

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

**FILE COPY**

**Executive Committee Agenda**  
**Tuesday, January 19, 1988**  
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	Peck, Roxy	Stat
Burgunder, Lee	BusAdm	Sharp, Harry	SpCom
Crabb, A. Charles (CH)	CropSci	Terry, Raymond	Math
Forgeng, William	MetEngr	Weatherby, Joseph	PoliSci
Gooden, Reg	PoliSci	Wilson, Malcolm	VPAA
Hellyer, George	AgMgt	<b>Copies:</b> Warren J. Baker	
Kersten, Timothy	Econ	Glenn Irvin	
		Howard West	

- I. Minutes:  
Approval of the January 5, 1988 Executive Committee Minutes (pp. 2-4).
- II. Communications:  
Letter from Krochalk to Crabb dated 12/31/87 re Center for Innovative Programs (p. 5).
- III. Reports:  
A. President  
B. Academic Affairs Office  
C. Statewide Senators
- IV. Consent Agenda:
- V. Business Items:  
A. Resolution on Academic Promotion: CAM 342.2-Murphy, Chair of the Personnel Policies Committee (pp. 6-13).  
B. Resolution on Tenure for Academic Employees: CAM 344-Murphy, Chair of the Personnel Policies Committee (pp. 14-19).  
C. Emergency Resolution on Summer Quarter Funding-Murphy, Chair of the Personnel Policies Committee (p. 20).  
D. Resolution on Indirect Costs Utilization: CAM 543-Jamieson, Chair of the Research Committee (pp. 21-24).
- VI. Discussion Item:
- VII. Adjournment:

*1.5.88  
minutes  
revised*

The California State University  
CENTER FOR INNOVATIVE PROGRAMS

RECEIVED  
CSU

December 31, 1987

JAN 6 1988

Academic Senate

Dr. Charles Crabb,  
Chair, Academic Senate  
California Polytechnic State University, San Luis Obispo  
San Luis Obispo, California 93407

Dear Dr. Crabb:

You recently received materials describing the Center for Innovative Programs and the programs and services available to CSU faculty. Specifically, I would like to call your attention to the Scholar in Residence Program. Space and stipends are still available for the months of January and February, and we would appreciate your help in making contact with faculty interested in this program.

The Scholar in Residence Program enables individual faculty to utilize Center resources for instructional development and delivery of courses and programs involving adult learners. Full-time faculty in all disciplines are encouraged to apply. The program operates year round, and dates of residency at the Center are scheduled according to faculty availability. Stipends are available to support travel and lodging on an as needed basis.

Enclosed are several application forms along with a statement of the mission and functions of the Center. We would appreciate your assistance in disseminating this information. Faculty should feel free to contact us directly with questions about the program and to discuss their project proposals.

Please let me know if you are in need of further information. Again, we thank you for your assistance and look forward to hearing from the faculty at your campus.

Sincerely,



Pamela C. Krochalk, Dr. P.H.  
Associate Director  
Research and Evaluation

A-129

Enclosure

<sup>6</sup>  
**RECEIVED**

**Academic Senate Office**

**State of California**

**JAN 11 1988**

**California Polytechnic State University  
San Luis Obispo, California 93407**

**805/756-1258**

**Academic Senate**

**M E M O R A N D U M**

**To:** Academic Senate Executive Committee      **Date:** January 7, 1988  
**From:** Paul Murphy, Chair *pm/mw*      **Copies:** Academic Senate  
Academic Senate Personnel Policies Committee      Personnel Policies Committee  
**Subject:** Revision of CAM Sections 342.2 and 344, Academic Promotion and Tenure

At its seventh meeting of Fall Quarter on November 23, 1987, the Personnel Policies Committee unanimously approved the attached resolutions.

Attachments

Adopted: \_\_\_\_\_

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

Background statement: The current sections of CAM (342.2 and 344) covering academic promotion and tenure have been out-of-date since 1983--the date of the initial collective bargaining contract. In addition, two other concerns were brought to the attention of the Personnel Policies Committee in recent months:

1. Early promotion and tenure cases are not adequately addressed in the current CAM sections;
2. Academic promotion of administrators is not addressed in CAM.

These CAM sections were considered simultaneously by the committee in order to formulate a coherent policy. The committee recommends the following resolutions be approved concurrently by the Academic Senate.

**AS-\_\_\_\_-88/\_\_\_\_**

**RESOLUTION ON  
ACADEMIC PROMOTION**

- WHEREAS, The current CAM 342.2 is out-of-date; and
- WHEREAS, Early promotion is not adequately addressed in the current CAM 342.2; and
- WHEREAS, Academic promotion of administrators is not addressed in CAM; therefore, be it
- RESOLVED: That the current CAM 342.2 be deleted; and be it further
- RESOLVED: That the attached CAM 342.2 be added.

Proposed By:  
Academic Senate Personnel  
Policies Committee  
January 19, 1988

## 342.2 ACADEMIC PROMOTIONS

### A. Eligibility

Promotion eligibility shall be governed by the terms of Article 14 of the Memorandum of Understanding (MOU) between the CSU and Unit 3 Faculty. In particular, tenure is required for promotion to professor. In addition, persons (other than department heads/chairs) whose primary duties are administrative shall not be eligible for academic promotion.

### B. Criteria and Procedures (also consult CAM 341.1.D, E and F)

1. Performance reviews for promotion purposes shall be conducted in accordance with Article 15 of the MOU. Additional school (department) criteria and procedures shall be in accordance with the MOU and shall be approved by the Vice President for Academic Affairs.
2. Applicants for promotion shall submit a resume which indicates evidence of promotability. This resume shall include all categories pertinent to promotion consideration: teaching activities and performance, professional growth and achievement, service to the university and community, and any other activities which indicate professional commitment, service, or contribution to the discipline, department, school, university, or community.

To assist applicants in preparing their resumes, the dean of each school shall forward a copy of the Faculty Resume Worksheet (CAM Appendix XII) to each applicant at the beginning of the promotion cycle.

3. In addition to their carefully documented recommendations, department peer review committees, department heads/chairs, school peer review committees, and school deans shall submit a ranking of those promotion applicants who were positively recommended at their respective level.
4. Promotion in rank is in no way automatic and is granted only in recognition of competence, professional performance, and meritorious service during the period in rank. Recommendations for promotion of individuals are based on the exhibition of merit and ability in each of the following four factors:

#### a. Teaching Performance and/or Other Professional Performance

Consideration is to be given to such factors as the faculty member's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of course, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student consultation, and other factors relating to performance as a teacher.

In formulating recommendations on the promotion of teaching faculty, evaluators will place emphasis on success in instruction. The results of the Student Evaluation of Faculty



program are to be considered in formulating recommendations based on teaching performance.

- b. **Professional Growth and Achievement**  
Consideration is to be given to the faculty member's original preparation and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, and publications.
  - c. **Service to University and Community**  
Consideration is to be given to the faculty member's participation in academic advisement; placement follow-up; cocurricular activities; department, school, and university committees and individual assignments; systemwide assignments; and service in community affairs directly related to the faculty member's teaching service area, as distinguished from those contributions to more generalized community activities.
  - d. **Other Factors of Consideration**  
Consideration is to be given to such factors as the faculty member's ability to relate with colleagues, initiative, cooperativeness, and dependability.
5. Department heads/chairs and deans shall use Form 109 (CAM Appendix I) for evaluation of promotion applicants. Department (school) peer review committees will submit their recommendations in a form that is in accordance with their department (school) promotion procedures.
6. **Normal Promotion**
- a. An application for promotion to associate professor is considered normal if the applicant is eligible and both of the following conditions hold:
    - (i) the applicant is tenured or the applicant is also applying for tenure.
    - (ii) the applicant has received four Merit Salary Adjustments (MSA's) (while an assistant professor) or the applicant has reached the maximum salary for assistant professor.
  - b. An application for promotion to professor is considered normal if the applicant is eligible and the applicant has received four MSA's (while an associate professor) or the applicant has reached the maximum salary for associate professor.
7. **Early Promotion**
- a. An application for promotion to associate professor is considered "early" if the applicant is eligible and one (or both) of the following is (are) true:

- (i) the applicant is a probationary faculty member who is not also applying for tenure.
  - (ii) the applicant has not received four MSA's (while an assistant professor) and the applicant has not reached the maximum salary for assistant professor.
- b. An application for promotion to professor is considered "early" if the applicant is eligible and the applicant has not received four MSA's (while an associate professor) and the applicant has not reached the maximum salary for associate professor.
- c. Early promotion will only be granted in exceptional cases. The circumstances which make the case exceptional shall be fully documented by the candidate and validated by evaluators. The fact that an applicant meets the criteria for normal promotion does not in itself constitute an exceptional case.

1. Persons occupying academic rank positions but assigned full time to non-instructional duties will be considered for promotion by the administration; persons assigned to both teaching and instructional-administrative duties will be considered for promotion in both areas.
2. Normally promotions of academic employees may be made only after the completion of at least one full academic year of service in the fifth salary step of the rank. In case of overlapping steps in salary ranges between academic ranks, an individual will receive at the time of promotion a one-step increase in salary. Individuals are not eligible for promotion in academic

rank solely by virtue of added administrative responsibility. Merit salary increases are increases within a salary range and are not considered to be promotions. Exception to this promotion policy may be authorized only by the University President or a designee.

3. An academic employee must have tenure or be simultaneously awarded tenure before promotion to the Associate Professor or Professor ranks can be approved. The granting of tenure does not guarantee future promotion.
4. Possession of the doctorate or other normal terminal degree from an accredited institution is a usual prerequisite for promotion beyond the rank of Assistant Professor. Exceptions may be made in those instances where the faculty member has received recognition for outstanding professional accomplishment in the academic community and possesses special qualifications according to approved criteria established for personnel actions by each department, school, or other organizational unit.
5. The Dean of each School shall notify all faculty who are eligible for promotion consideration by the last day of instruction in September of the academic year in which they are eligible, or as soon thereafter as possible. Only those technically eligible faculty members who submit a written request to the School Dean for promotion consideration by a date specified by the School's statement of personnel action procedures shall be evaluated for promotion.

To assist each faculty member in preparing his/her resume, the Dean of each School shall forward a copy of the policy statement requiring an updated resume (CAM 342.2.A.6) and a copy of the Faculty Resume Worksheet appearing in CAM Appendix XII at the time of notification of eligibility for promotion consideration.

6. Each faculty member requesting promotion consideration shall update his/her personnel file and submit a resume which indicates evidence of promotability. This resume shall include all categories pertinent to promotion consideration: teaching activities and performance, professional growth and achievement, service to the university and community, and any other activities or interests which indicate professional commitment, service, or contribution to the discipline, department, university, or community.
7. In exceptional cases, a faculty member who is not technically eligible (by virtue of not having served one full academic year at the fifth step of the then held rank) is recognized both on and off campus (i.e., by state or national professional societies) as outstanding in all areas of evaluation according to approved criteria established by each department, school or other professional unit, may be considered for promotion. In such instances, a department's faculty and department head may initiate a request for early promotion review and make a recommendation to the Dean that will then become a part of the regular promotion cycle in that academic year.
8. The number of promotions within the university shall not exceed existing budget appropriations available for such promotions.

#### B. Criteria and Procedures for Promotion in Rank

Promotion in rank is in no way automatic but is granted only in recognition of competence, professional performance, and meritorious service during the period in rank. Recommendations for promotion of individuals are based on the four factors and their subordinate subfactors listed on the Faculty Evaluation Form with emphasis on the exhibition of merit and ability in each factor. The criterion for each is relevance to the faculty member's overall contribution to the total objectives of the university, the basic purpose of which is to serve the students. Moreover, because there is a wide range of talents in the faculty, a variety of



- (4) Does not meet satisfactorily the requirements of the present assignment.
- b. The department head will write the reasons for the rating of each member, using the positive approach of specific examples of achievement relative to any appropriate items. In support of the evaluation, the department head shall provide reliable evidence which will validate the rating and the recommendation.
  - c. The department head will place emphasis on success in instruction.
  - d. Since professional improvement, as well as promotion, is a goal of this evaluation program, the department head will discuss with each member the content of the report made on the individual. The evaluation report on each academic employee shall be initialed by the individual before it is submitted to the school dean or division head.
  - e. The department head will present to and discuss with the school dean or division head the written recommendations for promotions by February 10. In arriving at recommendations the department head will consult tenured members of the department staff, or a committee of same, having ranks higher than those of the persons eligible, and the results of such consultation shall be presented in writing to accompany the recommendations. The consultative evaluation, signed by the committee chairperson or the committee members, or as individually signed statements, shall include reasons in sufficient detail to validate the recommendations of the consulted group. In those instances where the consultative evaluation represents a consensus opinion and is signed by the committee chairperson, the filing of a minority report by committee members whose opinions differ from the views expressed in the majority report is permitted and encouraged. To insure consideration, such a minority report should accompany the majority report at the time it is forwarded to the department head.
  - f. Priority lists by department and school/division should be submitted with the promotion evaluations of those being recommended for promotion. The criteria to be used for ranking at the department and school levels are the same as that used in determining whether or not promotion is recommended. The departmental priority listing should originate with the appropriate departmental faculty committee, reviewed at each consultative level and included as part of the total promotion package. Deans, in arriving at a single priority list for the school, are to consult with a standing or ad hoc committee comprised of either the Chair of the Tenured Faculty (provided this person is a tenured full Professor) or a tenured full Professor selected from each department. If a department does not have a tenured full professor, there will not be membership on the committee from that department unless otherwise provided for in the approved school procedures or approved in advance by the Vice President for Academic Affairs.

Reports, evaluations, and recommendations of all candidates for promotion regardless of whether promotion is recommended at the departmental level, together with the departmental priority list, should be made available to members of the school standing or ad hoc committee. This committee may request additional information concerning faculty members being considered for promotion. The report by the committee to the school deans should include a recommendation for each individual who has requested promotion as to: (1) whether or not promotion is recommended; and (2) a relative ranking of those being recommended for promotion. Recommendations by the committee are advisory to the school dean/division head who is required to submit a recommendation for each candidate and a single priority list of those recommended for promotion at school level.

- g. If an individual is not recommended for promotion by the department head, the person shall be invited by the department head, in writing, to discuss the decision; if the individual is not recommended for promotion by the school dean or division head but is recommended by the department head, the school dean or division head shall invite, in writing, the individual to discuss the decision in the presence of the department head. When discussions are held they shall take place prior to submission of materials to the Personnel Review Committee by March 15. When the school dean or division head disagrees with the department head's recommendation, a copy of the evaluation shall be sent to the faculty member.
- h. The school dean or division head will evaluate the performance of the department heads in the school or division, taking into consideration performance of administrative duties, and will make recommendations on department heads.
- i. School deans, division heads or directors will present recommendations to the appropriate Vice President or the Dean of Students by March 10.
- j. Review of recommendations will be forwarded by the Personnel Review Committee of the Academic Senate on May 1 to the President's designee (Vice President for Academic Affairs, Executive Vice President or Dean of Students, as appropriate).
- k. The Vice President for Academic Affairs, Executive Vice President, and Dean of Students will forward their recommendation to the President.
- l. Notices to faculty of promotion or nonpromotion are sent by the University President by June 1.

#### C. Effective Date of Promotions

The effective date for faculty promotions will be stated in the notice sent by the University President to the promoted faculty members. In accordance with existing regulations, effective dates for pay purposes of promotions in rank are determined as follows:

##### 1. Academic Year and 10-Month Employees

Promotions of academic year and 10-month employees who will have completed at least one full year of service at the fifth step of an academic rank by the beginning of the fall quarter of the college year following receipt of notice of promotion are effective with the beginning of the September pay period.

Promotions of academic year and 10-month employees who will have completed one full year of service at the fifth step of an academic rank at a date during the next college year but after the beginning of the fall quarter will become effective with the beginning of the first academic quarter following completion of one year of service in the fifth pay step.

##### 2. 12-Month Academic Employees

Promotions of 12-month academic employees who, at the time of notification of promotion, have not yet completed at least one full year of service at the fifth step of an academic rank will become effective with the beginning of the month following completion of one year of service in the fifth pay step but no earlier than the beginning of the next September pay period.

Promotions of 12-month academic employees who at the time of notification of promotion have already completed at least one full year of service at the fifth pay step of an academic rank will become effective with the beginning of the next September pay period.

Adopted: \_\_\_\_\_

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

Background statement: The current sections of CAM (342.2 and 344) covering academic promotion and tenure have been out-of-date since 1983--the date of the initial collective bargaining contract. In addition, two other concerns were brought to the attention of the Personnel Policies Committee in recent months:

1. Early promotion and tenure cases are not adequately addressed in the current CAM sections;
2. Academic promotion of administrators is not addressed in CAM.

These CAM sections were considered simultaneously by the committee in order to formulate a coherent policy. The committee recommends the following resolutions be approved concurrently by the Academic Senate.

AS-\_\_\_\_-88/\_\_\_\_

**RESOLUTION ON**  
**TENURE FOR ACADEMIC EMPLOYEES**

- WHEREAS, The current CAM 344 is out-of-date; and
- WHEREAS, Early tenure is not adequately addressed in the current CAM 344; and
- RESOLVED: That the current CAM 344 be deleted; and be it further
- RESOLVED: That the attached CAM 344 be added.

Proposed By:  
Academic Senate Personnel  
Policies Committee  
January 19, 1988

## 344 TENURE FOR ACADEMIC EMPLOYEES

### A. Eligibility

Tenure eligibility shall be governed by the terms of Article 13 of the Memorandum of Understanding (MOU) between the CSU and Unit 3 Faculty.

### B. Criteria and Procedures (also consult CAM 341.1.D, E and F)

1. Tenure decisions are considered more critical to the university than promotion decisions. The fact that a probationary faculty member has received early promotion to associate professor is not a guarantee of tenure.

2. Performance reviews for the purpose of award of tenure shall be conducted in accordance with Article 15 of the MOU. Additional school (department) criteria and procedures shall be in accordance with the MOU and shall be approved by the Vice President for Academic Affairs.

3. Applicants for tenure shall submit a resume which indicates evidence supporting the award of tenure. This resume shall include all categories pertinent to tenure consideration, teaching activities and performance, professional growth and achievement, service to the university and community, and any other activities which indicate professional commitment, service, or contribution to the discipline, department, school, university, or community.

To assist applicants in preparing their resumes, the dean of each school shall forward a copy of the Faculty Resume Worksheet (CAM Appendix XII) to each applicant at the beginning of the tenure cycle.

4. Recommendations for tenure are based on the same factors as for promotion (see CAM 342.2.B.4). In addition, special attention shall be given to the applicant's working relationships with colleagues, potential for further professional achievement, and commitment to the department and university. The award of tenure is a major commitment by the university to the applicant and recommendations should substantiate the fact that such an award is advantageous to the university.
5. Department heads/chairs and deans shall use Form 109 (CAM Appendix I) for evaluation of tenure applicants. Department (school) peer review committees shall submit their recommendations in a form that is in accordance with department (school) tenure procedures.
6. Normal Tenure

A tenure award is considered normal if the award is made after the applicant has credit for six (6) years of full-time probationary service (including any credit for prior service granted at the time of appointment, MOU 13.3, 13.4).

7. Early Tenure

- a. A tenure award is considered "early" if the award is made prior to the applicant's having credit for six (6) years of full-time probationary service (including any credit for prior service granted at the time of appointment).
- b. In addition to meeting department (school) criteria for normal tenure, an applicant for early tenure must provide evidence of outstanding performance in each of the areas of: teaching, professional growth and achievement, and service to the university and community.
- c. Tenure awarded by the President at the time of appointment (MOU 13.16) shall be considered as early tenure, and such an award shall be made in accordance with the paragraph above. (CAM 344.1.B.7.b). Candidates for appointment with tenure shall normally be tenured professors at other universities--exceptions to this provision must be carefully documented.
- d. In order to receive early tenure, an applicant shall, at a minimum, receive a favorable majority vote from the department peer review committee.



- D. Recommendations will be based on job performance, personal relationships, professional ethics, and acceptance and implementation of respective department, school and campuswide objectives. (See Support Staff Employee Performance Evaluation Form, Appendix II.)

344 Permanent Status (Tenure)

344.1 Eligibility

- A. A full-time academic employee may be considered for tenure at any time during the probationary period as outlined below.
1. The normal pattern of awarding tenure shall involve the assessment of a faculty member's performance over a period of four successive academic years; for those denied tenure following the fourth probationary year, a fifth year as a terminal notice year shall be awarded.
  2. The University President may determine to award a fifth probationary year appointment. Should it be considered by the end of that year that more time is still necessary to evaluate the probationary academic employee for tenure purposes, the President may award a final sixth probationary year appointment. For those denied tenure following the fifth or sixth probationary year, a terminal notice year shall be awarded. A probationary academic employee shall not serve more than seven successive full-time years.
  3. The University President in special circumstances may award tenure to any probationary academic employee earlier than the normal probationary period when, following an evaluation of the performance of the faculty member at the university, it is found that such early awarding of tenure is advantageous to the institution. Evaluation and recommendation for early tenure under this provision is to be conducted and submitted for consideration only during the candidate's scheduled evaluation cycle for reappointment. (See Appendix V for Schedule of Deadlines.)
  4. If an academic employee is initially appointed to the rank of Professor (Principal Instructor or Principal Vocational Instructor), the employee may be considered for tenure during the first year of employment and shall be considered for tenure during the second year of employment. The employee shall be notified not later than December 15 of the second academic year that one of the following actions will be taken: (1) employment will be terminated at the end of the second academic year; (2) tenure will be granted; or (3) the employee is to receive further evaluation and notice by June 1 of that academic year as to whether the employee will be granted tenure or will be granted a terminal notice year.
  5. Notification of award or denial of tenure is made in accordance with 5 Cal. Adm. Code 43566 as follows:
    - a. Notification of all decisions regarding the award or denial of tenure to academic employees shall be in writing and signed by the University President.
    - b. The notice of intention not to award tenure to an academic employee shall be mailed by certified mail, return receipt requested, to the academic employee's last known address, or the notice may be delivered to the academic employee in person who shall acknowledge receipt of the notice in writing. If such notice is delivered to the academic employee and the employee refuses to acknowledge receipt thereof, the person delivering the notice shall make and file with the University President an affidavit of service thereof, which affidavit shall be regarded as equivalent to acknowledgment of receipt of notice.

- c. The awarding of tenure may be accomplished only by notice by the President. Notwithstanding any provision of the **Campus Administrative Manual** to the contrary, no person shall be deemed to have been awarded tenure because notice is not given or received by the time or in the manner prescribed in the **Campus Administrative Manual**. Should it occur that no notice is received by the times prescribed in the **Campus Administrative Manual**, it is the duty of the academic employee concerned to make inquiry to determine the decision of the President, who shall without delay give notice in accordance with this section.

B. Administrative Employees

Administrative employees will be considered for permanent appointment at the time of their third performance evaluation. (See CAM 344.3.)

After serving full time successfully and acceptably for two successive years, and administrative employee becomes a permanent employee on beginning the third year of service subject to reassignment in accordance with Sections 66609 and 89539 of the Education Code.

C. Support Staff Employees

Support staff employees will be considered for permanent appointment at the time of their third performance evaluation. (See CAM 343.3.)

After serving full time successfully and acceptably for one year, a support staff employee becomes a permanent employee on beginning the second year of service.

- D. Successive years of service means continuous service unbroken by the separation and subsequent re-employment of the employee. However, under certain circumstances the school dean may determine that a leave without pay for one year or less for an academic employee may count toward the required service for tenure. (See CAM 387.2,F.) As provided in CAM 314.4,B, up to two years of full-time lectureships may be approved by the school dean as probationary service toward tenure.

344.2 Procedure for According Tenure to Academic Employees (5 Cal. Adm. Code 43560)

- A. Each year by October 1 the Director of Personnel Relations will send lists of all academic personnel eligible to be considered for tenure to department heads, the university library director, deans, and vice presidents. (See CAM 344.1)

The processing of evaluations and recommendations for academic personnel (Counselors, Student Affairs Officers, Librarians, and Academic Administrators) under the Dean of Students, the Executive Vice President, and the Vice President for Academic Affairs is subject to the same procedures and deadlines as outlined in this section. The only exception is that these recommendations of tenure or nontenure are sent for appropriate action to the President by the Dean of Students and the vice presidents. For academic employees serving in academic-administrative assignments, the Administrative Employee Evaluation Form (Appendix III) is used.

- B. Each faculty member subject to evaluation shall update his/her personnel file, using the Faculty Resume Worksheet appearing in CAM Appendix XII as a guide. Department heads will evaluate personnel on their respective lists in accordance with CAM 341.1 and will submit by November 1 the names of recommended and non-recommended personnel. (For first year academic employees being considered for tenure, January 17 is the date for this purpose.) In arriving at a recommendation, the department head will consult tenured members of the department faculty and the results of such consultation must be presented in writing to accompany the recommendation. The consultative evaluation signed by the committee chairperson or the committee members, or as individually signed statements, shall include reasons in sufficient detail to validate the recommendations of the consulted

group. In those instances where the consultative evaluation represents a consensus opinion and is signed by the committee chairperson, the filing of a minority report by committee members whose opinions differ from the views expressed in the majority report is permitted and encouraged. To insure consideration, such a minority report should accompany the majority report at the time it is forwarded to the department head.

- C. Recommendations will be based on teaching performance and/or other professional performance, professional growth and achievement, service to university and community, and such other factors as ability to relate with colleagues, initiative, cooperativeness, dependability, and health. (See Faculty Evaluation Form, Appendix I.)
- D. To be recommended for tenure the employee must be rated during the final probationary year within one of the top two performance categories listed in Section V of the Faculty Evaluation Form. If the department head recommends nontenure, a written invitation shall be sent to the individual to discuss the decision; if an initial recommendation of nontenure is made by the school dean, the individual shall be invited, in writing, to discuss the decision with the dean in the presence of the department head.
- E. School deans, division heads or directors will submit their evaluations and recommendations to the appropriate Vice President or Dean of Students by November 15 for second year personnel; December 5 for personnel with three or more years of probationary service; and January 31 for first year academic employees.
- F. The Vice President for Academic Affairs will submit to the chairperson of the Personnel Review Committee of the Academic Senate by November 19 or December 10 respectively, a list of all nonrecommended personnel for review by the Committee. (February 9 is the date to be used for this purpose for first year faculty who are being considered for tenure.) At the request of the Chairperson of the Personnel Review Committee, a sampling of positive recommendations will be provided. In addition, a list of those individuals who have been recommended for extended probationary periods (with the exception of those where there is no disagreement between recommending levels) will be submitted to the Personnel Review Committee Chairperson.
- G. The Chairperson of the Personnel Review Committee of the Academic Senate will report the results of its review and recommendations to the appropriate Vice President or Dean of Students by December 1 for second year personnel; January 15 for personnel with three or more years of probationary service; February 19 for first year academic employees. The Chairperson will forward to each school dean a copy of that portion of the report pertaining to personnel within their appropriate school.
- H. The appropriate Vice President or Dean of Students will forward his/her recommendations to the University President.
- I. The University President will notify all academic employees:
  - 1. Who are reappointed for the following year with tenure
  - 2. Who are not granted tenure and whose reappointment for the following year constitutes another probationary year appointment
  - 3. Who are not granted tenure and whose reappointment for the following year constitutes a terminal notice year appointment
  - 4. Who are not granted tenure and whose employment is to be terminated at the close of the current year
- J. Twelve-month academic employees are subject to the same tenure provisions and notice dates as academic year employees.

Revised December, 1982 |

Revised March, 1980 \*

Added December, 1982 \*\*

Adopted: \_\_\_\_\_

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

Background statement: Faculty salaries for Summer Quarter are underfunded. The university has appealed to the Chancellor, trustees and legislature for adequate funding and has had no success. In fact, there is little hope for adequate funding since the deficit caused by underfunding is unique to this campus. The three other CSU campuses which have a Summer Quarter use large numbers of lecturers in order to avoid a deficit. The Personnel Policies Committee views this alternative as neither desirable nor viable at Cal Poly. The Summer Quarter must receive a subsidy if it is to continue. The administration has made it clear that the sources in the budget which previously subsidized Summer Quarter are no longer available. Therefore, the Personnel Policies Committee, by a vote of 4-1-1, recommends the following resolution as an emergency measure for Summer Quarter, 1988.

**AS-\_\_\_\_-88/\_\_\_\_**

**Emergency  
RESOLUTION ON  
SUMMER QUARTER FUNDING**

- WHEREAS, Summer Quarter salaries are funded at Associate Professor, Step 12; and
- WHEREAS, Over 80 percent of tenured and tenure-track faculty earn salaries higher than that of an Associate Professor, Step 12; and
- WHEREAS, There is little chance that funding for Summer Quarter salaries will be increased; therefore, be it
- RESOLVED: That Summer Quarter continue to be staffed primarily by tenured and tenure-track Cal Poly faculty; and be it further
- RESOLVED: That any appointment for Summer Quarter, 1988 be made for less than 11 units, and that salaries be calculated on a 15-unit base; i.e., a 9-unit appointment at a given rank would be paid at 9/15 of the salary for that rank; and be it further
- RESOLVED: That a report on the feasibility of continuing Summer Quarter be made to the Senate by the Vice President for Academic Affairs in April, 1988.

Proposed By:  
Personnel Policies Committee  
January 19, 1988



Adopted: \_\_\_\_\_

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

**Background Statement:**

Three and a half years ago a modification to the formula for distributing overhead earned on sponsored projects was put in place which froze administrative costs to encourage research activity. The plan was to return more funds to schools, departments, and faculty. In the past few years, there has been an increase in proposal activity and sponsored grants. The number of proposals sent off campus has almost doubled, and Cal Poly's grants have increased from \$2.2 million in AY 1985 to over \$4.4 million in AY 1987.

It is difficult to ascribe this increase to any single cause. A good many other changes were made during that period which were directed to improving grant activity. However, it is understood that an important element in continuing grant activity on campus is the seeding of related work through development activity and small grants. The proposed revision to CAM 543 will support both those ends.

AS-\_\_\_\_-86/\_\_\_\_

**RESOLUTION ON**

**INDIRECT COSTS UTILIZATION: CAM 543**

- WHEREAS, An experiment in the distribution of indirect costs earned on sponsored projects was implemented beginning with AY 1985; and
- WHEREAS, It has been tested for a three-year period; and
- WHEREAS, It is a complicated procedure; and
- WHEREAS, It is desirable to simplify the procedure and maintain the value of the original plan; and
- WHEREAS, Administrative changes have also occurred which should be reflected in CAM 543; therefore, be it
- RESOLVED: That the attached changes to CAM 543 be endorsed and forwarded by the Academic Senate to the President for consideration.

Proposed by: Research Committee  
On: November 18, 1987



December 2, 1987

## PROPOSED CAM REVISION

### 543 Indirect Costs--Definition

Indirect costs are defined by the Department of Health and Human Services (DHHS) as those costs incurred in the development, administration, and running of sponsored programs that go over and above the direct costs of any specific project. These costs include expenses for space and facilities, office and laboratory equipment, maintenance, utilities, library use, accounting functions, departmental and school administration, university administration, and program development, as they are incurred on government and privately sponsored research, development, instructional, training, service, and demonstration projects.

The indirect cost rate is negotiated periodically with the DHHS and changes to reflect shifts in costs. Project developers should consult the Research Grants Development Office to determine current rates before discussing indirect costs with prospective sponsors.

#### 543.1 Policy on Indirect Cost Recovery

The university will seek full indirect costs reimbursement for each sponsored activity, whether administered through the university or through the Foundation. Because indirect costs are real expenses, funds recovered through indirect costs reimbursement are not available to provide additional support for the direct expenses of a project.

#### 543.2 Utilization of Indirect Funds

As indirect cost reimbursements for projects administered fiscally either by the university or by the Foundation are accumulated, they may be utilized by the respective business office to pay for the financial administration of the projects according to the approved rate. All other funds shall be placed in appropriate Foundation or university trust accounts designated "Unallocated Overhead," which is to be used for covering associated costs as well as for sharing throughout the university.

#### 543.3 Report on Expenditure of Indirect Costs and Proposed Utilization

At the beginning of each fiscal year (or more frequently if required) the Director of Research Development Associate Vice President for Graduate Studies, Research, and Faculty Development in cooperation with the Vice President for Business Affairs and the Foundation Executive Director will develop a summary statement that will include the following:

- A. Indirect cost income during previous fiscal year, including any balance of unused direct costs reimbursements remaining in the trust accounts.
- B. Charges during the previous fiscal year for:

1. University fiscal administration
2. Foundation fiscal administration and reserves
3. ~~Other, including space reimbursement, professional association dues for the Foundation, fees for partial support of the University Services and the CSU University Services Program, and so on.~~

C. ~~The Director of Research Development~~ Associate Vice President for Graduate Studies, Research, and Faculty Development will use the above statement as the basis for developing a proposal for the use of unallocated overheads during the current year. The proposal will be developed in consultation with the University Academic Senate Research Committee. Its objective shall be to fund adequately each of the following in priority:

1. ~~Reserves for audit purposes;~~
21. ~~Operating Supplementary~~ budget support for the ~~Research Grants~~ Development Office;
32. Reserve for program development/contingency; and
43. Uncommitted funds for use by the university, including funds remaining after the termination of fixed-price contracts.

The above summary statement and proposal will be reviewed and endorsed by the Vice President for Academic Affairs and sent to the President for approval.

543.4 Policy for Maintenance and Utilization of Reserve for Program Development/Contingency

The goal of the reserve for program development/contingency is a level sufficient to assure adequate resources for the continuing support of the research grants development activity. Its use will be restricted generally to costs associated with major proposal development or grant negotiation and to reserves necessary to ensure continuity in funding for the Research Grants Development Office. Recommendations for expenditures are made by the Director of Research Grants Development and approved by the Associate Vice President for Academic Affairs Graduate Studies, Research, and Faculty Development.

543.5 Policy for Allocating Uncommitted Indirect Cost Reimbursements

Uncommitted overhead funds approved for allocation will be distributed in the following manner and for the following purposes. ~~Seventy-five percent of the uncommitted overhead will revert to the dean of the school responsible for securing the grant or contract. The dean may use this money for equipment and supplies, travel, student assistance, or research or project development, subject to the approval of the Vice President for Academic Affairs.~~

~~Twenty-five~~ Sixty percent of uncommitted indirect cost reimbursements will be available to the University Academic Senate Research Committee, which will

solicit proposals from the faculty for research, development, ~~or and~~ other scholarly and creative activities, ~~equipment and supplies; travel to professional meetings; publication costs; or and~~ recommend grants other projects consonant with the educational functions and policies of the university; subject to the approval of the Vice President for Academic Affairs. The program under which the ~~University Academic Senate~~ Research Committee recommends proposals to the Vice President for Academic Affairs is called CARE, for Creative Activity/Research Effort.

~~The ceiling for the distribution of uncommitted overhead to the University Research Committee and deans is set by the Vice President for Academic Affairs upon recommendation of the Director, Research Development.~~

543.6 Policy for Allocating Incremental Indirect Cost Reimbursements

Thirty percent of the uncommitted overhead will go to the administrative unit directly sponsoring the project (e.g., department, dean's office, institute, or center). ~~Such~~ These funds are not discretionary, but are restricted funds, intended to be used to reinforce and foster such activities as ~~those that led to the grant that earned them. These activities may include, but are not limited to, support for research assistants; equipment; travel to attend professional meetings; books and journals; and society memberships.~~

~~Remaining indirect costs, called incremental overhead, are distributed according to the following formula: 25% Ten percent will go to the individual project director for professional development activities; 25% to the department for the promotion of sponsored activities; 25% to the sponsoring unit (institute or center or, if none, the department) for similar activities; and 25% to the Vice President for Academic Affairs' Office.~~

## **HUMAN CORPS: Proposal for Implementation at Cal Poly**

### **BACKGROUND**

California State Assembly Bill 1820 was signed into law on September 27, 1987. It calls upon each CSU campus, as well as the system as a whole, to promote student community service, particularly as it relates to meeting human needs in society. Each campus is "... to substantially increase student participation in community service by June 30, 1993, with the ultimate goal of 100 percent participation" of students devoting an average of at least 30 hours of service during each year spent at the university.

The bill defines community service as work or service performed voluntarily or for credit or compensation through nonprofit, governmental, and community based organizations, schools, or college campuses. It should be designed to provide direct experience with people or project planning with the goal of improving the quality of life for the community. Eligible activities may include, but are not limited to: tutoring, literacy training, neighborhood improvement, increasing environmental safety, assisting the elderly or disabled, and providing mental health care, particularly for disadvantaged or low-income residents.

### **PROPOSAL**

#### **Function**

To achieve this process, each campus is required to create a Human Corps Task Force. The primary function of Cal Poly's Task Force would be to assist the university in conducting ongoing assessment of the level of student involvement in community service and in supporting the development of a wide array of community service opportunities and incentives. Specific responsibilities are outlined by AB 1820. They include (but the Task Force is not limited to):

1. Promoting awareness among students, community groups, faculty, employment recruiters, and administrators of the service expectation;
2. Promoting communication among the various campus community service programs in operation;
3. Providing commendations to the CSU system-wide Human Corps Task Force;
4. Surveying current participation and developing a recordkeeping system;
5. Creating a statement of university commitment;
6. Creating a long-range plan for a comprehensive service program; and
7. Establishing criteria for determining what activities qualify as community service and what agencies or programs can reasonably use student assistance.

## Membership

The Human Corps Task Force differs from most university-wide committees in that it must include not only students, faculty, and administrators, but also representatives from the community, representatives from schools, local businesses and government, nonprofit associations, social service agencies and philanthropies. The group also must reflect the ethnic and racial diversity of the institution and the surrounding community.

The Task Force shall be composed of a Task Force Board of Directors and of ad hoc groups established by the Board to address each of the Human Corps Task Force responsibilities as outlined in AB 1820 to consider recommendations made in the CSU Task Force for Civic Service Internships.

Voting members of the steering committee shall include:

- The campus designee to the statewide Human Corps Task Force who shall chair the Board
- Vice President for Academic Affairs
- Vice President for Business Affairs
- Dean of Students
- Chair of the Academic Senate
- Two faculty members nominated by the Chair of the Academic Senate
- ASI President
- Two students nominated by the ASI President
- Director of the Cal Poly Foundation
- Chief Administrative Officer of the City of San Luis Obispo
- Chief Administrative Officer of the County of San Luis Obispo
- Director of Neighbors Helping Neighbors
- A representative from the Private Industry Council

Nonvoting members include:

- Director of Student Life and Activities
- Director of the Placement Center Work Experience Program
- Director of Financial Aid
- Director of Admissions and Records



**HUMAN CORPS: ITEMS INCLUDED IN AB 1820 AND IN THE REPORT  
OF THE TASK FORCE ON CIVIC SERVICE INTERNSHIPS THAT SHOULD  
GO TO A FACULTY COMMITTEE**

1. Developing/supporting the creation of service opportunities offered for credit, including promotion of communication among faculty.
2. Identifying current "for credit" public service opportunities provided by academic departments.
3. Creating long-range goals and a plan that addresses credit-bearing opportunities.
4. Create ways to ensure that service-for-credit experiences are equivalent to or meet established campus standards of teaching and learning required of all courses.
5. Create ways to certify that students are prepared to benefit from such community service opportunities.
6. Develop criteria for judging what would be appropriate service assignments and/or agencies to participate.
7. Provide input to the statewide Human Corps Task Force.
8. Promote awareness among faculty of the service expectation set forth in AB 1820.
9. Review all recommendations and send them to other Senate committees as appropriate.