

Adopted: May 17, 2022

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

**AS-940-22**

**RESOLUTION ON UFPP 11.4.2 DEPARTMENTAL ROLE IN THE SELECTION PROCESS FOR  
CHAIRS AND HEADS**

**Impact on Existing Policy: Policy enacted by this resolution includes expressions of already established policy based on AM-20171030 in UFPP Appendix. Policy in 11.4.1 was established in AS-934-22 and the editorial revisions attached here supersede that language for UFPP 2022-23.<sup>i</sup>**

1 WHEREAS, Departmental voting procedures for recommendations to deans for  
2 internal department chairs and heads are limited by policy established in  
3 AM-20171030: Settlement on Lecturer Voting; and  
4

5 WHEREAS, These policies on voting procedures are expressed in “Cal Poly Election  
6 Process for Internal Department Heads/Chairs” available on the  
7 Academic Personnel website; and  
8

9 WHEREAS, The scope of the ways departments work with deans in the selection of  
10 departmental leadership should be clear to faculty and administration;  
11 and  
12

13 WHEREAS, The nature of acting and interim chair and head appointments should be  
14 clear to faculty and administration; and  
15

16 WHEREAS, University Faculty Personnel Policies (UFPP) is the governing document  
17 for faculty personnel policies at Cal Poly with its appendix containing  
18 administrative memos, therefore be it  
19

20 RESOLVED: The policy contained in UFPP 11.4.2 Departmental Role in the Selection  
21 Process for Chairs and Heads be placed in UFPP Academic Year 2022-23,  
22 along with other revisions in 11.4.1, and be it further  
23

24 RESOLVED: “Cal Poly Election Process for Internal Department Heads/Chairs” be  
25 placed in UFPP Appendix, and be it further  
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27 RESOLVED: By Fall 2022 colleges and the library revise chapter 11 of their personnel  
28 policy documents as needed to conform with 11.4.

Proposed by: Academic Senate Faculty Affairs Committee  
Date: March 29, 2022

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<sup>i</sup> (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 11.4.2 Departmental Role in the Selection Process for Chairs and Heads

Spring 2022

**EXECUTIVE SUMMARY:** Academic Senate Faculty Affairs Committee (FAC) proposes placing into UFPP policies on the departmental role in the selection of chairs or heads, including existing policy on requirements for lecturer participation in any departmental voting procedures for such recommendations as well as policies pertaining to appointment of acting and interim chairs and heads.

**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

Administrative memos establishing university personnel policies reside in the UFPP Appendix, updated annually and available on the Academic Personnel website. In Fall 2017 a no-fault settlement to a grievance established university level policy on departmental voting procedures concerning the advising of deans in the appointments of internally selected chairs and heads. This policy required such elections to include 12.12 (3-year) faculty along with tenure-line faculty equivalently in such elections, and required other lecturers to have a separate advisory vote. An email to the faculty on this matter is in UFPP Appendix as AM-20171030: Settlement on Lecturer Voting. The document “Cal Poly Election Process for Internal Department Heads/Chairs” from February 8, 2018 expresses these requirements in policy form, and therefore should be placed in the UFPP Administrative Memos appendix as AM-20180208.

FAC proposes placing these existing policies into UFPP 11.4.2, along with other related policies concerning the departmental role in the selection of department chairs and heads. These other policies cover acting and interim chair and head appointments, external searches for chairs and heads, and the role of faculty, including lecturers, in these procedures.

### Impact on Existing Policy

The policies concerning voting procedures contained in UFPP 11.4.2 expresses current policy and practice at Cal Poly. The impact on existing policy by placing these policies in UFPP amounts to formalizing existing practice and standardizing vocabulary about department leadership. College and library personnel policies must conform with the policies in 11.4.2 concerning acting and interim chair and head appointments.

## **UFPP 11.4.2 Departmental Role in the Selection Process for Chairs and Heads**

Spring 2022

### **Implementation**

College and department personnel policies concerning voting procedures for recommendations to the dean of internal chair/head candidates, as well as the other policies about departmental roles in selections of chairs and heads and the nature of acting and interim appointments need to be updated to cite UFPP 11.4.2.

### **Consultation with Faculty Units**

Consultation on this matter is concurrent with its placement on the Academic Senate Executive Committee and main meeting agendas. Deans have provided feedback from their colleges and their own feedback on the formulation of these policies.

What follows is the proposed text of 11.4.2 contained within the entirety of subchapter 11.4, and the administrative documents to be placed in UFPP Appendix.

The policies in 11.4.1 and 11.4.3 were recently passed by the Senate and endorsed by Pres. Armstrong. The proposed policies for 11.4.2 are best seen in the context of the whole of 11.4, and so we provide the entirety of that subchapter here. Policy in 11.4.1. includes cross references to 11.4.2 and some editorial revisions.

#### 11.4. Department Governance

##### 11.4.1. Department Leadership

11.4.1.1. Policy in 11.4.1 established by AS-934-22.

11.4.1.2. Department chairs and heads are faculty who have administrative functions as part of their assignment. Department chairs and heads serve at the pleasure of the dean. Appointment of chairs and heads are made by the dean after consultation with the faculty, the provost, and the president. Consultation with the faculty includes the departmental selection processes contained in 11.4.2.

11.4.1.3. In exceptional cases MPP administrators may be appointed as chairs or heads on an acting or interim basis. Also, department chairs and heads may be appointed to MPP positions on an interim basis. Acting and interim chair and head appointments are covered further in 11.4.2.

11.4.1.4. Department chairs receive three-year renewable appointments. The definite term of chair appointments allows for a rotation of department leadership providing new leadership, fresh ideas, shorter term action plans, and the opportunity for more faculty to rotate through this leadership role.

11.4.1.5. Department heads receive appointments over an indefinite period, providing long-term continuity of leadership within their department and college.

11.4.1.6. Deans determine whether a department chair or department head appointment best suits the needs of the department and college.

11.4.1.7. Department chairs and heads may have academic year appointments, 12-month appointments. The nature of the appointment depends on the nature of their duties in the academic year and during summer, as determined by the dean, and are compensated accordingly.

11.4.1.8. The responsibilities and priorities of department chairs and heads will vary across colleges, departments, and individuals. Departments have varying models of how the responsibilities listed below will be accomplished. Although there are many items listed among responsibilities of department chairs and heads, some of these items may be delegated to other faculty and staff depending on the size of the department, organizational structure, support staff and the fraction of the assignment of department chairs or heads that is dedicated to administrative duties. The college deans will help the department chairs and heads understand the prioritization of these duties in conjunction with the college and department's vision and goals.

11.4.1.9. Academic Personnel maintains a document describing in detail the responsibilities and priorities of department chairs and heads, including the following areas of management and leadership for the department:

- Administration of department affairs

- Budget development and administration
- Department personnel
- Academic programs and curriculum
- Student engagement and success
- Advocacy for the department's interests
- Community engagement and development activities

11.4.1.10. Department chairs and heads are subject to annual administrative review. This administrative review is wholly distinct from faculty evaluations that are covered in UFPP 4-6. The administrative review of department chairs and heads is conducted by the dean.

#### 11.4.2. Departmental Role in the Selection Process for Chairs and Heads

11.4.2.1. Policy in 11.4.2 established by [cite Senate action] and AM-20171030, editorially revised in [AM-20180208].

11.4.2.2. Processes conducted within a department for selection of candidates for department chairs and heads are advisory, providing recommendations from the department faculty to the dean, and shall be specified in department or college faculty personnel policy documents. Departments may recommend to the dean one or more candidates for chair or head.

11.4.2.3. The departmental practice for selecting candidates for department chairs or heads shall involve voting among the department faculty incorporating the voting requirements outlined below. These voting requirements represent a minimum; departments may modify their department chair or head recommendation policies through the joint governance process approved by the dean.

11.4.2.3.1. All 12.12 (3-year) lecturers, including counselors and librarians, with an appointment in the academic term of the vote will be eligible to participate in the vote to recommend a department chair or head, with a full vote in their department voting process. Nothing in the balloting process will differentiate the three-year lecturers' vote from tenured and tenure-track faculty votes for department chair or head recommendations.

11.4.2.3.2. All other lecturers will be granted an advisory vote. These advisory votes will be differentiated and summarized separately from the votes of the 12.12 (3-year) lecturers, tenured faculty, and tenure-track faculty.

11.4.2.3.3. Lecturers shall be notified regarding the department voting process in the same manner as all tenured and tenure-track faculty.

11.4.2.3.4. Lecturers eligible to cast a vote or an advisory vote shall be afforded the same opportunity as tenured and tenure-track faculty to attend regularly scheduled department meetings when department chair or head recommendation balloting is scheduled.

11.4.2.4. The results of all departmental voting shall be included in the department's basis for recommendations of suitable candidates from the department to the dean.

11.4.2.5. An acting chair or head may be appointed from faculty within the department, from faculty not in the affected department, or from administrators. Acting chairs and heads are intended to serve for short periods when the current chair or head is unable to serve (e.g. while on sabbatical or leave). Standardly, acting chair appointments are for periods shorter than one year when the current chair is expected to return. Since appointments of acting chairs and heads can be time sensitive and may occur on occasions when it is not feasible to consult with the affected department ahead of the appointment, deans may use their discretion about whether or not to consult with department faculty in appointment of an acting chair or head.

11.4.2.6. An interim chair or head may be appointed from faculty within the department, from faculty not in the affected department, or from administrators. Interim chairs and heads are intended to serve until the dean makes a standard appointment of a department chair or head (as covered in 11.4.1). The initial appointment of an interim chair or head shall be for a defined period no longer than one year, and renewed as needed. Since initial appointments of interim chairs and heads can be time sensitive and may occur on occasions when it is not feasible to consult with the affected department ahead of the appointment, deans may use their discretion about whether or not to consult with department faculty in the initial appointment of an interim chair or head. When an extension of an interim appointment is necessary, the dean shall solicit feedback from all department faculty, including all lecturers with an appointment in the academic term when the feedback is collected, for use in the dean's decision about the interim chair or head reappointment.

11.4.2.7. In exceptional cases the college may undergo a standard faculty recruitment to hire a department chair or head. In addition to all the normal aspects of a faculty recruitment, the chair of the search committee shall solicit feedback from all lecturers with an appointment in the academic term of the search; these lecturers will be granted a full advisory vote, which will be presented to the faculty search committee. This advisory vote shall be included in the basis for recommendations of suitable candidates from the search committee to the dean. The result of a successful search for a new faculty member to serve as chair or head shall be a standard chair or head appointment as covered in 11.4.1.

#### 11.4.3. Changes in Department Leadership Models

11.4.3.1. Policy in 11.4.3 established by AS-935-22, superseding 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.





OFFICE OF THE PRESIDENT

**MEMORANDUM**

**To:** Thomas Gutierrez  
Chair, Academic Senate

**Date:** August 4, 2022

**From:** Jeffrey D. Armstrong  
President

**Copies:** Ken Brown  
Amy Fleischer  
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Andy Thulin  
Dean Wendt  
Philip Williams

*Jeffrey D. Armstrong*

**Subject:** Response to AS-940-22 Resolution on UFPP 11.4.2 Departmental Role in the Selection Process for Chairs and Heads

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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 11.4.2 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.