

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

Executive Committee Agenda
Tuesday, November 17, 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 November 3, 1987 Minutes (pp. 3-5).
- II. Communications:
 - Materials Available for Reading in the Academic Senate Office (p. 2).
- III. Reports:
 - A. President
 - B. Academic Affairs Office
 - C. Statewide Senators
 - D. Budget Committee: Faculty Position Control Report-Conway, Chair
- IV. Consent Agenda:
- V. Business Items:
 - A. GE&B Proposal for TH 328X-Lewis, Chair of the General Education and Breadth Committee (p. 6).
 - B. GE&B Proposal for TH 210X-Lewis, Chair of the General Education and Breadth Committee (p. 7).
 - C. Resolution on Budget Information Reporting-Conway, Chair of the Budget Committee (p. 8-20).
- VI. Discussion Item:
- VII. Adjournment:

*11.3.87
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
October 1987	CPSU FOUNDATION Annual Report 1986-1987
10/28/87	State Incentive Funding Approaches (memo from Kerschner to VPAA's dated 10/28/87)
11/6/87	Quarterly Internal Report on Enrollment-Fall 1987

GENERAL EDUCATION AND BREADTH PROPOSAL

1. PROPOSER'S NAME Roger Kenvin	2. PROPOSER'S DEPT. Theatre and Dance
3. SUBMITTED FOR AREA (include section, and subsection if applicable) C.3.	
4. COURSE PREFIX, NUMBER, TITLE, UNITS, DESCRIPTION, ETC. (use catalog format) TH 328X History of the Theatre (4 units) A history of the British theatre from the medieval period through the Elizabethan, Restoration, 18th century, 19th century, up to the present with an emphasis on preservation of the British acting and playwriting tradition. The activity will include attendance at performances and visits to theatres.	
5. SUBCOMMITTEE RECOMMENDATION AND REMARKS The Area C subcommittee approves unanimously Roger Kenvin's request that Theatre 328X be given C.3 credit for the London Program. An hour will be added to an existing course to allow for an activity taking advantage of cultural activities in London.	
6. GE & B COMMITTEE RECOMMENDATION AND REMARKS Approves (9-0)	
7. ACADEMIC SENATE RECOMMENDATION	

GENERAL EDUCATION AND BREADTH PROPOSAL

<p>1. PROPOSER'S NAME</p> <p>Roger Kenvin</p>	<p>2. PROPOSER'S DEPT.</p> <p>Theatre and Dance</p>
<p>3. SUBMITTED FOR AREA (include section, and subsection if applicable)</p> <p>C.2</p>	
<p>4. COURSE PREFIX, NUMBER, TITLE, UNITS, DESCRIPTION, ETC. (use catalog format)</p> <p>TH 210X Introduction to Theatre in London (4 units)</p> <p>Play production process and approach to the theatre including theatrical terminology, methods, aesthetics, and technology, with special application to London. 3 lectures, 1 activity.</p>	
<p>5. SUBCOMMITTEE RECOMMENDATION AND REMARKS</p> <p>The Area C subcommittee approves unanimously Roger Kenvin's request that Theatre 210X be given C.2 credit for the London Program. An hour will be added to an existing course to allow for an activity taking advantage of cultural activities in London.</p>	
<p>6. GE & B COMMITTEE RECOMMENDATION AND REMARKS</p> <p>Approves (9-0)</p>	
<p>7. ACADEMIC SENATE RECOMMENDATION</p>	

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: The Academic Senate
Executive Committee

Date: November 6, 1987

From: James Conway, Chair
Academic Senate Budget Committee

Copies: Academic Senate
Budget Committee

Subject: BUDGET INFORMATION REPORTING: BACKGROUND, RESOLUTION, GUIDELINES

At the October 29, 1987 meeting of the Academic Senate Budget Committee, the attached BUDGET INFORMATION REPORTING package/resolution was approved unanimously and is forwarded to the Executive Committee for action.

Attachment

BUDGET INFORMATION REPORTING:
BACKGROUND, RESOLUTION, GUIDELINES

submitted by

The
Academic Senate Budget
Committee

James R. Conway, Chair

November 6, 1987

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BUDGET INFORMATION REPORTING

1. BACKGROUND

The Chancellor's Office has been moving toward more openness in the budgeting process at both the systemwide and the individual campus levels, which may ease implementation of these proposed guidelines. For a chronology of the Chancellor's Office efforts and a statement of the current policy, see Attachment 3. President Warren Baker also has shown concern by approving actions to make the budgeting process at Cal Poly more open to faculty and student input and inquiry. The use of discretionary funds on the campus has become an annual report item available to the university community as a result of President Baker's reactions to proposals made by the Academic Senate Budget Committee. He also approved the creation of two budget oversight committees that include faculty and student representation, the President's Advisory Committee on Budgets and Resource Allocations and the Instructional Program Resources Advisory Committee.

A further step is needed to improve faculty and student involvement in the budgeting process, and that step is based upon I-N-F-O-R-M-A-T-I-O-N. Without information as to how instructional budgets are arrived at and what the expenditures are, it is impossible for faculty and students to be fully-functioning partners in the budgeting process. The attached proposed resolution and guidelines are being respectfully submitted for approval by the Academic Senate and by President Baker in the hopes of improved understanding and collegiality in the budgetary process.

On April 14, 1977, AS-25-77/BC BUDGET INFORMATION RESOLUTION was approved by President Robert E. Kennedy. The resolution (see Attachment 1) called for information concerning all instructional budget categories within each school/department to be made available to the faculty. Such information included proposed budgets for the next academic year and final budget figures for the past academic year.

A sample reporting format for possible use by school deans and department heads accompanied President Kennedy's memo approving the resolution (see Attachment 2). He made the following comment in regard to the resolution:

After review with appropriate personnel, I am approving what I perceive to be the intent of that resolution. As you and members of the Senate are no doubt aware, some schools and/or departments currently make this information known to the faculty in a variety of ways, others do not.

The former President's comment that some schools/departments make information available and others do not remains true today--ten years after the BUDGET INFORMATION RESOLUTION was passed. Attached are a new resolution and guidelines for budget information reporting.

2. RESOLUTION

- WHEREAS, Information concerning allocations and expenditures of the instructional budget categories within each school/department is essential for informed faculty/student participation in the budgeting process; and
- WHEREAS, The Chancellor's Office and the administration at Cal Poly have both gone on record supporting greater openness in the budgeting process, and that includes providing more information about the budgeting process; and
- WHEREAS, To assure implementation and compliance with AS-25-77/BC, approved April 14, 1977; therefore, be it
- RESOLVED: That the Academic Senate of California Polytechnic State University, San Luis Obispo, endorses the attached specific Budget Information Reporting Guidelines, and forwards them to President Warren Baker for his approval and implementation.

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3. GUIDELINES

Purpose

The purpose of these guidelines is to set standards for the reporting of budget information concerning instructional schools and departments at Cal Poly. When these guidelines are implemented, they will provide a meaningful summary of the instructional budgetary status and financial condition to faculty, students, and other members of the university community. It should be made clear that any school/department that wishes to provide information beyond the scope of these guidelines be encouraged to do so. It is hoped that implementation of these guidelines for the instructional component will encourage other program areas of the university to share budget information more fully with faculty and students.

Origin of Reports

The Vice President for Academic Affairs' office and the Budget Planning and Administration Department of the university will be responsible for compiling and supplying the reports. The Academic Senate office will distribute the reports.

Timing of Reports

Reports are to be issued jointly by the second Friday in November of each academic year.

Content of Reports

REPORT I To be prepared by the Vice President for Academic Affairs' office. It will include the allocation method/model used by the university to make the allocations, the initial allocations based upon those methods/models, augmentations (if any), and total allocations for the prior academic year made to the schools/departments by the Vice President for Academic Affairs. The report will cover the budget categories listed below and include any current year allocations made to those budget categories.

- *AY (Annual Year) Faculty Positions
- *SQ (Summer Quarter) Faculty Positions
- Instructional Administrative Positions
- Technical/Clerical/Student Assistant Positions
- *Supplies and Services (Operating Expenses)
- Travel In-State
- Travel Out-of-State
- Faculty Recruitment
- Regular Equipment
- Replacement Equipment
- Telephone
- University Assigned Time
- Any Other Allocations Made to the Schools/Departments

*The report shall include resources generated by each school and department via models and resources actually used by each school and department. For faculty positions the summary by classification and level (SCAL) reports will suffice. For supplies and services the 90% and 10% allocation memorandums will suffice.

REPORT II To be provided by the Budget Planning and Administration Department. The following information will be provided in two reports: (1) subcode within each department for each school and (2) department within subcode for each school. They will include the budget, expenditures, and budget balance for the prior fiscal year in each of the budget categories recorded in the Financial Accounting System (FAS) as of June 30th for each instructional school and department of the university.

Cautionary Note: The prior year allocation totals reported by the Vice President for Academic Affairs' office may not coincide with the prior year expenditure totals recorded in the Financial Accounting System (FAS). This may occur as a result of the budget transfers made within the schools and departments annually, as well as the infusion of monies from other funding sources; e.g., discretionary accounts. The reporting of such transfers and augmentations was considered by the Academic Senate Budget Committee, but was believed to be too complex to track for the purposes of this budgetary reporting mechanism. The committee believed that enough budget information would be made available to the faculty and students by these reports so that responsible and informed questions could be asked about any budget total differences in the reports from the two offices.

- REPORT III To be prepared by the Vice President for Academic Affairs' office. It will include Lottery Fund allocations by category to each school and department for the prior year. It is believed that these funds should be reported separately from the General Fund monies due to the nature of the funding source. The allocation memorandums will suffice for this report.
- REPORT IV To be supplied by the Vice President for Academic Affairs' office. It will include a report of school and department allocations of assigned time. This "school" assigned time should be reported separately, so as not to be confused with "university" assigned time.

Distribution of Reports

The following will receive complete reports relating to all schools/departments:

President of the University
Vice President for Academic Affairs
Vice President for Business Affairs
Budget Officer
School Deans
Executive Committee of the Academic Senate
ASI President
ASI Controller
Remaining Members, Instructional Program Resources Advisory Committee
Members, Academic Senate Budget Committee
Special Collections and Archives, Library

The following will receive the report relating to their respective school only:

All Departments in the School (2 copies--one for the department head/chair and one for the faculty)

Remaining Academic Senators

ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY, SAN LUIS OBISPO

AS-25-77/BC
March 8, 1977

BUDGET INFORMATION RESOLUTION

- WHEREAS, The faculty at Cal Poly are striving to achieve input in the budgetary process affecting the instructional budget at California Polytechnic State University, San Luis Obispo, and
- WHEREAS, The faculty can have the greatest influence in budgetary matters at the school/division/department/program levels, and
- WHEREAS, The faculty must have information on current budgets to provide valuable input in the budgetary process, and
- WHEREAS, All faculty members are not currently being made aware of the budgets of the schools/divisions/departments/programs in which they serve, now, be it therefore
- RESOLVED: That each September the proposed budget for the upcoming academic year, and the final budget figures for the past academic year in each school/division/department/program should be distributed to all faculty members within said school/division/department/program; and, be it further
- RESOLVED: That budget figures at the school/division level are to be distributed by the Dean and should include all aspects of the instructional program by department including faculty position, operating expense, equipment, replacement equipment, in state and out of state travel, and technical/clerical/student assistant allocations; and, be it further
- RESOLVED: That budget figures at the department/program level are to be distributed by the department head or program leader and should also include all aspects of the instructional program, and should provide greater detail than the budget figures provided at the school level.

APPROVED

MARCH 8, 1977

**FILE COPY
RECEIVED**

April 24, 1976

Academic Senate

4/K> H. Jones, Chandler,
Andrews, Landreth

Tom Hale, Chair
Academic Senate

Robert E. Kennedy

Academic Senate Resolution--Budget Information

Your memo of March 9 transmitted to me a resolution adopted by the Academic Senate to the effect that various budgetary information be made available to the faculty of each department/program. After review with appropriate personnel, I am approving what I perceive to be the intent of that resolution. As you and members of the Senate are no doubt aware, some schools and/or departments currently make this information known to the faculty in a variety of ways, others do not. In order to assure that basic information, as a minimum, is made available I am forwarding to Vice President Jones and Director of Business Affairs Landreth the attached sample format for possible use by school deans and department heads. In so doing, it is not my intent to mandate that this format be used or to require those administrators currently making information available to conform to the format. Rather, its purpose is to provide a guide to the information which should be made available.

Further, I am leaving to the judgment of the deans and department heads the medium to be used in distributing the information. Some may choose to do it through a departmental or school memo, others may wish to distribute the information through the school council or departmental council minutes. By copy of this memo I am asking Dr. Jones to implement the distribution of information in all instructional areas beginning with Fall, 1977.

Attachment

LV:m1

(Sample)

ZEE Departmental Summary

<u>Positions:</u>	<u>1975-76 Actual</u>	<u>1976-77 Budgeted</u>
Administrative FTE	0.6	0.6
Faculty, FTE	12.5	13.0
Support Staff, FTE	3.0	4.0
Student Assistants, FTE	<u>1.4</u>	<u>1.1</u>
Total FTE Positions	17.7 *	18.9 *

Operating Expense and Equipment:

Supplies and Services	\$ 8,831	\$ 10,672
Travel In-State	368	397
Travel Out-State	(Budgeted by School)	
Regular Equipment	3,132	2,567
Replacement Equipment	2,118	2,320

Student Credit Units Data

Department SCU	2401	2411
Department SCU as % of Campus Total	1.1%	1.1%

*Positions subject to salary savings requirements: 2% faculty and 4% nonfaculty.

(Sample)

School of XYZ Summary

	<u>1975-76 Actual</u>	<u>1976-77 Budgeted</u>
<u>Positions:</u>		
Administrative, FTE	3.24	3.28
Faculty, FTE	93.4	95.2
Support Staff, FTE	15.8	16.0
Student Assistant, FTE	<u>7.1</u>	<u>7.2</u>
Total FTE Positions	119.54*	121.68*
<u>Operating Expenses and Equipment:</u>		
Supplies and Services	\$ 86,434	\$ 93,278
Travel In-State	3,420	3,840
Travel Out-State	3,182	3,633
Regular Equipment	23,144	25,676
Replacement Equipment	22,604	24,898
<u>Student Credit Units Data</u>		
School SCU	13,409	13,509
University SCU	213,521	212,416

*Positions subject to salary savings requirements: 2% faculty and 4% nonfaculty.

THE CALIFORNIA STATE UNIVERSITY
 Office of the Chancellor
 400 Golden Shore
 P.O. Box 1590
 Long Beach, California 90801-1590
 (213) 590-5741

Code: BA 87-14

Date: June 26, 1987

To: ✓ Presidents

From: W. Ann Reynolds
Chancellor*W Ann Reynolds*

Subject: Campus Budget Advisory Committee

In July 1986, the Board of Trustees adopted several priority topics for review during the year. One of the items involved "Student Representation on Campus Budget Committees". Concern had been expressed by the student leadership about the actual functioning of Campus Budget Advisory Committees (CBAC's) that are required by Board of Trustee policy.

As background to this issue, three specific events occurred:

- In September of 1984 the Board of Trustees established new student fee policies which incorporated several principles including:
 - a. Students should be active participants in the consideration of program and budget related issues.
 - b. Committees, which include students, faculty and any other appropriate constituency, shall exist at each of the campuses and at the system level to offer advice on budget policy, planning and resource allocation.
- * - In September of 1985 the Board of Trustees approved the statement of Collegiality with the CSU which "... recognizes the value of participation by the faculty in budgetary matters, particularly those directly affecting the areas for which the faculty has primary responsibility".
- * - In January of 1986 the Trustees received a report on structure and operation of CBAC's. The report showed that a wide variety of structure existed, but that all campuses appeared to be in compliance with the policy.

Distribution:

Vice Presidents, Academic Affairs
 Vice Presidents, Administration
 Vice Presidents/Deans of Students
 Financial Managers
 Budget Officers
 Accounting Officers
 Chancellor's Office Staff

Academic Senate Chairs
 Associated Students Presidents
 Chair, Statewide Academic Senate
 Chair, CSSA

Presidents
June 26, 1987
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The work plan for addressing this issue stated that it would be referred to the System Budget Advisory Committee (SBAC) for review and recommendation. The SBAC, working with the Executive Council, Statewide Academic Senate and CSSA, developed the principles included in Attachment A entitled "The Role of Faculty and Students in Budgetary Matters".

By this memorandum, I am endorsing the attached principles for implementation on all campuses. Information on the functioning of CBAC's shall be maintained by each campus so that future reports to the Board of Trustees may be readily compiled as necessary. The information maintained shall include dates and agendas for meetings, attendees and a record of committee recommendations.

If there are any questions about these principles, please contact John Richards of Budget Planning and Administration, (ATSS) 8-635-5725.

WAR:trm

Attachment

ATTACHMENT A

ROLE OF FACULTY AND STUDENTS IN BUDGETARY MATTERS

Principles

1. Access to Information

- a. Faculty, student, and other members of the University community are entitled to information which provides a meaningful summary of the institution's budgetary status and financial condition.
- b. Persons serving in a formal consultative role should have early access to relevant information regarding the public funds available to the institution and their use.
- c. The campus policies and procedures employed in the development of the campus budget should be clearly described and understood by those engaged in formal consultative roles.
- d. The campus policies and procedures employed in the allocation of campus resources should be clearly described and understood by those engaged in formal consultative roles.
- e. The groups engaged in formal consultation, and the procedures employed in the consultative process should be clearly described and understood by those engaged in the process.

2. Formal Consultation Process.

- a. There will be a committee, or committees, advisory to the President, or designee(s) of the President. The committee(s) will include faculty and students selected through established campus governance procedures. The President or designee, may appoint additional members because of their special expertise or value to the committee.
- b. The role of the committee(s) in budget matters, including special considerations such as lottery funds, will be made known clearly through a written charge to the committee.
- c. Regular committee processes normally should be followed, including the preparation of timely agendas, advance distribution of discussion material, and maintenance of a written record of the committee's recommendations. Actions regarding recommendations will be communicated to the participants.
- d. The desirability of membership continuity in budget deliberations should be recognized by appropriate terms of service.

AC : Academic
Senate
Budget Committee
September 17, 1987 Member

School Deans Bailey, Busselen, Carter, Ding,
Ericson, Lee, Walters

Malcolm W. Wilson
Vice President for Academic Affairs

J. Landreth
J. Pieper
M. Suess
R. Ramirez
F. Lebens
C. Clifford
C. Crabb

Faculty Position Control - 1987/88

You have previously been apprised of the problem experienced by the campus this past year in meeting a major funding deficit in Instruction as indicated in my memorandum of July 27, 1987. The problem is principally attributable to the expenditures for faculty salaries and wages.

We discussed at our recent Deans' Workshop limitations designed to minimize the potential for a similar deficit this year. The following limitations are now in effect:

- 1) Sabbatical leave and difference-in-pay leave replacements are limited to the funded level (i.e., Assistant Professor, step 8, for sabbatical replacements and Instructor, step 4, for difference-in-pay replacements). Exceptions are permitted only in those instances where a source of funds to cover the differential cost is identified. Lists indicating the name and salary level of the replacements, the name and salary level of the individuals being replaced, and the quarter(s) that the replacement will be employed, are to be forwarded to my office with a copy to the Personnel Office no later than the first day of each academic quarter. It is understood that considerable activity toward naming replacements has already taken place for the Fall Quarter and in those instances, as well as those where replacements have been named for the full year, we will have to make exceptions to the rank and step limitations cited previously.
- 2) Replacement of tenure track positions will be permissible only up to the budgeted level, i.e., the level at which the incumbent is being compensated as of the prior June 30, and in the case of vacant positions at Assistant Professor, step 8. On all appointment recommendations forwarded to the Personnel Office for processing, the name of the person being replaced is to be indicated or the position must be identified as new or vacant. Savings derived from the appointment of individuals at less than the amount for which the position is budgeted will revert to salary savings for Instruction, and are not available for use at the school level.
- 3) Summer Quarter allocations will be based on both a position control and a dollar control for Summer 1988. This will require extremely tight control by the schools and it is important that faculty be advised that they will not necessarily be afforded the opportunity to teach merely because they are eligible per the QSYRO (quarter system year-round operation) rules. I, again, stress the need to make appointments exclusively on the basis of student demand and not merely on the basis of the eligibility of a faculty member to teach. Tight control must likewise be maintained on course offerings in the Summer Quarter.

School Deans
Page 2
September 17, 1987

- 4) Disencumbrances of faculty positions will be limited only to those situations that are well documented and justified. In keeping with the University-wide need to meet instructional salary savings, I am asking that deans minimize disencumbrance requests.
- 5) Assigned time must be awarded with discretion. Since the above actions could impact FTE generation, it is imperative that assigned time be utilized judiciously so as to not place the campus at risk in meeting budgeted FTE.

As mentioned at the workshops, the intention is to utilize SuperCalc 3 and dBase III Plus software in producing faculty rosters that you can utilize to facilitate position control. In the event your office does not have access to these software packages and to an IBM PC compatible, please let us know immediately.

Your cooperation in working toward minimizing any instructional funding shortfalls this year is most appreciated.