entitlements of other lecturers listed in the order of assignment in article 12.29 of the CBA.

- 2.4.6. Most departments create a part-time lecturer pool that allows candidates to apply for consideration for appointments throughout the academic year as needed to fill positions. Applicants may apply at the start of the academic year for consideration of work assignments in any quarter or they may apply prior to the winter or spring terms. These pools are opened in April for the subsequent academic year after the spring quarter appointments have been made. Department chairs may review qualifications of the applicants and make quarter-by-quarter appointments following the order of assignment in accordance with article 12.29 of the CBA. Applicants who have worked for the department and been evaluated should be given careful consideration according to article 12.7 of the CBA. Those who have had a part-time assignment for all three quarters of an academic year and are appointed to teach in the fall quarter of the following academic year shall be appointed with a one-year part-time entitlement per article 12.3 of the CBA.
 - 2.4.7. Advertisements must to be posted and the lecturer pool must be open for a minimum of 14 days before review of candidates can begin. Part-time pools stay open until the first week of spring quarter.
 - 2.4.8. Required documents for part-time lecturer pool recruitment:
 - Application
 - CV
 - Cover letter (preferred)
 - List of CSU courses taught
 - Transcripts
 - Name and email address of 3 references.
 - 2.4.9. Criteria for appointment and level of appointment are determined by colleges or departments. Initial appointments for part-time pool lecturers can be for 1, 2 or 3 quarters. Initial appointment for 3 quarters should be for less than 45 units.
 - 2.4.10. Emergency lecturer appointments may occur for urgent and unplanned needs when no qualified candidates are available in the part-time lecturer pool and there isn't time to run a part-time lecturer pool recruitment. Such urgent and unplanned needs to appoint a lecturer may arise from another faculty member's unplanned leave of absence or a last-minute course section being opened. If this need is expected to continue, the department should plan ahead for future terms and either run a recruitment or advertise to increase the part-time pool to meet the anticipated needs of the department.
- 2.5. Other Faculty Recruitments for Library, Counseling, and Athletics**
- 2.5.1. Other faculty units should identify in their personnel policy documents the recruitment policies pertinent to their assignments.
 - 2.5.2. Other faculty recruitments should conform at least with the policies for instructional lecturer recruitments.




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-866-19 Resolution on University Faculty Personnel Policies
Chapter 2: Faculty Appointments

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 2 of the University Faculty Personnel Policies (UFPP) as outlined in this resolution and supporting documentation.

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