

Adopted: March 8, 2022

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

AS-935-22

**RESOLUTION ON UFPP 11.4.3: CHANGES IN DEPARTMENT LEADERSHIP
MODELS**

Impact on Existing Policy: UFPP 11.4.3 supersedes the formulation of policy in AS-801-15.ⁱ

1 WHEREAS, Deans are responsible for establishing the governance model for their
2 colleges in their choice of appointing department chairs or heads; and
3

4 WHEREAS, AS-801-15 established that there shall be a meaningful consultative
5 process with faculty and staff affected by a transition between chair
6 and head models of departmental leadership; and
7

8 WHEREAS, University Faculty Personnel Policies (UFPP) is the governing
9 document for faculty personnel policies at Cal Poly; therefore be it
10

11 RESOLVED: The policy contained in 11.4.3 Changes in Department Leadership
12 Models be placed in UFPP Academic Year 2022-23, and be it further
13

14 RESOLVED: By Fall 2022 Colleges revise chapter 11 of their personnel policy
15 documents as needed state their process for implementing any
16 changes in department leadership models.

Proposed by: Academic Senate Faculty Affairs Committee
Date: February 15, 2022

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.

UFPP 11.4.3 Changes in Department Leadership Models

Winter 2022

EXECUTIVE SUMMARY: The Academic Senate Faculty Affairs Committee (FAC) recommends placing university policy on consultation with faculty and staff when changing department leadership models between chairs and heads, as established in AS-801-15, into UFPP 11.4 Department Governance as UFPP 11.4.3 Changes in Department Leadership Models.

BACKGROUND: The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for approval of updates to University Faculty Personnel Policies (UFPP) including consultation with faculty affected by proposed changes and clear identification of which policy documents have been superseded by a proposed change. This process uses Academic Senate resolutions to establish new policy, revise existing policy, or substantially reformulate existing policy.

Summary

Cal Poly has long distinguished between two forms of departmental faculty leadership consisting of chairs serving terms and heads appointed indefinitely. Changes in the needs of departments and colleges may warrant transitions between these two department leadership models. Academic Senate resolution AS-801-15 established that efforts to change between leadership models include meaningful consultation between campus administration and the affected faculty and staff. President Armstrong accepted this resolution.

When the Academic Senate established University Faculty Personnel Policies (UFPP) as one of our governing policy documents, the structure of UFPP included a chapter on Governance with a proposed subchapter on Department Governance. A place for this chapter in UFPP was guided by the expectation that the policy in AS-801-15 would reside therein.

The policy states that discretion over the leadership model for departments belongs to the dean, and that changes between leadership models involve meaningful consultation between university administration and the affected faculty and staff. The university policy also required colleges to specify in their personnel policy documents the process for such changes including the nature of the required consultation.

Impact on Existing Policy

The policies contained in 11.4.3 reflect the will of the Academic Senate validated by the administration in its acceptance of AS-801-15, and hence establishes no new policy concerning the change between leadership models.

Any subordinate policy consistent with these existing university policies will remain consistent with UFPP 11.4.3. Subordinate policies inconsistent with UFPP 11.4.3 need revision.

UFPP 11.4.3 Changes in Department Leadership Models

Winter 2022

Implementation

UFPP 11.4.3 requires colleges to update their personnel policies to specify the nature of the consultative process with affected faculty and staff when the college sets out to change the leadership model for a department.

Consultation

Since there is no implementation of new policy, the FAC is engaging in consultation with the colleges simultaneous with the Senate process. Revisions will be possibly prior to the movement of the covering resolution to second reading.

What follows are the policy text and AS-801-15.

11.4.3. Changes in Department Leadership Models

11.4.3.1. [Policy history: cite AS-801-15]

11.4.3.2. The dean has discretion over the type of department chair or head appointments appropriate for the college and department.

11.4.3.3. Changes in department leadership models shall involve a consultative process with department faculty and staff.

11.4.3.4. Colleges shall specify in their personnel policy documents the process for implementing such a change in departmental leadership.

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

AS-801-15

**RESOLUTION ON THE BINDING NATURE OF COLLEGE AND DEPARTMENT
PERSONNEL POLICY AND CRITERIA STATEMENTS**

1 WHEREAS, Shared governance is a common value of Cal Poly's faculty and
2 administration; and
3

4 WHEREAS, College, school, and department personnel policy and criteria statements
5 are a concrete expression of our mutual respect for shared governance;
6 and
7

8 WHEREAS, Such a statement—once agreed upon by a department's or a school's
9 faculty and their Dean, and then formally approved by the Provost and
10 President—becomes official in the management of department or school
11 personnel matters; and
12

13 WHEREAS, Such statements are endorsed by Cal Poly administration through its
14 posting of these agreements on Cal Poly's Academic Personnel webpage
15 (<http://www.academic-personnel.calpoly.edu/content/policies/criteria>);
16 and
17

18 WHEREAS, The Dean of a school is selected by and serves at the pleasure of the Dean
19 of the college, Provost, and President; and
20

21 WHEREAS, Both department chairs and heads, are selected by and serve at the
22 pleasure of the Dean, Provost, and President, but the faculty at Cal Poly
23 recognize an important distinction between these two positions in the
24 periodic selection/endorsement by a department's faculty of its candidate
25 for chair, whereas no such regular process occurs concerning a department
26 head; and
27

28 WHEREAS, If a college's or department's personnel policy and criteria statement
29 includes detailed material concerning the selection and the term of a
30 department chair but makes no mention whatsoever of the position of a
31 department head, any effort to install a department head, interim or
32 otherwise, would therefore be contrary to the formal agreement its faculty
33 have with the administration; and

34 WHEREAS, The absence of any material in a department's or school's personnel policy
35 and criteria statement concerning a particular form of leadership position
36 may be taken to indicate the department's or school's disinterest in that
37 form of leadership; and
38

39 WHEREAS, When two parties enter into an agreement, each has the right to expect it
40 to be honored; and
41

42 WHEREAS, The unilateral discarding by campus administration of any personnel
43 policy and criteria statement originally sanctioned by them would
44 represent a serious breach of shared governance and set an alarming
45 precedent undermining faculty trust in the meaning of all such campus
46 agreements; therefore be it
47

48 RESOLVED: That, consistent with the general tenets of shared governance, any
49 intentions to convert department-chair positions to department-head
50 positions at Cal Poly shall include meaningful two-way consultation
51 between campus administration and the faculty of the departments and
52 programs so involved; and be it further
53

54 RESOLVED: That all Dean-, Provost-, and President-approved college, school, and
55 department personnel policy and criteria statements currently in effect or
56 adopted in the future be considered fully binding unless and until such
57 time as they are formally revised and approved by mutual agreement of a
58 department's faculty, their Dean, the Provost, and the President.

Proposed by: Academic Senate Executive Committee

Date: May 8, 2015

Revised: May 15, 2015

Revised: May 26, 2015

State of California
Memorandum

CAL POLY
SAN LUIS OBISPO

To: Gary Laver
Chair, Academic Senate

Date: June 30, 2015

From: Jeffrey D. Armstrong
President

Copies: K. Enz Finken
A. Liddicoat

Subject: Response to Academic Senate Resolution AS-801-15
Resolution on the Binding Nature of College and Department Personnel Policy and Criteria
Statements

This memo acknowledges receipt of the above-entitled Academic Senate resolution. I reaffirm my support of our campus shared governance model.

Please express my appreciation to the Academic Senate Executive members for their attention to this important matter.



OFFICE OF THE PRESIDENT

MEMORANDUM

To: Thomas Gutierrez
Chair, Academic Senate

Date: April 18, 2022

From: Jeffrey D. Armstrong
President

Copies: Ken Brown
Amy Fleischer
Damon Fleming
Bruno Giberti
Cynthia Jackson-Elmoore
Al Liddicoat
Adriana Popescu
Kathryn Rummell
Christine Theodoropoulos
Andy Thulin
Dean Wendt
Philip Williams

Jeffrey D. Armstrong

Subject: Response to AS-935-22 Resolution on Revisions to University Faculty Personnel Policies 11.4.3: Changes in Department Leadership Models

By way of this memo, I acknowledge and approve the above-entitled Academic Senate resolution. Colleges, as well as the library, are encouraged to revise their personnel policy documents to include clarity of the discretionary university policy considerations and align with Subchapter 11.4.3 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.