

CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California 93407
ACADEMIC SENATE

FILE COPY

Executive Committee Agenda
Tuesday, May 20, 1986
FOB 24B, 3:00-5:00 p.m.

| <u>MEMBER:</u> | <u>DEPT:</u> | <u>MEMBER:</u> | <u>DEPT:</u> |
|---------------------|--------------|--------------------|--------------|
| Ahern, James | Ag Mgmt | Hallman, Barbara | History |
| Bonds, Robert | LAC | Kersten, Timothy | Economics |
| Botwin, Michael | Arch Engr | Lamouria, Lloyd H. | Ag Engr |
| Cooper, Alan F. | Biology | Olsen, Barton | History |
| Forgeng, William | Metallur Sci | Riener, Kenneth | Bus Admin |
| Fort, Tomlinson Jr. | Adm | Terry, Raymond | Mathematics |
| Gamble, Lynne E. | Library | | |
| Gay, Larry | Ind Tech | | |
| Gooden, Reg | Poli Sci | | |

Copies: Baker, Warren J.
Irvin, Glenn W.

- I. Minutes: Approval of the May 6, 1986, Executive Committee Minutes (attached pp. 3-8).
- II. Announcements:
- III. Reports
- A. President/Provost
 - B. Statewide Senators
 - C. Why Alpha Chi was turned down-Forgeng, Chair, Student Affairs Committee.
- IV. Business Items:
- A. Consent Agenda:
 - 1. Conflict-of-Interest Policy for Principal Investigators-Andrews, Chair, Personnel Policies Committee/McNeil, Chair, Research Committee (attached pp. 9-16) (To be forwarded directly to Jan Pieper).
 - 2. Proposed Dean Evaluation Resolution and Form-Andrews, Chair, Personnel Policies Committee (attached pp. 17-20).
 - 3. Revised Enrollment Recommendations-French, Chair, Long Range Planning Committee (attached pp. 21-24).
 - 4. Resolution on AIMS Quarterly Budget Reporting-Pohl, Chair, Budget Committee (attached p. 25).
 - 5. Resolution on CSU Trustee Professorship-Andrews, Chair, Personnel Policies Committee (attached p. 26).
 - B. Distinguished Teaching Awards - Conflict between Executive Committee Minutes of September 24, 1985 (attached p. 27) and Distinguished Teaching Awards Committee recommendation of May 6, 1986 (attached pp. 28-30). Based upon our September recommendation, President Baker proceeded in good faith with the Alumni Association. The Academic Senate Chair recommends that we honor our September commitment. Perhaps an alternate title which would include the word Alumni would be acceptable to all concerned. (See sample on p. 30.) - Hensel, Chair, Distinguished Teaching Awards Committee.

minutes removed

Continued on Page Two

- C. Second Consideration of PCP Recommendations-Pohl, Chair, Budget Committee (attached pp. 31-35).

V. Discussion Items:

- A. Resolution re Vacancies Remaining After an Election, (Resolution on Amendments to the Bylaws for the Elections Committee), Rogalla, Chair, Constitution & Bylaws Committee (attached pp. 36-37).
- B. Resolution re Senators-At-Large to Represent Instructional Department Heads/Chairs (Resolution on Amendment to the Constitution), Rogalla, Chair, Constitution & Bylaws Committee (attached pp.38-40).

VI. Adjournment:

Memorandum

1 : Lloyd Lamouria, Chair
Academic Senate

Date : May 13, 1986

File No.:

Copies :

From : Robert J. McNeil, Chair and Charles Andrews, Chair
Research Committee Personnel Policies Committee

Subject: Suggested Revisions in Proposed Conflict of Interest Policy for
Principal Investigator of Nongovernmental Sponsored Research

Suggested revisions by both committees are attached. The revised proposal will be retyped before being forwarded to Jan Pieper.

Proposed Conflict of Interest Policy
for Principal Investigator
of Nongovernmental Sponsored Research

I. General Guidelines

- A. This policy is intended to implement the ~~Fair Political Practices Commission's (FPPC)~~ approved CSU Conflict of Interest Policy. (For the purpose of this document, the term "Principal Investigator" will also refer to the Project Director of a research activity.)
- B. Pursuant to CSU Conflict of Interest Code, Principal Investigators will be required to disclose investments in and income from any private, nongovernmental entity which he or she intends to ask for funds, or in the case of a project completion statement, has provided funds to support, in whole or in part, the research project for which the filer is the Principal Investigator.
- C. The Vice President for Academic Affairs shall be the President's ^S Designee for ensuring compliance with this policy, ~~and shall annually appoint an Independent Review Committee to review and make recommendations on individual cases.~~
shall chair an Independent Review Committee and
- D. The Director of Research Development ~~will~~ provide a copy of this policy statement to Principal Investigators at the time of application for a research project to be sponsored by a

nongovernmental entity through a grant or contract. Instructional deans will provide a copy of these guidelines to faculty who are requesting or have received a restricted gift for research from a nongovernmental entity.

- E. A Principal Investigator is required to file the "Principal Investigator's Statement of Economic Interest" (~~FPPC Form 730-U~~) with the Director of Research Development and such research may not proceed without completion of the financial disclosure statement.
- F. The Principal Investigator must complete the application and project completion disclosure statements (1) whenever he or she makes application for a new or renewal contract or grant with a nongovernmental entity ^{applicable} including non-profit organizations, ~~if they are not on the Fair Political Practices Commission's approved list~~, or (2) whenever a gift is specified by a donor for a specific research project for which the Principal Investigator is responsible. The disclosure must be made on a "Principal Investigator's Statement of Economic Interest" form (~~FPPC Form 730-U~~) before the proposed gift is accepted or application is made for a new or continued nongovernmental funded research project or grant. A second ^{"Principal Investigator's Statement of Economic Interest"} ~~Form 730-U~~ must be filed within 90 days after the gift funds are exhausted, or the research project is completed.

G. Financial interest is defined as:

1. any business entity and/or real property in which the Principal Investigator has a direct or indirect investment or interest valued at more than one thousand dollars (\$1,000);
2. any source of income (other than from a commercial lending institution which makes loans in the regular course of business on terms available to the public without regard to official status) which has yielded two hundred fifty dollars (\$250) or more in value provided to the Principal Investigator within twelve months prior to the time when the decision is made; or
3. any business entity in which the Principal Investigator is a director, officer, partner, trustee, employee, or holds any position of management.

H. When disclosure indicates that a financial interest exists, an independent substantive review of the disclosure statement and research project shall take place with appropriate documentation before a contract, grant, or gift is accepted. (See Section II)

I. Department heads/chairs shall disqualify themselves from approving a research proposal for a project to be funded in whole or in part by a nongovernmental entity in which they have a financial interest;

- J. Failure by a Principal Investigator to make the required disclosure or by a department head/chair to disqualify himself or herself may result in a State enforcement proceeding as well as University sanctions.
- K. If the financial disclosure by the Principal Investigator indicates that he/she had no financial interest in the granting or contracting concern, then the research does not require the review of the Independent Review Committee.
- L. If a Principal Investigator has a financial interest as defined in I.G. above, he/she shall not make, participate in making, or use his/her position to influence the making of any decision by Cal Poly which will foreseeably have a material financial effect on the sponsor. This provision does not apply to decisions that will need to be made in the course of research.
- M. If, during the course of a research project, the status of the Principal Investigator with the nongovernmental sponsor or donor changes, then an additional "Statement of Financial Interest" must be filed.

II. Composition and Function of the Independent Review Committee

A. Composition

1. Annually, the Director, Research Development, shall ~~appoint and~~ chair an Independent Review Committee consisting of the following:

- a. a faculty member selected by the Academic Senate;
- b. Foundation Executive Director's designee;
- c. Chair, University Research Committee or designee.

2. An ad-hoc alternate will be appointed ^{by the chair} if a member of the Independent Review Committee is in the same department or occupational area as the proposed Principal Investigator.

B. Function of the Independent Review Committee

1. The purpose of the Independent Review Committee is to conduct a substantive review of a research project and the financial disclosure statements of a Principal Investigator when a financial interest as defined in Section I.G exists between the Principal Investigator and the nongovernmental sponsor or donor.
2. In making a recommendation to the President, the Independent Review Committee will consider at least the following criteria:
 - a. Is the research appropriate to the University?

- b. Are the teaching and research environments open?
 - c. Is there freedom to publish and disseminate the results of the project?
 - d. Is the use of the University facilities appropriate and properly reimbursed?
 - e. Is the nature of the Principal Investigator's financial interest in the nongovernmental entity such that a substantial conflict of interest is unlikely to occur and would not compromise the quality and objectivity of the research?
3. On completion of its deliberations, the Independent Review Committee shall file a report with the Vice President for Academic Affairs. At a minimum, in the case of a grant, the report by the Independent Review Committee will consist of:
- a. name of Principal Investigator
 - b. name of project or topic or research activity
 - c. period of performance
 - d. date reviewed by the Independent Review Committee
 - e. funds proposed or awarded
 - f. documents reviewed by the Independent Review Committee
 - g. nature of financial interest

- h. criteria used by Independent Review Committee
- i. assessment of the probability of the financial involvement leading to a conflict of interest

On the basis of the review, the Independent Review Committee will recommend to the Vice President for Academic Affairs, or designee, whether funding for the research project should be accepted and, if so, whether any conditions are needed.

III. University Action

After considering the report submitted by the Independent Review Committee, the Vice President for Academic Affairs will determine whether to accept a contract or grant sponsored in whole or in part by the nongovernmental individual or entity, or a gift earmarked for a specific researcher or a specific research project. Copies of the disclosure statements, the Independent Review Committee's recommendations, and the written decision resulting from the independent review process are to be provided to the campus Conflict of Interest Filing Officer and the President. These documents will be available on campus to the public upon request.

**ACADEMIC SENATE
OF
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California**

Background Statement:

In April 1985, Provost Fort requested the Academic Senate to have the Personnel Policies Committee review and make recommendations as to the most appropriate means of evaluating deans and department heads by the faculty. The Personnel Policies Committee has been working on a new format for the dean's evaluation instrument, which is the basis for this resolution.

AS-____-86/____

**RESOLUTION ON
SCHOOL DEAN EVALUATIONS**

- WHEREAS, The dean has primary responsibility for leadership of the school in the allocation and utilization of financial resources, quality of academic programs, admissions and dismissal of students, appointment, retention, tenure, and promotion action, long-range direction of the school, development of external financial resources, and the representation of the school both internal to the university and to external constituents; and
- WHEREAS, The faculty of a school is directly affected by the dean's performance in meeting these responsibilities; and
- WHEREAS, Faculty members are in the closest relationship with the dean to observe his/her performance in fulfilling these responsibilities; and
- WHEREAS, The dean's evaluation by the faculty is utilized for the purpose of providing evaluative information to the Academic Vice President, and
- WHEREAS, Each probationary and tenured faculty member, including those persons in the Faculty Early Retirement Program (FERP), has a professional responsibility to complete the evaluation form each year, in order to provide useful and timely input to the Academic Vice President; therefore, be it
- RESOLVED: That the attached evaluation form be adopted for use by the faculty in evaluating the dean of each school; and be it further
- RESOLVED: That the Academic Senate recommends that said evaluation results be a major part of the Academic Vice President's evaluative consideration of each dean.

Proposed By:
Personnel Policies Committee
May 20, 1986

ANNUAL EVALUATION OF ACADEMIC DEANS

Each probationary or tenured faculty member has a professional responsibility to submit an evaluation of their School Dean. Your participation is of utmost importance if the evaluations are to be given serious consideration by the Academic Vice-President in his evaluation of the Dean. Good performance should be recognized and inadequate performance should be identified.

Dean being evaluated: _____

Please indicate how frequently you interact professionally with your Dean:

a. On an individual basis?

Weekly Monthly Quarterly Annually Never

b. As part of a group?

Weekly Monthly Quarterly Annually Never

Using the scale provided for each of the following items, please circle the number corresponding to how you rate your Dean performance during this academic year.

| | | | | | |
|--------------|---------------------|---|---|--|------------------|
| Can't Say | Unsatis- factory | | | | Out- Standing |
| 0 | 1 2 3 | 4 | 5 | | |

I. SCHOOL LEADERSHIP

| | | | | | | |
|---|---|---|---|---|---|---|
| A. Engages in long-range planning | 0 | 1 | 2 | 3 | 4 | 5 |
| B. Promotes improvement in curricula | 0 | 1 | 2 | 3 | 4 | 5 |
| C. Promotes improvement in goal policies and procedures | 0 | 1 | 2 | 3 | 4 | 5 |
| D. Encourages professional development | 0 | 1 | 2 | 3 | 4 | 5 |
| E. Recognizes professional accomplishments of school faculty | 0 | 1 | 2 | 3 | 4 | 5 |
| F. Works to enhance the professional reputation of the school | 0 | 1 | 2 | 3 | 4 | 5 |
| G. Adequately represents department positions and concerns to the university administration | 0 | 1 | 2 | 3 | 4 | 5 |
| H. Supports recruiting of high-quality students | 0 | 1 | 2 | 3 | 4 | 5 |
| I. Supports recruiting of high-quality faculty | 0 | 1 | 2 | 3 | 4 | 5 |
| J. Recruits high-quality support staff for Deans office | 0 | 1 | 2 | 3 | 4 | 5 |
| K. Fosters alumni relations | 0 | 1 | 2 | 3 | 4 | 5 |

| | Can't Say 0 | 1 | Unsatis- factory 2 | 3 | 4 | Out- Standing 5 |
|--|-------------------|---|--------------------------|---|---|-----------------------|
| II. MANAGEMENT AND ADMINISTRATION | | | | | | |
| A. Objectively enforces established policy | 0 | 1 | 2 | 3 | 4 | 5 |
| B. Makes decisions effectively | 0 | 1 | 2 | 3 | 4 | 5 |
| C. Allocates budget and resources properly and fairly | 0 | 1 | 2 | 3 | 4 | 5 |
| D. Provides faculty with a report on use of state funds | 0 | 1 | 2 | 3 | 4 | 5 |
| E. Obtains resources as required | 0 | 1 | 2 | 3 | 4 | 5 |
| F. Provides faculty with a report on use of discretionary funds | 0 | 1 | 2 | 3 | 4 | 5 |
| G. Manages within-school personnel relations effectively | 0 | 1 | 2 | 3 | 4 | 5 |
| H. Effectively implements affirmative action | 0 | 1 | 2 | 3 | 4 | 5 |
| I. Handles conflicts and differences fairly | 0 | 1 | 2 | 3 | 4 | 5 |
| J. Provides suitable working conditions | 0 | 1 | 2 | 3 | 4 | 5 |
| K. Assures appropriate use of facilities | 0 | 1 | 2 | 3 | 4 | 5 |
| III. COMMUNICATION | | | | | | |
| A. Explains matters completely | 0 | 1 | 2 | 3 | 4 | 5 |
| B. Communicates with clarity | 0 | 1 | 2 | 3 | 4 | 5 |
| C. Provides information on a timely basis | 0 | 1 | 2 | 3 | 4 | 5 |
| D. Is diplomatic | 0 | 1 | 2 | 3 | 4 | 5 |
| E. Solicits faculty input as appropriate | 0 | 1 | 2 | 3 | 4 | 5 |
| F. Consults with faculty on matters which affect them personally | 0 | 1 | 2 | 3 | 4 | 5 |
| G. Keeps the school adequately informed about relevant issues | 0 | 1 | 2 | 3 | 4 | 5 |
| IV. PERSONAL QUALITIES | | | | | | |
| A. Is current and informed in the appropriate professional areas | 0 | 1 | 2 | 3 | 4 | 5 |
| B. Is open and flexible regarding alternative points of view | 0 | 1 | 2 | 3 | 4 | 5 |
| C. Demonstrates integrity in performing his responsibilities | 0 | 1 | 2 | 3 | 4 | 5 |
| D. Is available as needed | 0 | 1 | 2 | 3 | 4 | 5 |
| Overall, how do you rate your Dean? | | 1 | 2 | 3 | 4 | 5 |

V. WRITTEN COMMENTS

A. Please describe any actions by your Dean that you have been either especially pleased or displeased with during the year.

B. What suggestions do you have for how your Dean could improve his functioning?

-21-
RECEIVED

Memorandum

MAY 6 1986

Academic SenateTo : Lloyd Lamouria, Chair
Academic Senate

Date : 2 May 1986

File No.:

Copies :

From : Long Range Planning Committee

Subject: Revised Enrollment Recommendations

These enrollment management recommendations were developed by the Long Range Planning Committee in response to your request of 6 January 1986. The Resolution on Strategic Planning adopted by the Academic Senate in April 1985 also identified enrollment as an area with several key issues related to Cal Poly's future over the next decade.

There is strong consensus on the Long Range Planning Committee to hold the size of Cal Poly at 14,200 FTE until such time as the current shortages of facilities (e.g. classrooms, laboratories, faculty offices) are corrected (see Figure 1). This would suggest that any increase in enrollment beyond our authorized 14,200 should only occur when currently planned physical plant expansion projects are completed in 1990-91. We understand that 1985-86 enrollment is already somewhat greater than the 14,200 FTE for which we are funded. This suggests some short term decrease in the number of students is needed.

The 1990-91 completion of the adequate facilities needed to serve our current enrollment level coincides with a projected short term decline in the number of students graduating from California high schools (see Figure 2). The committee understands that the CSU is likely to expand considerably over the next ten years due in part to changing eligibility standards. It is important to note, however, that although the total number of high school graduates in 1994 will be nearly equal to the number in 1987, the ethnic mix of these students will be very different. This factor may actually decrease the number of applicants to Cal Poly.

Before the committee can support an increase of 800 FTE students we feel that two issues must be carefully considered: (1) How will these additional 800 students be distributed among new and existing programs? (2) How and when will the whole range of additional staff and facilities be added to handle these new students? The committee strongly recommends that any such expansion should only occur after a detailed expansion plan is developed. Such a plan would address the number and timing of new students, their level (freshman, transfer, or graduate) and their school and area. It would also address the timing and location of facilities to serve these students. Such facilities would include not only classrooms and laboratories, but also faculty offices (at least 50 at present student-teacher ratio on campus), parking, recreation (land and facilities), housing and support staff. The committee reiterates its recommendation that such facilities should be in place before students.

Memo to Lloyd Lamouria
From Steve French
28 April 1986 - page 2

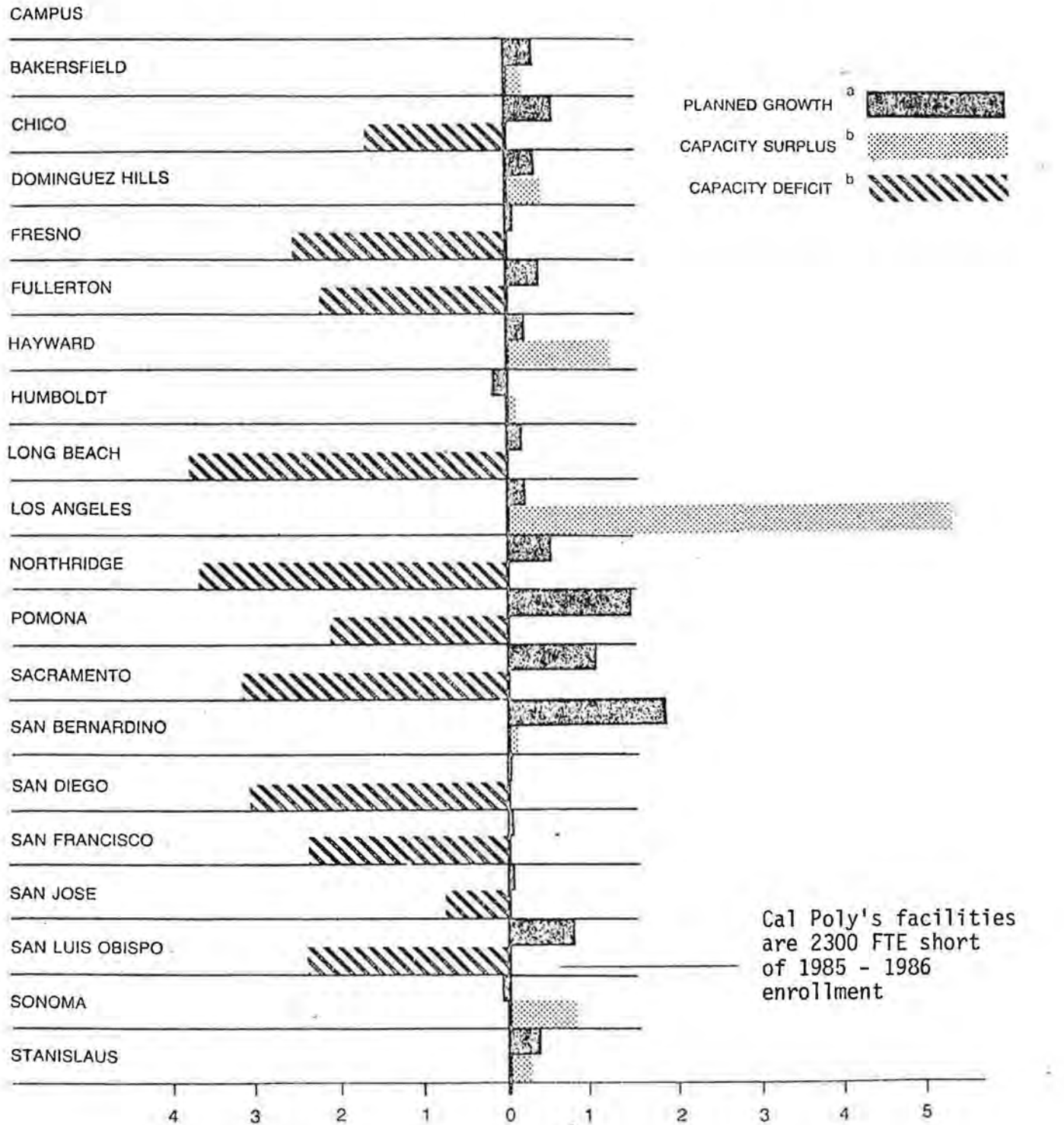
The committee understands even with limited expansion careful scrutiny of both new program proposals and existing programs is needed. The committee feels that such limits need not preclude curriculum adjustments to the changing economic, technological, and population trends. It does, however, suggest such adjustments must be made by shifting enrollment and resources within the university. We feel that such adjustments can only be made in consultation with individual departments and faculty.

In terms of the mix of first time freshman and transfer students for the campus as a whole, the committee recognizes that the current mix at Cal Poly (approximately 60% first-time freshman, 40% transfer) is nearly the reverse of the CSU as a whole. The committee also recognizes that Cal Poly and the CSU system have a unique responsibility in providing community college students an opportunity to complete their educations. It should also be noted that transferring from the community college system provides increased access to the increasing proportion of minority and ethnic students. The proportion of these students among California high school graduates will increase dramatically over the next fifteen years. We also note that an increased proportion of graduate and transfer students should place less demand on the currently overstressed areas of general education. The smaller size of upper division classes allows more focus on individual students, but greatly expands faculty loads in the major departments. However, the committee also recognizes that the effects of radically different admission ratios for first time freshman and transfer students are not clear, particularly as they may effect already heavily impacted departments. More careful study of this issue is needed.

To make informed decisions on detailed enrollment management issues such as growth areas and possible program reductions, the committee suggests that three things are needed:

- 1) The faculty at all levels (i.e. the Academic Senate, the Executive Committee, the faculty at large) needs to be better informed on the consequences of various enrollment policies;
- 2) a more structured process for faculty involvement in the decision-making process must be developed; and
- 3) proposed enrollment management decisions should be discussed with the affected departments before they are finalized.

THE CALIFORNIA STATE UNIVERSITY
COMPARISON OF AVAILABLE CAPACITY TO
PLANNED ENROLLMENT GROWTH BY CAMPUS
FULL-TIME EQUIVALENT STUDENTS (IN THOUSANDS)



CAPACITIES ARE BASED UPON
CALIFORNIA POSTSECONDARY
EDUCATION COMMISSION ADOPTED
UTILIZATION STANDARDS
February 3, 1986

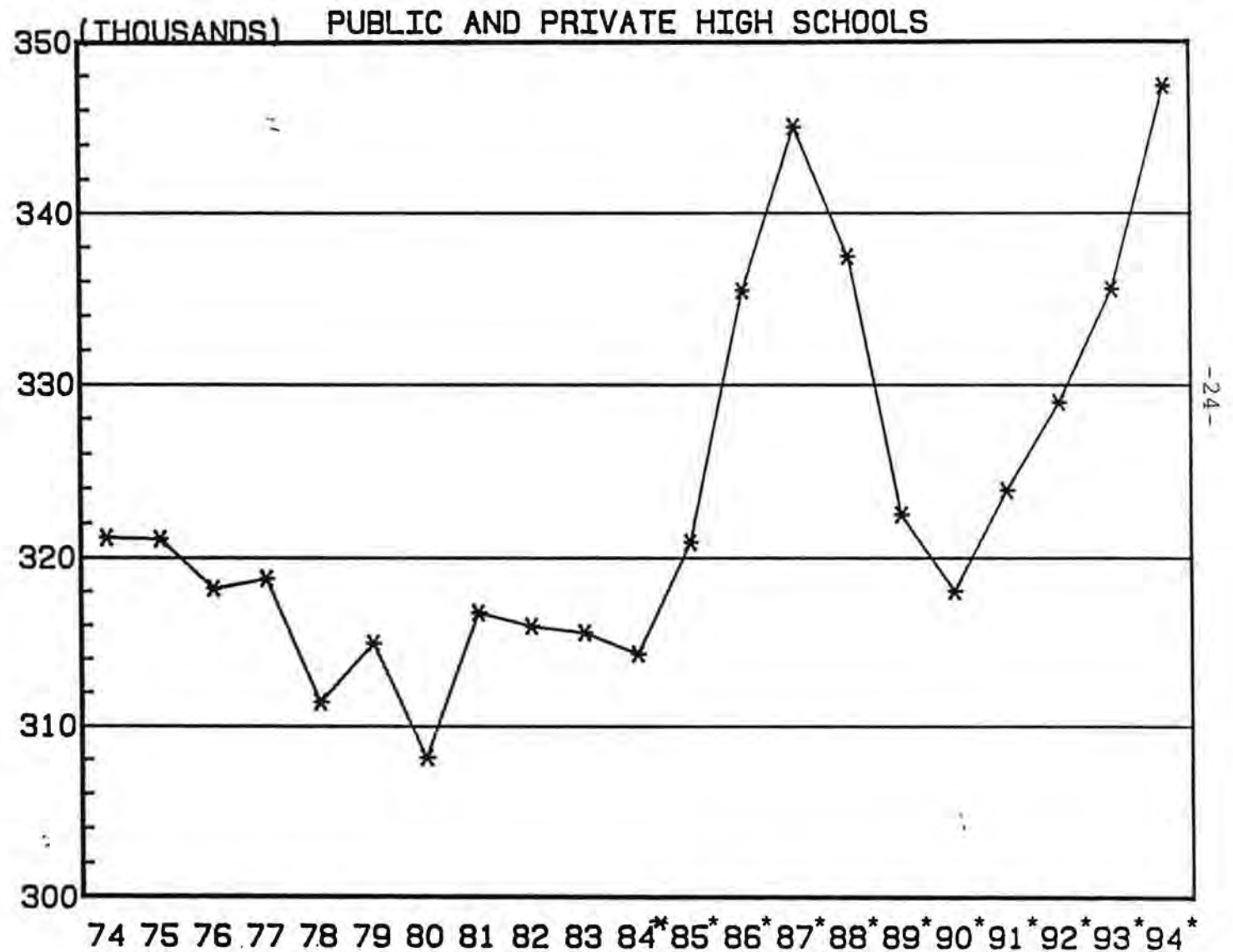
a 1986/87 TO 1991/92

b CAPACITY DEFICIT OF SURPLUS COMPARED TO
1985/86 ENROLLMENTS (FTE)

Figure 1

Figure 2

ACTUAL AND PROJECTED GRADUATES



Total Grads

Source:
State of California, Department of Finance
Population Research Unit (6/25/85)
MWW/3-13-86

STATE OF CALIFORNIA

*Projected

ACADEMIC SENATE
OF
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California

Background statement:

The Budget Committee at its meeting on Tuesday, May 6, 1986, unanimously M/S/P the following resolution relating to the AIMS project:

AS-____-86/____

RESOLUTION ON
AIMS Quarterly Budget Reporting

RESOLVED: That a quarterly report be provided to the Chair of the Academic Senate and the Chair of the Academic Senate Budget Committee by the Vice President for Business Affairs covering the AIMS project financial situation during the first three years of implementation, and that said report should include all costs and expenses associated with the project and all funding sources and amounts which directly affect the California Polytechnic State University campus.

Proposed By:
Budget Committee
May 20, 1986

ACADEMIC SENATE
OF
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California

AS-____-86/____

RESOLUTION ON
CSU TRUSTEE PROFESSORSHIP

- WHEREAS, The Board of Trustees of The California State University has established a faculty position known as Trustee Professor; and
- WHEREAS, The position is specifically designated to be occupied by the tenured former President, Chancellor, or Vice Chancellor; and
- WHEREAS, A person appointed to said position may request such an appointment to be on any campus in the system; therefore, be it
- RESOLVED: That any President, Chancellor, or Vice Chancellor holding an appointment as Trustee Professor and wishing to move from his/her campus of tenure to California Polytechnic State University, must first obtain the concurrence of the receiving department at California Polytechnic State University after an evaluation of the individual and an affirmative vote by the tenured faculty of the department.

Proposed By:
Personnel Policies Committee
May 20, 1986

B. FUNDING OF DISTINGUISHED TEACHER AWARDS:

1. President Baker indicated that he planned to transfer \$1,500 from Alumni Association and \$1,500 from unrestricted Annual Giving to form a fund of \$3,000 which would be used to fund three Distinguished Teacher Awards of \$1,000 per recipient in 1986.
2. President Baker further expressed his hope that the amount could be raised to \$7,500 or \$10,000 within three years so that the amount of each Distinguished Teacher Award will not be less than the amount of each MPPP Award.
3. In return for partially funding the Distinguished Teacher Awards, the Alumni Association would like the name of the awards to be changed to "Alumni Association Distinguished Teacher Awards" or to "Distinguished Teacher Awards (partially sponsored by the Alumni Association)".
4. M/S/P (unanimously): The Executive Committee of the Academic Senate approves in principle the President's request that the present Distinguished Teacher Awards be partially sponsored by the Alumni Association and that the name of the award be modified to reflect the sponsorship.

Memorandum

RECEIVED

MAY 6 1986

Academic Senate

To : Lloyd Lamouria, Chair
Academic Senate

Date : May 6, 1986

File No.:

Copies : James L. Strom
Steven B. Shockley

From : Donald W. Hensel, Chair
Distinguished Teaching Award Committee

DWH

Subject : Distinguished Teaching Award Certificate

We appreciate the generosity of the Cal Poly Alumni Association in increasing the stipend which is granted to annual recipients of the Distinguished Teaching Awards to \$1,000.

We object to changing the award's title to Alumni Distinguished Teaching Award. We are willing to acknowledge the contributions of the alumni association by adding the following to the bottom of the certificate in small type. If acceptance of the stipend requires renaming the award, we recommend rejecting the increased stipend.

"This award is accompanied by a stipend provided by unrestricted contributions from alumni."

Enclosed are examples of the current certificate (Michael Wenzl) and a proposed revision (Jack Smith).

Enclosure

Sample

California Polytechnic State University
San Luis Obispo

Michael J. Wenzl

is designated
A DISTINGUISHED TEACHER
1983-84

in recognition of outstanding performance



Warren J. Baker
Warren J. Baker
President

This award is made possible by the Armistead B. Carter Endowment Fund

Cal Poly
Distinguished Teaching Award
1985-86

Jack Smith

has been selected by representatives of the Cal Poly faculty as a
Distinguished Teacher in recognition of outstanding performance
and contribution to the university



Warren J. Baker
President

This award is accompanied by a stipend
provided by unrestricted contributions
from alumni

-31-
RECEIVED

State of California

MAY 13 1986

California Polytechnic State University
San Luis Obispo, California 93407


Academic Senate

MEMORANDUM

TO: Lloyd Lamouria, Chair
Academic Senate

DATE: May 12, 1986

COPIES: Tomlinson Fort, Jr.
Malcolm Wilson
Jens Pohl
Jim Landreth
David Walch
Frank Lebens
Russ Brown
Jan Pieper
Doug Gerard
Jim Strom

FROM: 
Warren J. Baker
President

SUBJECT: AIMS Project

After carefully considering the pros and cons of Cal Poly's participation in the AIMS project, I have decided to proceed with the project in cooperation with the Chancellor's Office. I am aware of the action taken by the Academic Senate Executive Committee on April 29 and reported in your memorandum of May 1 to Vice President Landreth.

As you know, AIMS has been discussed extensively over a period of months with the Senate Budget Committee. In addition, I have received directly from the Chair of the Budget Committee an excellent memorandum pointing out additional issues that we need to consider as we move forward.

Vice President Landreth has discussed a proposed funding plan with the Senate Budget Committee. Seventy-five (75) percent of the costs of the AIMS Project will come from the Chancellor's Office, and twenty-five (25) percent must come from campus resources. The campus share will be approximately \$250,000 for three years, beginning with the 1986-87 fiscal year. Funds in the amount of \$220,000 for the first year have been identified from utilities budget savings. The other approximate \$33,000 would also come from utility savings if they materialize and, if not, through a pro rata reduction in new Financial Aid and Enrollment and Support Services positions in the 1986-87 budget. The proposed mechanism of funding for years two and three consist of \$125,000 by deploying \$65,000 of the campus contingency reserve and using all of the Special Projects Fund of \$50,000. The remaining amount of approximately \$144,000 for 1987-88 and 1988-89 is proposed to come from a pro rata assessment of Instruction, Academic Support, Student Affairs and Institutional Support. Every effort will be made to offset the funding requirements for the last two years through budget savings, as is being done for the first year. The first \$100,000 of any such savings derived from the proposed AIMS funding model will be reallocated back to instruction.

In your memorandum of April 29 to Vice President Landreth, you "voiced serious objection to being asked to make an important decision in the absence of both full detail and adequate lead time." You have a memorandum from Vice President Landreth

Lloyd Lamouria, Chair
Academic Senate
May 12, 1986 - Page 2

indicating that preliminary considerations on this matter began by the Academic Senate Budget Committee as early as March 19. I think you are also aware that the proposal was made to the campus by the Chancellor's Office only a short time prior to our entering into discussions with the Senate Budget Committee. I believe the Senate has been provided both full detail and adequate lead time, given the nature of this issue.

You also raised a concern about a pro rata funding model for years two and three which included the Instruction budget. (This pro rata contribution would be approximately 0.16% of the total Instruction budget). There are extremely limited alternatives on which to base a three-year plan. Flexibility occurs only as we get into opportunities for budget savings in each budget year. Furthermore, it is not just the administration that benefits from this. In my view, the most significant beneficiary will be the students, but certainly the entire university will benefit from such an investment that includes a three-to-one match from the Chancellor's Office.

The Academic Senate Budget Committee, the Executive Committee and your support of the AIMS project is appreciated, as is the hoped for support of the funding plan.

Memorandum

APR 9 1986

To : Lloyd Lamouria, Chair
Academic Senate

Academic Senate : April 9, 1986

File No.:

Copies : Rick Ramirez
Budget CommitteeFrom : Jens Pohl, Chair
Academic Senate Budget CommitteeSubject : PCP Recommendations

At its meeting on Tuesday, April 8, 1986, the Budget Committee resolved to recommend the following ranking of PCP proposals including two (2) additional proposals initiated by the Budget Committee.

1. PCP Proposal - Graduate Studies:

Apart from the mode-and-level faculty allocation model the CSU currently does not adequately distinguish between undergraduate and graduate instructional programs. In accordance with the current CSU Mission Statement, which identifies graduate studies as a focal area for increased development and emphasis, the proposed program would require recognition of the special support needs of graduate programs in the following areas:

- (a) Supplies, services and equipment
- (b) Reduced faculty teaching loads
- (c) Graduate teaching assistantships

It is proposed that the current budget allocation model for supplies, services and equipment be modified to reflect the support requirements of graduate research projects, particularly in Engineering, Science, Agriculture and Architecture.

In respect to item (b) it is proposed that the CSU reinstate the teaching load differential which existed prior to the 'Proposition 13' budget cuts in recent years.

Finally, it is proposed that Graduate Teaching Assistantships be recognized as a separate funding item essential to the delivery of quality graduate programs.

2. PCP Proposal - Sabbatical Leaves:

The current sabbatical leaves allocation model is not sensitive to several factors which negatively impact the availability of sabbatical leaves as a major faculty professional development and renewal program.

Memo: Pohl to Lamouria
April 9, 1986
Page 2

First, an inequity currently exists between CSU campuses that operate on a quarter system and those that operate on a semester system, in terms of the existing remuneration formula.

In other words, the current formula of full-pay, two-thirds pay and one-half pay does not distinguish between the time unit differences between an academic quarter and a semester.

Secondly, the remuneration formula itself is inadequate and subjects faculty who are awarded sabbatical leaves to financial hardship.

Thirdly, in the absence of adequate faculty staffing formulas, particularly small instructional departments are finding it difficult to provide replacements for faculty on sabbatical leave.

It is proposed to alleviate the unfavorable conditions which currently impact sabbatical leaves, as follows:

- (a) Modify the sabbatical leave funding model to eliminate the current remuneration differential between sabbatical leaves based on the quarter and semester organizational time units.
- (b) Augment the sabbatical leave funding allocation to decrease the existing margin between a faculty member's normal salary and the remuneration level for a two-semester, two-quarter or three-quarter sabbatical leave. Ideally, the level would be increased to one year at full salary. At a minimum the funding formula should be redefined to provide for the first quarter at full pay, the second quarter at two-thirds pay and the third quarter at one-half pay (i.e., instead of applying the remuneration level to the entire sabbatical leave period).
- (c) Provide adequate funding for sabbatical leave replacement positions.

The Committee ranked these two proposed new PCP proposals in conjunction with the 1986/87 PCP submissions as follows:

CATEGORY I

1. Sabbatical Leaves (new PCP proposal (2))
2. Graduate Studies (new PCP proposal (1))
3. Substitute Faculty (item (C) FY 1986/87 PCP's)
4. Instructional Faculty (item (E) FY 1986/87 PCP's)
5. Instructional Administration (item (D) FY 1986/87 PCP's)
6. Faculty Exchanges (item (A) FY 1986/87 PCP's)

Memo: Pohl to Lamouria
April 9, 1986
Page 3

PHASE II

1. Faculty Development
2. Information Management Systems
3. Minority Underrepresentation
4. Teacher Education
5. Information Resource Staffing

OTHER SYSTEMWIDE PCP's

1. Telecommunications
2. Maintenance of Computer Equipment
3. Library Automation
4. Fine Arts

CAMPUS PCP's FOR SAN LUIS OBISPO

1. Communications Network
2. Pacheco School Visit Program

CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo

RECEIVED

MAY 6 1986

Academic Senate

MEMO

TO: Lloyd Lamouria, Chair
Academic Senate

DATE: May 5, 1986

FROM: John Rogalla, Chair
Constitution & Bylaws Committee

COPY:

SUBJECT: Vacancies Remaining After an Election

This resolution passed Constitution & Bylaws Committee May 1, 1986. The vote was unanimous.

Discussion of this problem lead to several startling facts. At least to me they were startling. Newer members of the faculty evidently are not aware of the importance of nor procedures used by the Senate. This was especially true with respect to elections - the nomination process and balloting.

Possibly the Senate needs to have an indoctrination session during Fall Conference to make new faculty aware of:

1. The "new" position and responsibilities of the faculty vs. the old line Administration which has existed on campus. Possibly some in Administration should attend, as well.
2. The Role of the Senate.
3. The method of becoming involved - Responsibilities and benefits.
(Somehow the Deans, etc., must be made aware of the importance of faculty participation and consider it for R.P.T.)

ACADEMIC SENATE
OF
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California

Background statement:

The faculty has been charged with responsibility for recommending policy impinging upon academic matters. This is an important responsibility which requires full participation of the faculty through the Academic Senate. In the past, the Executive Committee has appointed replacements for vacancies which occur due to resignations or leaves. Such temporary appointments are made until the next regular election. No provision has been provided for the current situation: vacancies after an election because of a lack of nominees for the positions. Some of these vacancies are on committees, for which members must be elected. This puts a significant additional burden of workload upon the Elections Committee at a busy time of the year. This recommendation will put the burden upon the faculty who will lose representation rather than the Academic Senate to avoid such situations in the future.

AS-____-86/____

RESOLUTION ON
AMENDMENTS TO BYLAWS FOR THE ELECTIONS COMMITTEE

- WHEREAS, Senate positions have not been filled during the regular election process due to an insufficient number of nominees from specific electorates; and
- WHEREAS, The current solution to have a special election to fill these vacancies puts an additional burden on the Elections Committee at a very active time of the school year; and
- WHEREAS, The burden of ascertaining representation should rest upon the faculty who are to be represented; and
- WHEREAS, Faculty would be apprised of an impending problem if notified one week before the deadline for nominations of any vacancies for which there were insufficient nominees; therefore, be it
- RESOLVED: That subsection (h) be added to Article VII.I.5.b.(1).

VII. COMMITTEES

5. Elections Committee

b. Responsibilities

(1) General

(h) . . . one week prior to a nomination deadline, shall notify the chair of the caucus involved of any vacancies for which insufficient nominations have been received.

Proposed By:
Constitution and Bylaws Committee
May 20, 1986

RECEIVED

CALIFORNIA POLYTCHNIC STATE UNIVERSITY
San Luis Obispo

MAY 6 1986

Academic Senate

MEMO

TO: Lloyd Lamouria, Chair
Academic Senate

DATE: May 5, 1986

FROM: John Rogalla, Chair
Constitution & Bylaws Committee

COPY:

SUBJECT: Senators At-Large to Represent
Instructional Department Head

This resolution passed the Constitution and Bylaws Committee April 1, 1986 by a vote of 3 to 2. The concept is endorsed by all members present. The division centered upon the franchise to vote on the Senate floor.

Politically it is expedient to have these ex-officio members vote to give a greater incentive to participate and they are faculty members as the other voting ex-officio members.

Conceptually it may provide a segment of the faculty greater voice. Another idea was that non-voting membership would require greater eloquence on the part of the department head representatives to persuade the Senate on a course of action. The recommendation is that they be voting members.

ACADEMIC SENATE
OF
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California

Background statement:

Department Heads/Chairs are determined to be faculty by Collective Bargaining and have been given additional responsibility in the implementation of Academic Procedures by the Administration. Higher levels of Administration are no longer involved in many procedures and they do not give priority to consideration of the implications of changes in these procedures. Our system has developed a void when such changes are considered. This lack can be filled through department head/chair representation on the Senate.

AS-____-86/____

RESOLUTION ON
AMENDMENT TO THE CONSTITUTION

- WHEREAS, The Academic Senate is the body of the university with primary responsibility for setting academic policy; and
- WHEREAS, Many important issues of policy arise at the departmental level where policy must be interpreted and administered by department heads/chairs; and
- WHEREAS, Department heads/chairs have information and insights regarding the practical, budgetary, and curricular impact of academic policies; and
- WHEREAS, The participation of such members will contribute significantly to the quality of Senate deliberations; and
- WHEREAS, The Academic Senate and the university at-large will benefit from the participation in the Senate of elected representatives of department heads/chairs; therefore, be it
- RESOLVED: That Article III, Section 1.c. of the Constitution of the Faculty of California Polytechnic State University be amended:

Article III. The Academic Senate
Section 1. Membership

- c. Senators acting in an at-large capacity are:
- (1) Immediate Past Chair of the Academic Senate
 - (2) The CSUC Statewide Academic Senators, and
 - (3) Two representatives elected by the instructional department heads/chairs (no more than one from any given school); and be it further

- RESOLVED: This amendment when endorsed by the Academic Senate which recommends its ratification by the general faculty in conformance with Article IV Amendments; and be it further

RESOLUTION ON AMENDMENT TO THE CONSTITUTION

Page Two

RESOLVED: Upon ratification of this amendment that the Bylaws, Article VII.I.5.b. add subsection (5):

- (5) Election of department heads/chairs at large. The procedures and timetable for election of department heads/chairs at-large will be the same as that for the Senate except that nominations shall be by petition of not less than three (3) department heads/chairs and shall include a consent to serve statement signed by the nominee. The election will be by instructional department heads/chairs;

and be it further

RESOLVED: That the terms of the two department heads/chairs shall be staggered to provide continuity of service.

Proposed By:
Constitution and Bylaws Committee
May 20, 1986