

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

Executive Committee Agenda
Tuesday, November 3, 1987
 UU 220 3:00-5:00 p.m.

<u>Member:</u>	<u>Dept:</u>	<u>Member:</u>	<u>Dept:</u>
Andrews, Charles	Acctg	Lamouria, Lloyd H.	AgEngr
Baldwin, Marylud	Educ	Lutrin, Sam	StLf&Acts
Borland, James	ConstMgt	McGary, Stephen	AgMgt
Burgunder, Lee	BusAdm	Peck, Roxy	Stat
Crabb, A. Charles (CH)	CropSci	Terry, Raymond	Math
Currier, Susan	English	Weatherby, Joseph	PoliSci
Forgeng, William	MetEngr	Wilson, Malcolm	VPAA
Gooden, Reg	PoliSci	Copies: Warren J. Baker	
Kersten, Timothy	Econ	Glenn Irvin	
		Howard West	

- I. Minutes:
 - Approval of the October 20, 1987 Minutes (pp. 3-4).
- II. Communications:
 - Materials Available for Reading in the Academic Senate Office (p. 2).
- III. Reports:
 - A. President
 - B. Academic Affairs Office
 - C. Statewide Senators
- IV. Consent Agenda:
- V. Business Items:
 - A. Resolution on Affirmative Action Facilitator-Stallard, Chair of the Status of Women Committee (pp. 5-6).
 - B. Resolution on Research and Professional Development: CAM 452-Jamieson, Chair of the Research Committee (pp. 7-15).
 - C. Resolution on Conflict of Interest in Personnel Decisions: CAM 311.5-Murphy, Chair of the Personnel Policies Committee (pp. 16-18).
 - D. Distribution model for committee study of Report on Measures of Effectiveness of Instruction-Crabb, Academic Senate Chair (p. 19).
 - E. Vacancies Remaining on Academic Senate and Senate Committees (p. 20).
 - F. Formation of an Ad Hoc Committee on Senate Review to study the present structure and effectiveness of our campus Academic Senate-Crabb, Academic Senate Chair.
- VI. Discussion Item:
- VII. Adjournment:

*10-20-87
minutes
removed*

Materials Available for Reading in the Academic Senate Office (FOB 25H)

June 1987	Documents/statistics/reports/etc. provided at the Student Retention Conference in June 1987
6/10/87	Correspondence from Eric Seastrand re allocation of lottery funds to the CSU and Board of Trustees' Committee on Finance Report on the Lottery Revenue Budget Process
6/22/87	Publications from the Office of the Chancellor re Teacher Education
7/14/87	CSU Committee of the Whole: New Priority Topics for 1987-88
7/28/87	Status Report #4-FY 1987/88, CSU Final Budget Quarterly Internal Report on Enrollment-Summer 1987
July 1987	<u>The Master Plan Renewed</u> , Commission for the Review of the Master Plan for Higher Education
8/3/87	Quarterly Internal Report on Enrollment-Summer 1987
9/4/87	Capital Outlay Program 1988-89
9/15/87	Board of Trustees' Agenda, September 15/16, 1987
9/23/87	1986/87 Discretionary Fund Reports
10/12/87	Executive Review Policies and Procedures
10/20/87	Funding Excellence in Higher Education (CPEC) The State's Interest in Student Outcomes Assessment (CPEC) State Incentive Funding Approaches for Promoting Quality in California Higher Education: A Prospectus (CPEC) Assembly Bill #2016 - Higher Education Talent Development

Adopted: _____

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

Background statement: The Affirmative Action Facilitator helps coordinate departmental efforts with those of the Affirmative Action office to hire and retain women and minorities. The Affirmative Action Facilitator is appointed by the program manager. Although there is no formal document that describes the responsibilities of the facilitator, the Affirmative Action office and the Equal Opportunity Advisory Council have held training sessions for facilitators. Their responsibilities are listed below:

1. The facilitator takes an active role as a member of the hiring or selection committee.
2. The facilitator identifies recruitment problems and assesses recruitment efforts.
3. The facilitator recommends strategies to the selection committee for attracting qualified minorities and women to apply for the vacant position (e.g., identify sources for generating underrepresented applicants).
4. The facilitator briefs the selection committee on the department's Affirmative Action goals and timetables.
5. The facilitator ensures that Equal Opportunity and Affirmative Action are being addressed according to valid job-related criteria and degree of compliance to employment procedures.
6. The facilitator monitors the selection procedures and advises the committee of any potential adverse impact on underrepresented groups.
7. The facilitator documents Affirmative Action efforts for recruitment.
8. The facilitator informs employees that a policy for accommodating religious observances and practices exists.

AS-____-87/____

RESOLUTION ON
AFFIRMATIVE ACTION FACILITATOR

WHEREAS, There is no formal document that describes the role of the Affirmative Action Facilitator; and

WHEREAS, In an effort to strengthen the University's commitment to Affirmative Action and to promote campus awareness to the role of the Affirmative Action Facilitator; and

WHEREAS, The University would benefit by having an official document that outlined the responsibilities of the Affirmative Action Facilitator; therefore, be it

AS-____-87/SWC

RESOLUTION ON AFFIRMATIVE ACTION FACILITATOR

Page Two

- RESOLVED: That the responsibilities listed in the background statement be adopted for the Affirmative Action Facilitator; and be it further
- RESOLVED: That the Affirmative Action Facilitator also encourage collegiality and mentorship between current faculty and new faculty to promote retention of Affirmative Action faculty; and be it further
- RESOLVED: That facilitators provide an annual report to the program manager and the Affirmative Action officer; and be it further
- RESOLVED: That the Affirmative Action officer provide a report on the Affirmative Action Facilitator to the Academic Senate through its Status of Women Committee.

Proposed By:
Status of Women Committee
November 3, 1987

Adopted: _____

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

Background statement: In September 1981, Cal Poly adopted Administrative Bulletin 81-2 which identified research as an important form of professional development at Cal Poly. In February of 1985, the President issued Administrative Bulletin 85-2 which defined professional development and asserted its integral role in the educational mission of the university.

The 400 section of CAM is being reviewed and revised throughout the university. It is appropriate therefore, that the parts in the academic section governing research be updated to reflect the new policies. The update proposed generally involves no new information or policy: it incorporates the essence of the administrative bulletins already reviewed and approved by the Academic Senate; it deletes a section now covered in more detail in another section of CAM; and it incorporates recent directives from the Chancellor's Office concerning conflict of interest on proposing a flexible policy on proprietary research to enhance collaborative efforts with private industry.

AS-____-87/RC

RESOLUTION ON
RESEARCH AND PROFESSIONAL DEVELOPMENT: CAM 452

- WHEREAS, The Campus Administration Bulletin section 452 has not had a major revision since the adoption of the administrative bulletin on research; and
- WHEREAS, The reasons and benefits for pursuing research should be articulated in the body of the Campus Administrative Manual (CAM); and
- WHEREAS, CAM 452.5, which details the condition governing additional compensation, is now covered in CAM 324.2 and therefore redundant in this section; and
- WHEREAS, A policy on conflict of interest, which has been mandated by the Fair Political Practices Commission, is now in effect in the California State University and should be reflected in CAM; and
- WHEREAS, The policy on proprietary research will profit from more flexibility to encourage collaborative efforts with private industry; therefore, be it
- RESOLVED: That the Academic Senate adopt the attached revision of CAM 452.

Proposed By:
Academic Senate Research
Committee
November 3, 1987

9/21/87

452 Research Activities (see also CAM 542-44)

It is university policy that the professional growth of faculty plays an important role in maintaining the vitality of the educational program. The university, therefore, treats professional growth as essential second only in priority to its teaching mission. Insofar as research is an important form of professional development, it is to be encouraged and supported at all levels.

Title 5 of the California Administrative Code prescribes that university research should complement the primary function of the California State University which is to provide undergraduate and graduate instruction through the master's degree. Within this context, research can produce several benefits: 1) increased instructional effectiveness and relevance of the curriculum; 2) enhanced placement potential for Cal Poly graduates; 3) improved opportunities for accreditation of academic and professional programs; 4) augmented institutional resources through grants and contracts; and 5) greater appeal of the university to qualified faculty.

452.1 ~~Research Activities-(See also CAM-543 and 544.)~~

The Faculty research activities of the university are actively encouraged and guided by the administration of the university and by the Academic Senate. To give direction to this effort, the University Academic Senate Research Committee was established, ~~as a committee of the Academic Senate.~~ The Research Committee directs its recommendations affecting university-wide policies and procedures ~~both the~~ to the President via the Academic Senate, ~~and the Vice President for Academic Affairs.--The Director, Research Development, is responsible to the Vice President for Academic Affairs and is permanent secretary to the University Research Committee.~~

452.12 ~~Research projects may include the following types of activities:--community service research, institutional research, research in The California State University graduate programs, and individual faculty research.~~

Although the definition of the term "research" varies with each discipline, it includes the following basic and applied activities: the creation of fundamental knowledge; the creation of generalizable solutions to the immediate problems of the classroom, discipline, business, industry, or government through investigative

or development activities; and the pursuit of new art forms and expressions.

- 452.63 Research projects should not interfere with the normal use of laboratory, classroom, or other space furnished by the State for the instructional program of the university.

Projects supported by outside agencies normally pay the full costs of research, both direct and indirect, including facilities usage fees, etc., unless provisions for cost sharing have been made explicit in advance and approved by the university on the proposal approval form.

- 452.24 Administration of research projects activities must be compatible with appropriate rules and regulations of the sponsoring agency, the State of California, the Trustees of the California State University, the Office of the Chancellor, and the university administration.

- 452.25 The university will ~~not~~ approve participation in only those sponsored research projects ~~for-government agencies-or-private-industry-which-are-"classified"-or "secret"-in-nature.--While-there-are-many-different interpretations-and-definitions-of-these-two-words,-the basic-underlying-principle-of-this-policy-is-that~~

~~unless the university is free to make public~~ in which there is assurance that results can be made public within a reasonable length of time. During the conduct of the project, the university must be able to disclose in general terms the purpose and scope of a proposed research project it will not be approved or endorsed by the university. the project. This provision is not intended to jeopardize proprietary rights which may result from research activity (see CAM 544 regarding patent policy and procedures).

452-3 ~~Research activities should increase the effectiveness of instructional assignments.~~

452-4 ~~Faculty members employed full time by the university during the academic year shall not undertake research projects for extra compensation during the same period of more than the equivalent of 1/4 the full time load. (See CAM 324-2)~~

452-5 ~~Research Compensation Rates~~

A- ~~A faculty member normally employed on an academic year basis who becomes employed full time on an authorized research project may be compensated at a rate up to 1/3 of the "annual salary" per quarter, or proportionate share thereof for lesser~~

time-periods---(i.e.,-1/9-per-month,-1/35-per week,-1/175-per-day,-or-1/400-per-hour)---As-used in-this-section,-"annual-salary"-is-defined-as-the faculty-member's-regular-salary-based-on-the-class code,-rank,-salary-step,-and-the-current California-State-University-salary-schedule-

- B- A-full-time-faculty-member-regularly-employed-on an-academic-year-basis-who-has-been-authorized under-CAM-324-to-be-additionally-employed-part time-on-an-authorized-research-project-may-be additionally-compensated-up-to-the-rate proportional-to-the-"annual-salary"-as-defined-in A-above-(See-CAM-452-4)
- E- Faculty-or-staff-members-regularly-employed-on-a 12-month-basis-who-have-been-authorized-to participate-in-research-projects-may-be compensated-as-in-A-or-B-above-except-that-the rate-of-compensation-may-be-up-to-1/240-of-their "annual-salary"-per-day,-or-proportionate-share thereof-for-other-time-periods-
- B- Faculty-member-employed-on-an-academic-year-basis may-be-additionally-employed-full-time-on-research projects-for-not-more-than-15-weeks-in-any-one calendar-year-

- 452.6 Faculty working on sponsored research projects may be released from teaching responsibilities for research reimbursed through a grant or contract. Faculty may work for additional compensation following guidelines laid out for additional employment in CAM 324.2 and in the Memorandum of Agreement.
- 452.7 Materials, supplies, and equipment of \$25 or more in value purchased or given for research projects carried on in university facilities will become the property of the university or the Foundation unless prohibited by the funding contract. upon termination of the project unless otherwise specified in the sponsoring agreement.
- 452.8 ~~It is the responsibility of the project director, who may be the staff member so designated by mutual consent of the group wishing to conduct the research activity, to develop the proposal. Sponsored research project requests, to be supported by the university budget or other sources, should~~ must ~~be prepared in accordance with established administrative procedures, and must be reviewed at all appropriate levels and approved by the Coordinator, Research Development, Projects and an interdisciplinary nature should be reviewed by the several subject areas involved.~~

~~Signatures are required from the department head, school dean, Director of Business Affairs, Foundation Executive Director, Director of Research Development, and, for projects with a total budget of more than \$10,000, from the appropriate Vice-President or Dean of Students.~~ Information on sources of funding and program application forms may be obtained from the Office of Research Development. All units of the university and its auxiliaries likely to be affected by a project should review a proposal prior to its submission to a sponsor. A proposal approval form, available in the Grants Development Office, is used to secure internal approval for proposals.

452-9 ~~Suitable provision by the University Research Committee should be made for adequate records of all projects considered, and the disposition of each.~~

452.9 Conflict of Interest: The California Fair Political Practices Commission requires that the California State University ensure that no conflict of interest exists when the research of principal investigators is supported by non-governmental sponsors. For proposals to all such sponsors, the principal investigator must file a Statement of Economic Interest (Form 730-U) with the Grants Development Office prior to submitting a research proposal, or with the academic dean's office

prior to accepting a gift for research. Financial interest, if it exists, is reviewed by an Independent Review Committee, and recommendations are made to the Vice President for Academic Affairs concerning any potential conflict of interest.

State of California

**Academic Senate Office
California Polytechnic State University
San Luis Obispo, California 93407
805/756-1258**

M E M O R A N D U M

To: Academic Senate Executive
Committee

Date: October 27, 1987

From: Paul Murphy, Chair
Academic Senate Personnel Policies Committee

Copies:

Subject: CAM 311.5

At its third meeting on October 19, 1987, the Personnel Policies Committee unanimously approved the attached resolution.

Attachment

Adopted: _____

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

Background statement: CAM 311.5 deals with the employment of close relatives. While it does address the matter of favoritism, it also included provisions which are not compatible with the concept of equal opportunity in employment. The key idea in this section is that conflict of interest must be avoided in personnel decisions. This idea is obvious, but the committee feels that it should be made explicit.

AS-____-87/PPC

RESOLUTION ON
CONFLICT OF INTEREST IN PERSONNEL DECISIONS: CAM 311.5

- WHEREAS, CAM 311.5 is in conflict with the concept of equal opportunity in employment; and
- WHEREAS, The mere appearance of conflict of interest in personnel decisions should be avoided; therefore, be it
- RESOLVED: That the current section 311.5 of the Campus Administrative Manual (CAM) be replaced by the following:

311.5 CONFLICT OF INTEREST

No university employee shall vote, make recommendations, or in any way participate in personnel decisions if such participation constitutes a conflict of interest. This prohibition includes but is not limited to personnel decisions that directly affect the employment status, work assignment, or financial interest of any relative.

Proposed By:
Academic Senate Personnel
Policies Committee
November 3, 1987

311.5 Employment of Close Relatives

The term "close relative" as used in this section (CAM 311.5) is defined as the son, daughter, brother, sister, mother, father, husband, or wife of an employee of the university or one of the official auxiliary organizations thereof.

While "close relative" relationship of an applicant is not of itself a bar to employment by the university or its official auxiliary organizations, it is recognized that concurrent employment of close relatives can create problems which would not otherwise exist. For example, the equity of an action in which a close relative participates becomes controversial when the action involves a direct benefit to a member of his or her immediate family.

To protect the university and its employees from accusations of favoritism based on family relationship while simultaneously preserving the rights of applicants against discrimination on any basis, including discrimination on the basis of sex, the following guidelines governing employment of close relatives are established.

A. Regular full-time or part-time employees

1. Prior approval of the President's designee, in the appointee's service area, is required for initial appointment or reappointment of a close relative.
 - a. Academic Affairs area - Vice President for Academic Affairs
 - b. Administrative Affairs area - Executive Vice President
 - c. Student Affairs area - Dean of Students

An annual summary report of such appointments should be made available to the president's office by the Director of Personnel Relations.

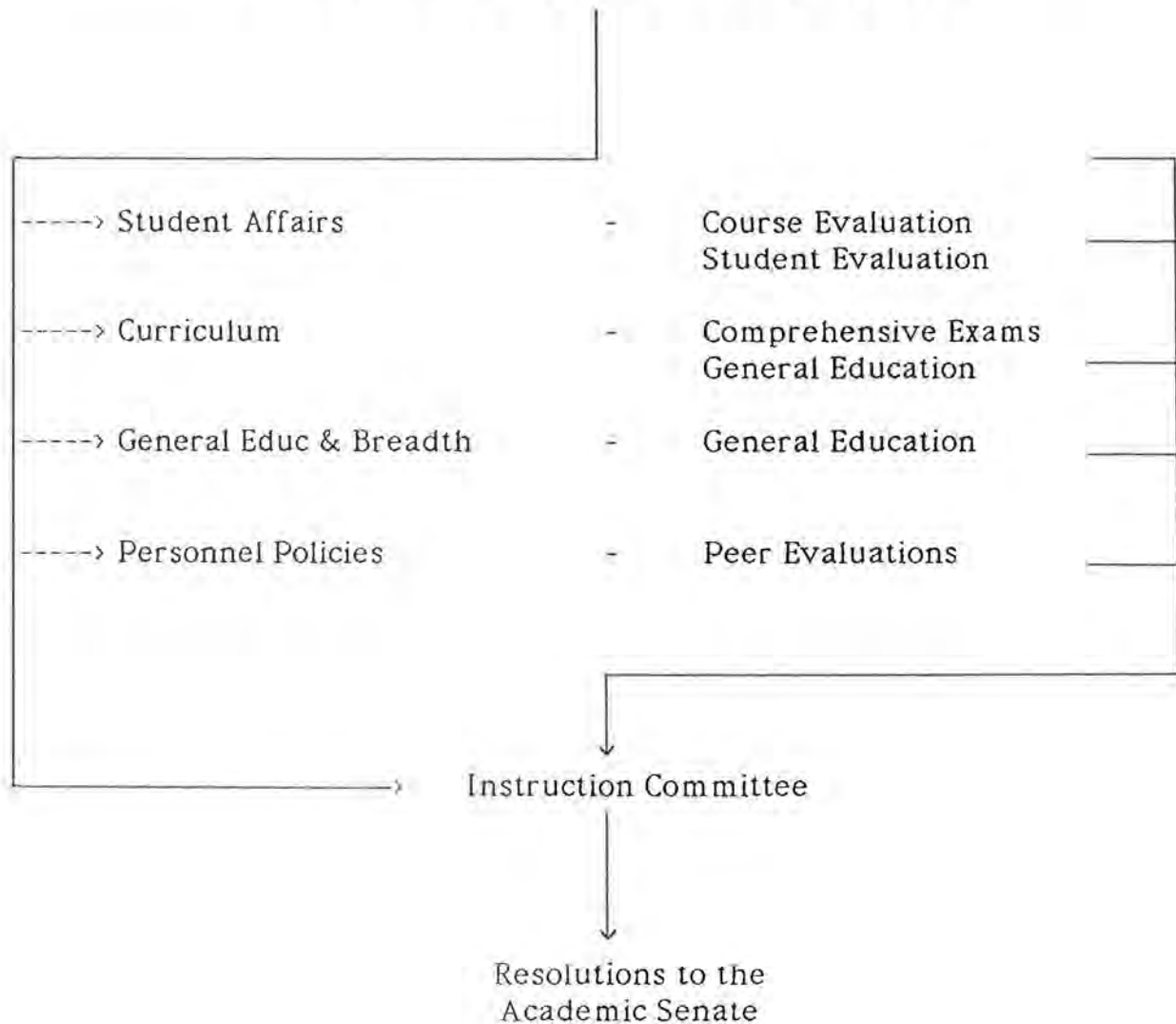
2. When a close relative is being considered for employment, the individual's application must be reviewed in accordance with all appropriate procedures customary for the type of position involved. Normal recruitment procedures must be followed in order to generate multiple applications for the vacant position. A close relative may be employed only if determined to be the best available applicant.
3. It is inappropriate for employees to initiate or participate in institutional decisions involving a direct benefit to their close relatives. "Direct benefits" include, but are not limited to, initial appointment, reappointment, promotion, tenure, leaves, working conditions, and other personnel actions.
4. Close relatives will not be placed or retained in positions in which one is:
 - a. under the direct supervision of another,
 - b. in a position of direct fiscal responsibility or accountability with regard to the employment of another, or
 - c. on a committee or in any other position in which one would be expected to initiate recommendations that could change the personnel status of the other.
5. Employees who become close relatives subsequent to their initial appointments are subject to the limitations and conditions of CAM 311.5.A.

B. Student Employees

CAM Section 311.5.A. notwithstanding, any full-time enrolled student of this university (12 or more units undergraduate or 8 or more units graduate) who is closely related to an employee of the university or its official auxiliary organizations may be employed as a student assistant or as hourly help subject to the conditions of CAM 311.5.A.4.

When special circumstances exist which warrant consideration of employment of part-time students enrolled for 6 or more units, prior approval by the appropriate vice president of the university or the Dean of Students is required. In reaching a decision, the Vice President or Dean of Students will consider the special circumstances in the light of the University's obligation to encourage diligence on the part of all students in the pursuit of their course of study and the need to conserve quota space for students who will make best use of the State's facilities and services. (See also CAM 662.)

Flowchart for the review of Report on Measures of Effectiveness of Instruction and other Assessment issues



**ACADEMIC SENATE AND COMMITTEE
VACANCIES AS OF November 3, 1987**

Senate Vacancies

SAED	One vacancy
SENG	Of the five newly elected senators, one is to be appointed to a one-year term

Committee Vacancies

SAED	Fall replacement for Tryon on Student Affairs Committee
SPSE	University Professional Leave Committee
SSM	Constitution and Bylaws Committee
PCS	Curriculum Committee

Adopted: _____

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

Background statement: The Affirmative Action Facilitator helps coordinate departmental efforts with those of the Affirmative Action office to hire and retain women and minorities/underrepresented groups. The Affirmative Action Facilitator is appointed by the program manager. Although there is no formal document that describes the responsibilities of the facilitator, the Affirmative Action office and the Equal Opportunity Advisory Council have held training sessions for facilitators. Their responsibilities are listed below:

1. The facilitator takes an active role as a member of the hiring or selection committee.
2. The facilitator identifies recruitment problems and assesses recruitment efforts.
3. The facilitator recommends strategies to the selection committee for attracting qualified minorities and women to apply for the vacant position (e.g., identify sources for generating underrepresented applicants).
4. The facilitator briefs the selection committee on the department's Affirmative Action goals and timetables.
5. The facilitator ensures that Equal Opportunity and Affirmative Action are being addressed according to valid job-related criteria and degree of compliance to employment procedures.
6. The facilitator monitors the selection procedures and advises the committee of any potential adverse impact on underrepresented groups.
7. The facilitator documents Affirmative Action efforts for recruitment.
8. The facilitator informs employees that a policy for accommodating religious observances and practices exists.

AS-____-87/SWC

RESOLUTION ON
AFFIRMATIVE ACTION FACILITATOR

- WHEREAS, The Academic Senate is in support of mechanisms for the enhancement of Affirmative Action programs at Cal Poly; and
- WHEREAS, There is no formal document that describes the role of the Affirmative Action Facilitator; and
- WHEREAS, In an effort to strengthen the University's commitment to Affirmative Action and to promote campus awareness to the role of the Affirmative Action Facilitator; and
- WHEREAS, The University would benefit by having an official document that outlined the responsibilities of the Affirmative Action Facilitator; therefore, be it

RESOLUTION ON AFFIRMATIVE ACTION FACILITATOR

Page Two

- RESOLVED: That the responsibilities listed in the background statement be adopted for the Affirmative Action Facilitator; and be it further
- RESOLVED: That the Affirmative Action Facilitator also encourage collegiality and mentorship between current faculty and new faculty to promote retention of Affirmative Action faculty; and be it further
- RESOLVED: That facilitators provide an annual report to the program manager and the Affirmative Action officer; and be it further
- RESOLVED: That the Affirmative Action officer provide a report on the Affirmative Action Facilitator to the Academic Senate through its Status of Women Committee.

Proposed By:
Status of Women Committee
November 3, 1987