Meeting of the Academic Senate  
Tuesday, February 5, 2019  
UU 220, 3:10 to 5:00 pm

I. Minutes: None

II. Communication(s) and Announcement(s): none.

III. Reports:
A. Academic Senate Chair:
B. President’s Office:
C. Provost:
D. Vice President for Student Affairs:
E. Statewide Senate:
F. CFA:
G. ASI:

IV. Business Items:
A. Resolution on Minors: Brian Self, Academic Senate Curriculum Committee Chair, first reading (pp. 2-11).
B. [TIME CERTAIN 4:00 p.m.] Resolution on Creation of New Department for Interdisciplinary Studies in the Liberal Arts: Elizabeth Lowham, Political Science Department Chair and Kathryn Rummell, Interim CLA Dean, second reading (pp. 12-21).
C. [TIME CERTAIN 4:15 p.m.] Resolution on Campus Climate: University Ombuds and Training: Paul Choboter, Math Department, second reading (pp. 22-57).
D. Resolution on Endorsing Main Components of Cal Poly’s Strategic Plan: Sean Hurley, Chair Budget and Long-Range Planning Committee, second reading (pp. 58-66).
E. Resolution on University Faculty Personnel Policies Chapter 1: Preface: Ken Brown, Chair Faculty Affairs Committee, second reading (pp. 67-72).
F. Resolution on University Faculty Personnel Policies Chapter 2: Faculty Appointments: Ken Brown, Chair Faculty Affairs Committee, second reading (pp. 73-79).
G. Resolution on University Faculty Personnel Policies Chapter 3: Personnel Files: Ken Brown, Chair Faculty Affairs Committee, second reading (pp. 80-84).
H. Resolution on University Faculty Personnel Policies Chapter 4: Responsibilities in Faculty Evaluation: Ken Brown, Chair Faculty Affairs Committee, second reading (pp. 85-92).
I. Resolution to Modify the Bylaws of the Academic Senate: Dustin Stegner, Academic Senate Chair, first reading (pp. 93-94).
J. Resolution to Modify Section V. Meetings of the Bylaws of the Academic Senate: Dustin Stegner, Academic Senate Chair, first reading (p. 95).

V. Discussion Item(s):

VI. Adjournment:

805-756-1258 ~~ academicsenate.calpoly.edu
RESOLUTION ON MINORS

WHEREAS, A minor has been defined as a "coherent group of courses which stands alone and provides a student with broad knowledge of and competency in an area outside of the student's major"; and

WHEREAS, A major and a minor may not be taken in the same degree program; and

WHEREAS, The minor consists of 24 to 30 quarter units, of which at least half must be upper division; and

WHEREAS, Numerous resolutions outline requirements for minors and a single comprehensive policy would provide clarity; therefore be it

RESOLVED: That the Academic Senate adopts the attached "Academic Program Review Policies and Procedures – Policy on Minors", and be it further

RESOLVED: That, as part of this policy, the Academic Senate revise the unit range of minors from 24-30 quarter units to 24-32 quarter units in order to accommodate more effectively 4-quarter-unit classes into minors.

Proposed by: Academic Senate Curriculum Committee
Date: January 17, 2019

1 (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards. (2) Indicate if this resolution supersedes or rescinds current resolutions. (3) If there is no impact on existing policy, please indicate NONE.
Academic Program Review Policies and Procedures – Policy on Minors

DEFINITION
A minor is defined as a coherent group of courses which stands alone and that provides a student with broad knowledge of and competency in an area outside the student's major.

MAJORS/MINORS
- A major and a minor may not be taken in the same degree program (e.g., a student majoring in history may not complete a minor in history, whereas a student majoring in crop science may complete a minor in plant protection).
- The minor will be completed along with the requirements for the bachelor's degree. At least 12 units must be from outside the specified Major and Support courses.

REQUIREMENTS
- Students who wish to enroll in a minor should contact the department offering the minor and meet with the minor advisor. A student should enroll in a minor as early as possible when considering their path to degree.
- A minor consists of 24 to 32 units. At least half of the units must be from upper-division courses (300- or 400-level), and at least half of the units must be taken at Cal Poly (in residence). An exception is allowed for students earning a minor that involves a significant international component (e.g., French, German, Spanish, or Italian Studies) in French, German, Spanish, or Italian Studies who complete work toward that minor through study abroad; in these cases, at least a third of the units must be taken at Cal Poly (in residence).
- Not more than one-third of the courses in a minor can be graded Credit/No Credit (CR/NC), except for courses that have mandatory CR/NC grading.
- A minimum overall 2.0 GPA is required for completion of the minor.

MINORS/GRADUATION
- The minor should be declared as soon as the student is reasonably certain that they will pursue that minor. A minor is officially declared by submitting a completed minor agreement form to the Office of the Registrar. Once a minor is formally declared and entered into the student's record, progress in the minor can be tracked on the Degree Progress report.
- The completion of the minor will be noted on the student's transcript but will not be shown on the diploma. In no case will a diploma be awarded for the minor.
MINOR SHOULD BE OUTSIDE THE MAJOR

In contrast to a concentration, a minor is defined as a coherent group of courses which stands alone and that provides a student with broad knowledge of and competency in an area outside the student's major. In contrast to a concentration, a minor stands alone and is distinct from and outside the student's degree major. For example, a major in Agricultural and Environmental Horticultural Sciences concentrating in Environmental Horticultural Science cannot obtain a Landscape Horticulture Minor but can obtain a Crop Science Minor.

A minor must require that students take a minimum of 12 units outside of their specified Major and Support courses (see definitions of Major Courses and Support Courses at the end of the document).

The 12 units (minimum) outside the specified Major or Support courses must be from

1. Free electives;
2. A list of designated electives, such as approved electives or technical electives;
3. General Education courses (as long as they are not specified as Major or Support Courses); and/or
4. Additional units that do not count towards the student's undergraduate degree requirements.

Majors in which the majority of requirements for a minor are embedded within the major and support courses shall not grant the minor to their students. The Academic Senate Curriculum Committee (ASCC) will review combinations of majors and minors to identify major-minor combinations where it is possible for students to earn both the major and the minor without taking 12 units that are outside the major. If a minor is not sufficiently "outside the student's major", a note will be added to the catalog description of the minor indicating "Minor not open to students majoring in XXX."

MINOR IS COHERENT GROUP OF COURSES

A proposal for a minor program will demonstrate that the minor is a "coherent group of courses with a defined purpose or theme." This coherence can be shown in two ways; firstly, the proposal will include a brief matrix of the Minor Program Learning Objectives correlated with the courses in the minor. The matrix should map Minor Program Learning Objectives to courses within the minor such that all PLOs are met by every student obtaining the minor. Similarly, the required courses should all meet, at least in part, one or more of the Minor PLOs.

A second strong indicator of coherence is having a core group of courses of at least 12 units that is common for all students in the minor program. Some of these units may include a choice of one course from a short list of courses that have similar content and course learning objectives. For example, the following two requirements are consistent with the intent of this policy:

Select from the following (4 units): STAT 217, STAT 218, STAT 251.
Select from the following (4 units): ENGL 330, ENGL 331, ENGL 332, ENGL 333, ENGL 334, ENGL 335, ENGL 339

The first list includes three introductory statistics courses that contain similar content but are offered for different majors. The second list focuses on British Literature during different time periods.

Proposed programs that do not have a core of 12 units in their minor should include a written statement describing how the minor offers a “coherent group of courses with a defined purpose or theme.”

The minor consists of 24 to 32 quarter units, of which, at least half must be upper-division. Twelve or more of the units in the minor must be specified courses with the remainder, if any, to be chosen from an appropriate list(s). The specified units in a minor may include a choice of one course from a short list of courses that have similar content or course learning objectives. For example, the following requirement is consistent with the intent of this policy:

—— Select from the following (4 units): STAT 217, STAT 218, STAT 251.

The above list includes three introductory statistics courses that contain similar content but are offered for different majors. The ASCC would consider the 4 units in the above example to be specified.

Programs may request an exception to the requirement that at least 12 units in a minor be specified. Exception requests must be submitted to the ASCC and should include a written justification that demonstrates how the courses in the minor enable all students to achieve the Minor Program Learning Objectives. The ASCC will review exception requests in consultation with the Minor Program to ensure that the minor offers a “coherent group of courses with a defined purpose or theme.”

A proposal for a minor program will include a brief matrix of the Minor Program Learning Objectives provided by the minor correlated with the courses in the minor. This matrix should demonstrate that the minor is a “coherent group of courses with a defined purpose or theme.” The matrix should map Minor Program Learning Objectives to courses within the minor such that all PLOs are met. Similarly, the required courses should all meet, at least in part, one or more of the Minor PLOs.

MULTIPLE MINORS

A student may count a maximum of 8 units between any two minors.

NEW MINORS

Because minors increase student choice and do not pertain to degree requirements, a new minor may be proposed at any time. A proposal for a new minor will undergo the standard academic
review process and provide learning objectives, demonstrate student interest and need, identify resources, etc.

New electives may be added to a minor at any time, but other changes may only occur during a catalog cycle.

IMPLEMENTATION

Existing minors with fewer than 12 specified units will not be required to request an exception or to provide justification, unless they propose substantive changes to the minor. All minors will need to provide Minor Program Learning Objectives and their PLO-to-course mapping for the 2021-2023 catalog. The Minor PLOs will be published in the 2021-2023 catalog.
DEFINITIONS

As stated in the Cal Poly catalog, Major Courses and Support Courses are defined as:

Major Courses

- comprise the basic knowledge in the discipline and are required of all students in the major;
- have the prefix of the major program and/or college; may be from any other prefix or discipline which are required in the major field of study;
- count toward the Major GPA; include common core courses that are at least half of the required number of units in the major;
- may be augmented by a concentration, minor or adviser approved electives;
- which fulfill General Education requirements shall be listed in the major course category with a reference (as an asterisk) to the GE area;
- should include 15 units designated at the 100-200 level.

Support Courses

- are any specified courses that are not listed in the major; do not carry the prefix of the home department, with the exception of advisor/technical/professional electives;
- are optional depending on the nature of the degree program and the judgment of the program's faculty;
- which fulfill General Education requirements shall be listed in the support course category with a reference (as an asterisk) to the GE area.
Background Material

Cal Poly first addressed minors in Resolution AS-73-79, where it endorsed "the concept of optional minors" and provided a definition:

A minor is a formal aggregate of classes in a specific subject area designed to give a student documented competency in a secondary course of study. In contrast to options and concentrations it stands alone and is distinct from and outside the student's degree major.

Additionally, it set forth that

The minor consists of 24 to 30 quarter units, of which at least half must be upper division. Twelve or more of the units in the minor must be specified courses with the remainder, if any, to be chosen from an appropriate list.

Resolution AS-213-86 tried to provide differentiation between minors and concentrations by stating "in contrast to concentrations it stands alone and is distinct from and outside the student’s degree major.”

Resolution AS-312-89 called for a study on minors at Cal Poly. This study resulted in a Resolution AS-335-90, which concluded that minors that “presented a clear central theme and justified the choice of courses in relation to that theme were the strongest. In addition interdisciplinary programs were stronger if they included a course or courses which integrated the diverse elements of the program.”

The resolution also called for minors to be included in Program Review, and that “a proposal for a minor program be required to include a brief matrix of competencies provided by the minor correlated with the courses in the minor which will fulfill those competencies.” Finally, it made minor changes to the definition of a minor:

A minor is a group of courses outside the major with a defined purpose or theme which gives documented competency in a secondary course of study.

Resolution AS-437-95 changed the policy that “A major and a minor may not be taken in the same discipline. Units taken for completion of the minor may not be counted to satisfy requirements for courses in the "major" column of the student's curriculum sheet” to simply say that “A major and a minor may not be taken in the same degree program.”

Finally, Resolution AS-775-14 established Cross-Disciplinary minors and had a provision that “the CDSM curriculum shall require at least 12 units of coursework that cannot be covered by the requirements of the student's major.”

Between 1995 and 2014, CAM was migrated to the Academic Plans and Programs site (https://academicprograms.calpoly.edu/content/academicpolicies/Policies-Undergrad/Minors). Several of the provisions were not copied over, but no Academic Senate resolutions ever officially retired or replaced the previous ones. The policies on the website as of October 9, 2018 are provided below.
Minors

Definition: A minor is defined as a coherent group of courses which stands alone and provides a student with broad knowledge of and competency in an area outside the student's major.

Majors/Minors

• A major and a minor may not be taken in the same degree program (e.g., a student majoring in history may not complete a minor in history, whereas a student majoring in crop science may complete a minor in plant protection).
• The minor will be completed along with the requirements for the bachelor's degree. Courses in the minor may be used to satisfy major, support, and general education requirements.

Requirements

• Students who wish to complete a minor are to contact the department offering the academic minor as early as possible in the program and fill out the appropriate agreement form.
• A minor consists of 24 to 30 units. At least half of the units must be from upper-division courses (300- or 400-level). For French, German, and Spanish language minors studying abroad, the residence requirement is reduced from 12 units (1/2 of the 24 required for these minors) to 8 units, 1/3 of the total.
• Not more than one-third of the courses in a minor can be graded Credit/No Credit (CR/NC), except for courses which have mandatory CR/NC grading.
• A minimum overall 2.0 GPA is required for completion of the minor. Prior to 3/29/2017, French, German and Spanish language minors must have a minimum overall 2.75 GPA.

Minors/Graduation

• The minor should be declared as soon as the student is reasonably certain that he/she will pursue that minor. Check with the minor advisor to complete the minor form, which should then be submitted to the Office of the Registrar. Once it is formally declared and entered into the student’s record, progress in the minor can be tracked on the Degree Progress report.
• The completion of the minor will be noted on the student's transcript but will not be shown on the diploma. In no case will a diploma be awarded for the minor.
Resolution on Minors Survey

Your college or organization: ____________

All questions had choices of:

☐ Strongly support  ☐ Support  ☐ Neutral  ☐ Oppose  ☐ Strongly Oppose

and allowed for further comment.

1. The current definition of a minor:
   “A minor is defined as a coherent group of courses which stands alone and provides a student with broad knowledge of and competency in an area outside of the students major.” (Academic Policies, Minors)

2. The current wording in the policy is that
   “At least 12 units must be outside of the specified Major and Support classes.”

3. The current wording in the policy (from the definition that has been used historically) is that
   “A minor should be a coherent group of courses”

4. The current wording has a number of ways to exhibit that the minor has coherence, or focus. Please indicate your support for each of these (put large X through them if you don’t think a minor should be focused or coherent).

   Having a set of 12 core units (okay if there are groupings with similar CLOs; see policy)
   Make this required
   ☐ Strongly support  ☐ Support  ☐ Neutral  ☐ Oppose  ☐ Strongly Oppose

   Have 12 core units as an option (see next statement)
   ☐ Strongly support  ☐ Support  ☐ Neutral  ☐ Oppose  ☐ Strongly Oppose

   Request explanation of coherency if the minor doesn’t have the 12 core units
   ☐ Strongly support  ☐ Support  ☐ Neutral  ☐ Oppose  ☐ Strongly Oppose

5. A minor should have Program Learning Objectives

6. A minor should map its courses to its PLOs

7. List if any of the listed provisions would make you vote against the resolution

8. Any further comments or feedback?
## Resolution on Minors Survey

| Survey # | College | 1 | Support for Current Definition of a Minor | 2 | Support for Current Wording in Policy | 3 | Support for Historical Wording in the Policy | 4 | Support for Having a Set of 12 Core Units | 5 | Support for PLO | 6 | Support to Map Courses to PLOs | 7 | Vote Against the Resolution | 8 | Other Feedback |
|----------|---------|---|----------------------------------------|---|--------------------------------------|---|----------------------------------------|---|----------------------------------------|---|----------------|---|-------------------------|---|------------------------|
| 1        | CLA     | Strongly support | Strongly support | Neutral | Strongly support | Oppose | Support | Neutral | Neutral | None | None |                  |              |              |            |
| 2        | CENG    | Strongly support | Strongly support | Strongly support | X     | X     | X     | Neutral | Neutral | None | None |                  |              |              |            |
| 3        | BLANK   | Support         | Support         | Support   | Oppose | Support | Strongly support | Neutral | Neutral | None | None |                  |              |              |            |
| 4        | CSM     | Support         | Support         | Support   | Neutral | Support | Neutral | Support | Support | None | None |                  |              |              |            |
| 5        | OCOB    | Strongly support | Neutral         | Strongly support | X     | X     | X     | Strongly support | Strongly support | None | None |                  |              |              |            |
| 6        | CENG    | Strongly oppose | Strongly oppose | Strongly oppose | X     | X     | X     | Oppose | Strongly oppose | None | Non |                  |              |              |            |
| 7        | CSM     | Support         | Strongly support | Support   | Oppose | Support | Oppose | Neutral | Neutral | None | None |                  |              |              |            |
| 8        | CSM     | Strongly support | Neutral         | Support   | Oppose | Support | Neutral | Support | Neutral | None | None |                  |              |              |            |
| 9        | CENG    | Support         | Oppose          | Support   | Strongly support | Oppose | Support | Strongly support | Strongly support | None | None |                  |              |              |            |
| 10       | CAFES   | Support         | Support         | Strongly support | Strongly support | Oppose | Support | Strongly support | None | None | None |                  |              |              |            |
| 11       | CLA     | Strongly support | Support         | Strongly support | Strongly support | X     | X     | Strongly support | Neutral | None | None |                  |              |              |            |
| 12       | CLA     | Support         | Support         | Support   | Neutral | Strongly support | Support | Strongly support | None | None | None |                  |              |              |            |
| 13       | CLA     | Strongly support | Strongly support | Strongly support | Strongly support | X     | X     | Strongly support | Strongly support | No |        |                  |              |              |            |
| 14       | CAED    | Support         | Strongly support | Neutral   | Oppose | Neutral | Strongly support | Strongly support | X     | X     |        |                  |              |              |            |
| 15       | CAED    | Strongly support | Neutral         | Strongly support | X     | X     | X     | X     | X     |        |        |                  |              |              |            |
| 16       | CSM     | Support         | Strongly support | Support   | Support | Neutral | Support | Support | None | None | None |                  |              |              |            |
| 17       | CLA     | Strongly oppose | Strongly support | Strongly oppose | Strongly oppose | Strongly oppose | Strongly oppose | Strongly oppose |        |        |        |                  |              |              |            |
| 18       | CSM     | Neutral         | Support         | Neutral   | X     | X     | X     | Oppose | Oppose |        |        |                  |              |              |            |
| 19       | CLA     | Support         | Neutral         | Strongly oppose | Strongly oppose | Support | Oppose |        |        |        |        |                  |              |              |            |
| 20       | CENG    | Strongly support | Neutral         | Strongly support | Strongly support | Strongly support | Strongly support | Strongly support |        |        |        |                  |              |              |            |
RESOLUTION ON CREATION OF NEW DEPARTMENT FOR INTERDISCIPLINARY STUDIES IN THE LIBERAL ARTS

Impact on Existing Policy: NONE.

WHEREAS, Interdisciplinary Studies is currently an interdepartmental major within the College of Liberal Arts (CLA); and

WHEREAS, The Science, Technology and Society program is a set of four minors within the College of Liberal Arts (CLA); and

WHEREAS, The College of Liberal Arts (CLA) has identified several benefits for formally combining two programs – the Interdisciplinary Studies (BA) program and the Science, Technology and Society (minors) program and elevating the combined programs into one new department called Interdisciplinary Studies in the Liberal Arts Department; and

WHEREAS, The benefits and the structure of the new department are provided in the attachment to this resolution; and

WHEREAS, Said change in status and name has been approved by the college of Liberal Arts department chairs/program directors and the CLA Interim Dean; and

WHEREAS, Approval for combining these two programs into a new department has been given by all college Deans and the Provost; therefore be it

RESOLVED: That the Academic Senate of California Polytechnic State University, San Luis Obispo approve the creation of a new CLA department, Interdisciplinary Studies in the Liberal Arts Department.

Proposed by: Interdisciplinary Studies Program and Science, Technology and Society Program
Date: November 27, 2018

i (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.
Overview

As part of the CLA’s commitment to Vision 2022 and the mission, core values and strategic goals of the university, both the Interdisciplinary Studies (IS) B.A. and the Science, Technology and Society (STS) Minors empower students with holistic, interdisciplinary experiences that prepare them for success in the global economy. Further, the CLA has repeatedly reaffirmed its commitment to ensure that students “develop the ability to understand, appreciate, and engage with the ways that different disciplines approach common problems.”

In open communication with all department chairs and program directors and the Interim Dean of CLA, we propose a reorganization to form a new department housing the Interdisciplinary Studies B.A. program and the Science, Technology and Society minors program. Reorganization will allow the college to support, teach and provide learning opportunities for students to develop an integrated understanding of important problems. Further, it provides students and faculty with interdisciplinary interests an intellectual home that allows them to develop their complementary and collaborative expertise. Finally, a single department structure provides the resources and support capable of addressing the increased demand in the minors and major programs in the most efficient manner.

Background

The Chancellor’s Office approved the revision of the Interdisciplinary Studies (IS) B.A. on 18 August 2018. The IS program is designed to be flexible enough to accommodate students transferring from other majors, yet also focused enough to provide students with a coherent and rigorous baccalaureate education. The goal of the Interdisciplinary Studies program is to meet the needs of two student populations: (1) students whose major was not a good fit and who have had difficulty transferring into a new major, and (2) students whose academic goals cannot be best met through pre-existing major and minor options. The IS major is open to internal transfers only and provides an intellectual interdisciplinary home that supports the university’s Graduation Initiative goals. In addition to a set of core courses, IS students must select one of seven areas of expertise: Arts & the Human Experience; Ethics, Law & Justice; Global Studies; Health, Culture & Society; Science, Technology & Society; Social Sustainability; or Technology & Human Expression.

The Academic Senate approved four new Science, Technology & Society Minors in 2015 to encourage interdisciplinary integration, knowledge and experiences at the intersection of science, technology and society. The four minors are, in alphabetical order, (1) Ethics, Public Policy, Science, Technology and Society; (2) Gender, Race, Culture, Science, Technology and Society; (3) Media Arts, Science, Technology and Society; and (4) Science and Risk.

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2 As part of the revision process, the Chancellor’s Office also approved the conversion of the existing, but suspended BA in Interdisciplinary Studies major from self-support in Extended Education to state-support in the College of Liberal Arts.
Communication. The four minors are united around a common introductory and capstone course with a separate set of required core courses and electives for each minor.

Starting in 2015, the four STS minors have been administered by a program director. In some cases, the director also served as the director of the Interdisciplinary Studies in the Liberal Arts program. As of fall 2018, both the Interdisciplinary Studies major and the Science, Technology and Society minors are run under the auspices of one director. During the 2018-2019 academic year, the ISLA program is hiring for Director of the STS minors and the IS major.

Rationale for a New Department

The new department is necessary to provide an intellectual hub for students to pursue interdisciplinary work efficiently, minimizing time to graduation while providing a set of robust and meaningful integrative experiences. Importantly, from the student perspective, a department reduces barriers in navigating Cal Poly's organizational complexity, provides resources to ensure appropriate career and post-graduate related learning, increases targeted advising, and enables meaningful mentorship for senior projects and research. Each of these is important in achieving Cal Poly's Graduation Initiative goals. Each of these is also particularly important for the success of interdisciplinary programs.

While most departments and programs within the college are to some degree interdisciplinary, there is also ample evidence to suggest that such work and learning are better supported in environments and processes underpinned by interdisciplinary thinking and approaches. The goal of the new department is not to isolate faculty and students from other departments within the CLA but rather to create a department that serves as a natural hub for interdisciplinary work in its teaching, research and service.

Further, the IS major is currently the only major fully housed within the College of Liberal Arts that does not operate within a department structure and still only exists as a program. As evidenced in the table below, we anticipate increasing student demand for the IS major as it becomes fully operational. As evidenced by the success of the Science, Technology and Society minors demonstrated in the table below, students at Cal Poly are clearly seeking opportunities to pursue interdisciplinary work focused on issues and skills they wish to develop. Combined with the increasing success of the STS minors, such growth places tremendous pressure on programs that do not have the opportunity to retain dedicated tenure line faculty or the ability of students to efficiently complete degree requirements and graduate in a timely manner.

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3 In 2016, the Humanities (HUM) program and prefix courses were renamed Interdisciplinary Studies in the Liberal Arts (ISLA) to better reflect the offerings and programs existing under the prefix.
### Table 1. Student Demand Data

<table>
<thead>
<tr>
<th>Academic Year</th>
<th>STS Enrollment</th>
<th>Anticipated STS Enrollment</th>
<th>Anticipated IS Enrollment</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015-2016</td>
<td>126</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2016-2017</td>
<td>144</td>
<td></td>
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<td>2017-2018</td>
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<td>2019-2020</td>
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<td>2021-2022</td>
<td>200</td>
<td>72</td>
<td></td>
<td>272</td>
</tr>
<tr>
<td>2022-2023</td>
<td>200</td>
<td>84</td>
<td></td>
<td>284</td>
</tr>
</tbody>
</table>

At the most basic level, a department is necessary to ensure that the Interdisciplinary Studies major and the Science, Technology and Society minors can continue to provide holistic, experiential and vibrant learning opportunities for students. The departmental structure ensures that these students and programs are not relegated to lesser positions within the college and university structure. It creates opportunities for faculty to continue to invest in providing interdisciplinarily rich environments by recognizing the value and centrality of such work. It provides students avenues through which they can graduate in a timely manner with a degree that supports a wide variety of career-ready skills.

**Resource Implications of a new Interdisciplinary Studies in the Liberal Arts Department**

Many of the resources to support the new department are already in place or secured. There are currently five tenure-line faculty attached to the STS Program via Memorandums of Understanding (MOUs). There is currently a search underway for a STS/IS Director. The budget for the STS Program and IS Major have already been approved and accounted for as part of the approval process for the new major and as regular operating practices of the CLA.

**Faculty, Administrative, and Staff positions**

*Department Chair*

The makeup of the faculty will be reorganized in the new department under a Department Chair.

*Faculty*

We anticipate meeting the faculty needs for the new department in a number of ways. First, faculty within the CLA engaged in interdisciplinary work will have the opportunity to move all or part of their tenure-line appointment to the new department via a process approved by all department chairs, program directors and the Interim Dean.

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Second, there are a number of faculty formally attached to the existing Science, Technology and Society minors. Between 2014 and 2018, the CLA hired five faculty (Coleen Carrigan, Matthew Harsh, Jim Werner, Brian Beaton and Martine Lappe') who share their primary teaching, research and service responsibilities between the four minors and tenure-home departments within the college. The division of teaching, research and service responsibilities between the tenure departments and STS is outlined within each faculty member’s Memorandum of Understanding (MOU). We anticipate that the STS component of their MOUs would transfer over from the existing STS Program to the new department. In addition, the STS/IS Director to be hired in the 2018-2019 academic year will likely be 1.0 FTE in the new department, assuming a new department is formed.

Finally, there are a number of lecture- and tenure-line faculty attached to specific course proposals within the new IS major. The table below presents faculty for the core courses in the IS Major and the STS Minors as identified in the course proposals or by offerings since Fall 2016.5

Table 2. Core Courses in Interdisciplinary Studies B.A. and/or Science, Technology and Society Minors

<table>
<thead>
<tr>
<th>Course Title</th>
<th>Current/Previous Teaching Faculty</th>
<th>Listed Teaching Faculty on Course Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISLA 123 Introduction to Science, Technology and Society</td>
<td>Beaton, Harsh, Lehr</td>
<td></td>
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<td>ISLA 201 Introduction to Interdisciplinary Studies</td>
<td>Bodemer</td>
<td>Adan, Askay, Murphy, Razi</td>
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<td>ISLA 240 Introduction to Media Arts and Technologies</td>
<td>Johnston, Ruszczycy</td>
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<td>ISLA 303 Values and Technology</td>
<td>Johnston, Moon, Scarborough</td>
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<td>ISLA 305 Public Engagements with STEM</td>
<td>Kolodziejski</td>
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<td>ISLA 320 Topics and Issues in Values, Media and Culture</td>
<td>Pierce, Westwood</td>
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<td>ISLA 340 Media Arts and Technologies: Storytelling</td>
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<td>ISLA 341 Media Arts and Technologies: Cinematic Processes</td>
<td>Barros</td>
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<tr>
<td>ISLA 355* Interdisciplinary Research Methods</td>
<td>Adan, Askay, Bodemer, Lowham, Murphy, Navarro, Razi</td>
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5 Please note that ISLA currently houses many interdisciplinary study-abroad courses not included in the second table.
We believe that the majority of the support staff required for the new department are currently in place or were approved as part of the proposal for the IS major.

**Administrative Support Staff**

Since the launch of the STS Minors in 2015, the staff support for the HUM/ISLA programs has gone through several iterations, most of which were combinations of part-time support from other departments. Currently, the programs are supported by a single ASC I, Nicole Rivera (FTE 1.0). Importantly, the transition to a full-time ASC coincided with the launch of the new IS major, and includes staff support for the Center for Expressive Technologies. During the first two years of the new department, the college has agreed to continue to provide administrative support staff through existing resources.

**Budget**

We anticipate that the new department will require few additional resources above those previously approved for the STS program and IS major. The college currently supports the STS Director, the Administrative Support Coordinator, and the STS courses with the ISLA designation. The budget for the already-approved IS major includes the resources to support the IS major coordinator, additional administrative staff required for the program, and a budget to staff major courses in ISLA and in other departments. We anticipate that these combined resources should largely cover the operational costs of the new department.

**Space**

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6 The Center for Expressive Technologies is a college level center closely related to the work of the STS minors. It is currently directed by Dr. Matthew Harsh, associate professor in Social Sciences and STS.
The ASC already has an office space and the new IS/STS director will come in with a faculty office as part of the hiring process. We will use regular CLA processes for determining office space to move the program's Administrative Support Coordinator and Chair in proximity to each other as space and resources allow. As indicated in the proposal for the IS major, we do not anticipate requiring additional specialized classroom spaces or other facilities. The STS faculty already have access to existing research space in Building 52 and we anticipate that they would still have access to this space as part of the new department. Space resources and maintenance of these spaces have already been accounted for in the normal operations of the CLA.
Academic Senate
Cal Poly – San Luis Obispo

Dear Members of the Academic Senate,

Thank you for your consideration of the proposed reorganization and change of administrative status for the Interdisciplinary Studies Program and the Science, Technology and Society Program. As department chairs, program directors and members of the College Council, we enthusiastically and unanimously support this proposal for the ways it will support student success and faculty development.

We believe that reorganization will allow the college to support, teach and provide learning opportunities for students based in an interdisciplinary and integrated understanding of important problems. Importantly, the new department creates an intellectual hub for students to pursue interdisciplinary work efficiently, minimizing time to graduation while providing a set of robust and meaningful integrative experiences.

From the student perspective, a department reduces barriers in navigating Cal Poly’s organizational complexity, provides resources to ensure appropriate career and post-graduate related learning, increases targeted advising, and enables meaningful mentorship for senior projects and research. By providing students and faculty with interdisciplinary interests an intellectual home in the college, a department encourages the development of their complementary and collaborative expertise.

Finally, we believe a single department structure provides the resources and support capable of addressing the increased demand in the minors and major programs in the most efficient manner. As evidenced by the success and growth of the Science, Technology and Society minors, students at Cal Poly are clearly seeking opportunities to pursue interdisciplinary work focused on issues and skills they wish to develop. Combined with the approval of the new Interdisciplinary Studies major, such growth places tremendous pressure on programs that do not have the opportunity to retain dedicated tenure-line faculty or the ability of students to efficiently complete degree requirements and graduate in a timely manner. A department would provide a stable and coherent structure for these two programs, and we support the creation of this department in the College of Liberal Arts.

Sincerely,
Giancarlo Fiorenza  
Chair, Art & Design

Richard Besel  
Chair, Communication Studies

Catherine Waitinas  
Interim Chair, English

Denise Isom  
Chair, Ethnic Studies

Ken Macro  
Chair, Graphic Communication

Kate Murphy  
Chair, History

Brady Teufel  
Interim Chair, Journalism

David Gillette  
Program Director, Liberal Arts and Engineering Studies

W. Terrence Spiller  
Chair, Music

Ken Brown  
Chair, Philosophy

Elizabeth Lowham  
Program Director, Interdisciplinary Studies, Science, Technology and Society  
Chair, Political Science

Jasna Jovanovic  
Chair, Psychology and Child Development

Terry Jones  
Chair, Social Sciences

Josh Machamer  
Chair, Theatre and Dance

Jane Lehr  
Chair, Women's & Gender Studies

Fernando Fabio Sanchez  
Chair, World Languages & Cultures

Phone 805-756-2706 | cla.calpoly.edu
1 Grand Avenue | San Luis Obispo | CA | 93407-0320
MEMORANDUM

TO: Dustin Stegner  
Chair, Academic Senate

FROM: Kathryn Rummell  
Interim Dean, College of Liberal Arts

DATE: November 29, 2018

CC: Kathleen Enz Finken, Provost and Executive Vice President for Academic Affairs  
Scott Dawson, Dean, Orfalea College of Business  
Amy Fleischer, Dean, College of Engineering  
Christine Theodoropoulos, Dean, College of Architecture & Environmental Design  
Andrew Thulin, Dean, College of Agriculture, Food and Environmental Sciences  
Dean Wendt, Dean, College of Science and Mathematics

SUBJECT: Resolution on Creation of New Department for Interdisciplinary Studies in the Liberal Arts

This memo formally acknowledges approval of the above-entitled Academic Senate resolution and proposal to create a new department, Interdisciplinary Studies in the Liberal Arts, by the Deans' Council. The Deans' Council endorsed the proposal at its November 26, 2018 meeting.
WHEREAS, According to data on the CSU Student Success Dashboards and a recent article in the San Luis Obispo Tribune, Cal Poly has the least racial/ethnic diversity in the CSU System; and

WHEREAS, Cal Poly has required periodic anti-harassment, discrimination, retaliation training for all Cal Poly employees with direct supervisory responsibility over students; and

WHEREAS, Cal Poly faculty come in contact with students in other ways including classrooms as well as during advising; and

WHEREAS, Counseling Services provides the “Faculty Guide: Assisting the Emotionally Distressed Student” with url https://hcs.calpoly.edu/content/counseling/emotional_distress; and

WHEREAS, Ombuds services provide early intervention that can resolve conflicts before they develop into more serious concerns; and

WHEREAS, Cal Poly has an Office of Student Ombuds Services that provides students with assistance in resolving university related issues, concerns, conflicts or complaints; and

WHEREAS, 14 of the CSU campuses have Ombuds Offices as of October 2018; and

WHEREAS, A majority (10 of 14) of these CSU Ombuds Offices serve students, faculty and staff, and 5 of the 14 also serve MPPs; therefore, be it

RESOLVED: That the Academic Senate recommends that the responsibilities of the Ombuds Office be expanded to include all University constituents; and be it further

RESOLVED: That the Academic Senate recommends that this expansion of the responsibilities of the Ombuds Office be done in such a way that the services provided for students not be adversely affected; and be it further

RESOLVED: That the Academic Senate recommends that all Cal Poly employees undergo periodic sexual harassment anti-harassment, discrimination, retaliation training; and be it further

RESOLVED: That the Academic Senate recommends that all Cal Poly employees undergo periodic implicit bias training; and be it further

RESOLVED: That the Academic Senate recommends that Cal Poly establish rewards incentives to encourage employees to participate in Employment Equity Facilitator training; and be it further

RESOLVED: That the Academic Senate recommends that Cal Poly establish incentives to encourage employees to participate in trainings aimed at assisting the emotionally distressed student; and be it further
RESOLVED: That the Academic Senate reaffirms its commitment to Academic Senate Resolution, AS-695-09, Resolution on the Cal Poly Statement on Commitment to community.

Proposed by: Paul Choboter - Math Department, Dianne DeTurris – Aerospace Engineering Department, Ashley Eberle – Career Services, Harvey Greenwald – Emeritus Academic Senate Chair, Camille O’Bryant – Associate Dean, CSM

Date: September 13, 2018
Revised: November 13, 2018
Revised: January 29, 2019
I OA STANDARDS OF PRACTICE

PREAMBLE

The IOA Standards of Practice are based upon and derived from the ethical principles stated in the IOA Code of Ethics.

Each Ombudsman office should have an organizational Charter or Terms of Reference, approved by senior management, articulating the principles of the Ombudsman function in that organization and their consistency with the IOA Standards of Practice.

STANDARDS OF PRACTICE

INDEPENDENCE

1.1 The Ombudsman Office and the Ombudsman are independent from other organizational entities.
1.2 The Ombudsman holds no other position within the organization which might compromise independence.
1.3 The Ombudsman exercises sole discretion over whether or how to act regarding an individual’s concern, a trend or concerns of multiple individuals over time. The Ombudsman may also initiate action on a concern identified through the Ombudsman’s direct observation.
1.4 The Ombudsman has access to all information and all individuals to the organization, as permitted by law.
1.5 The Ombudsman has authority to select Ombudsman Office staff and manage Ombudsman Office budget and operations.

NEUTRALITY AND IMPARTIALITY

2.1 The Ombudsman is neutral, impartial, and unaligned.
2.2 The Ombudsman strives for impartiality, fairness and objectivity in the treatment of people and the consideration of issues. The Ombudsman advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization.
2.3 The Ombudsman is a designated neutral reporting to the highest possible level of the organization and operating independent of ordinary line and staff structures.
2.4 The Ombudsman serves in an additional role within the organization which would compromise the Ombudsman’s neutrality. The Ombudsman should not be aligned with any formal or informal associations within the organization in a way that might create actual or perceived conflicts of interest for the Ombudsman. The Ombudsman should have no personal interest or stake in, and incur no gain or loss from, the outcome of any issue.
2.5 The Ombudsman has a responsibility to consider the legitimate concerns and interests of all individuals affected by the matter under consideration.
2.6 The Ombudsman helps develop a range of responsible options to resolve problems and facilitate discussion to identify the best options.

CONFIDENTIALITY

3.1 The Ombudsman holds all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard confidentiality, including the following:
3.2 Communications between the Ombudsman and others (made while the Ombudsman is serving in that capacity) are considered privileged. The privilege belongs to the Ombudsman and the Ombudsman Office, rather than to any party to an issue. Others cannot waive this privilege.
3.3 The Ombudsman does not testify in any formal process involving the organization and refuses testifying in any formal process outside of the organization regarding a visitor’s contact with the Ombudsman or confidential information communicated to the Ombudsman, even if given permission or requested to do so. The Ombudsman may, however, provide general, non-confidential information about the Ombudsman Office or the Ombudsman profession.
3.4 If the Ombudsman pursues an issue systemically (e.g., provides feedback on trends, issues, policies and practices) the Ombudsman does so in a way that safeguards the identity of individuals.
3.5 The Ombudsman keeps no records containing identifying information on behalf of the organization.
3.6 The Ombudsman maintains information (e.g., notes, phone messages, appointment calendars) in a secure location and manner, protected from inspection by others (including management), and has a consistent and standard practice for the destruction of such information.
3.7 The Ombudsman preserves any data and/or reports in a manner that protects confidentiality.
3.8 Communications made to the ombudsman are not notice to the organization. The ombudsman neither acts as agent for, nor accepts notice on behalf of, the organization and shall not serve in a position or role that is designated by the organization as a place to receive notice on behalf of the organization. However, the ombudsman may refer individuals to the appropriate place where formal notice can be made.

INFORMALITY AND OTHER STANDARDS

4.1 The Ombudsman functions on an informal basis by such means as: listening, providing and receiving information, identifying and reframing issues, developing a range of responsible options, and – with permission and as Ombudsman discretion – engaging in informal third-party intervention. When possible, the Ombudsman helps people develop new ways to solve problems themselves.
4.2 The Ombudsman is an informal and off-the-record resource pursuing resolution of concerns and looks into procedural irregularities and/or broader systemic problems when appropriate.
4.3 The Ombudsman does not make binding decisions, mandate policies, or formally adjudicate issues for the organization.
4.4 The Ombudsman supplements, but does not replace, any formal channels. Use of the Ombudsman Office is voluntary, and is not a required step in any grievance process or organizational policy.
4.5 The Ombudsman does not participate in any formal investigative or adjudicative procedures. Formal investigations should be conducted by others. When a formal investigation is requested, the Ombudsman refers individuals to the appropriate offices or individual.
4.6 The Ombudsman identifies trends, issues and concerns about policies and procedures, including potential future issues and concerns, without breaching confidentiality or making recommendations for responsibility addressing the trends.
4.7 The Ombudsman acts in accordance with the IOA Code of Ethics and Standards of Practice, keeps professionally current by pursuing continuing education, and provides opportunities for staff to pursue professional training.
4.8 The Ombudsman endeavors to be worthy of the trust placed in the Ombudsman Office.

www.ombudsassociation.org

Rev. 10/09
WHEREAS, The Academic Senate has approved several resolutions since 1987 regarding the importance of diversity and educational equity; and

WHEREAS, Among these resolutions includes the “Cal Poly Statement on Diversity,” which was approved in 1998 (AS-506-98/DTF); and

WHEREAS, In the ensuing years since the Cal Poly Statement on Diversity was approved faculty, staff, and students have worked to gain a deeper understanding of the importance of diversity and educational equity through a myriad of approaches, including the adoption of the Inclusive Excellence Model in 2009 (AS-682-09); and

WHEREAS, Today at Cal Poly we continue to strive to increase diversity, but in addition, we attend more closely than ever to fostering a culture of inclusivity for every faculty, staff, and student member on this campus; therefore, be it

RESOLVED: That the Inclusive Excellence Council has developed a new statement on diversity to reflect the inclusivity aspect of our university; and be it further

RESOLVED: That the Academic Senate approves the attached Cal Poly Statement on Diversity and Inclusivity.

Proposed by: Inclusive Excellence Council
Date: September 29, 2015

Adopted: November 17, 2015
At Cal Poly we believe that academic freedom, a cornerstone value, is exercised best when there is understanding and respect for our diversity of experiences, identities, and worldviews. Consequently, we create learning environments that allow for meaningful development of self-awareness, knowledge, and skills alongside attention to others who may have experiences, worldviews, and values that are different from our own. In so doing, we encourage our students, faculty, and staff to seek out opportunities to engage with others who are both similar and different from them, thereby increasing their capacity for knowledge, empathy, and conscious participation in local and global communities.

In the spirit of educational equity, and in acknowledgement of the significant ways in which a university education can transform the lives of individuals and communities, we strive to increase the diversity at Cal Poly. As an institution that serves the state of California within a global context, we support the recruitment, retention, and success of talented students, faculty, and staff from across all societies, including people who are from historically and societally marginalized and underrepresented groups.

Cal Poly is an inclusive community that embraces differences in people and thoughts. By being open to new ideas and showing respect for diverse points of view, we support a climate that allows all students, faculty, and staff to feel valued, which in turn facilitates the recruitment and retention of a diverse campus population. We are a culturally invested university whose members take personal responsibility for fostering excellence in our own and others’ endeavors. To this end, we support an increased awareness and understanding of how one’s own identity facets (such as race, ethnicity, gender, sexual orientation, religion, age, disability, social class, and nation of origin) and the combinations of these identities and experiences that may accompany them can affect our different worldviews.

*The definition of diversity is specifically inclusive of, but not limited to, and individual’s race/ethnicity, sex/gender, socioeconomic status, cultural heritage, disability, and sexual orientation.*
RESOLVED: That the Academic Senate at Cal Poly accept and endorse The Cal Poly Statement on Diversity attached; and, be it further

RESOLVED: That the Academic Senate in partnership with its administration devise plans and strategies to promulgate and implement the diversity and educational objectives outlined in The Cal Poly Statement on Diversity; and, be it further

RESOLVED: That the Academic Senate recommend to its administration that the Provost/Vice President for Academic Affairs provide an annual assessment of the previously mentioned partnership's diversity related activities to the Academic Senate.

Proposed by: The Diversity Task Force
Date: April 21, 1998
Revised: June 8, 1998
THE CAL POLY STATEMENT ON DIVERSITY*

At the heart of a university is the responsibility for providing its students with a well-rounded education, an education that fosters their intellectual, personal and social growth. For students preparing to embark upon work and life in the 21st century, a critical element of a well-rounded education is the ability to understand and to function effectively in a diverse and increasingly interdependent global society. As noted in a recent statement from the American Association of University Professors (AAUP), "the argument for the necessity of diversity is perhaps stronger in higher education than in any other context... The ultimate product of universities is education in the broadest sense, including preparation for life in the working world." In this regard, it is in the compelling interest of Cal Poly, the state, and the nation to provide our students with an education that is rich with a diversity of ideas, perspectives, and experiences.

Thus, diversity serves as a fundamental means to enhance both the quality and value of education. It cannot be a mere adjunct to such an education but must be an integral element of the educational experience, infused throughout the community (faculty, students, and staff), the curriculum, and the cocurricular programs of the University.

As a University whose motto is "to learn by doing," Cal Poly explicitly understands the importance that experience brings to education. When students are exposed personally and directly to faculty, staff, and other students from diverse backgrounds, their stereotypes about "the other" are challenged. As the AAUP statement notes, such personal interaction gives students an understanding of the "range of similarities and differences within and among ... groups" that "no textbook or computer" can provide. For this reason, both the formal and informal classroom (i.e., the rich learning experiences that occur for our students during their cocurricular activities), must be constituted in a way that reinforces the value of encountering and considering diversity.

Moreover, diversity in the curriculum is a fundamental component of a well-rounded and beneficial education. The perspectives provided by the University are contingent upon the content and purpose of its courses. Since the curriculum is the principal expression of our educational goals and values, it must signal the importance of diversity to the Cal Poly mission, to the institutional culture, and to our teaching and learning environment in clear and unambiguous terms.

Thus, the University community (its students, faculty, and staff), the curriculum, and the co-curricular environment must be dedicated to the principle of ensuring that all of our students routinely encounter diverse people, ideas, and experiences.

Only through intellectual and first-hand personal exposure to diversity in its myriad forms-racial, ethnic, cultural, gender, geographic, socioeconomic, etc.-will students gain the understanding, empathy, and social skills that they will require to be effective, engaged citizens in an increasingly crowded and interrelated global community. The benefit of diversity is universal. Cal Poly's commitment to diversity signals an affirmation of the highest educational goals of this University, including mutual respect, civility, and engaged learning.

*The definition of diversity is specifically inclusive of, but not limited to, an individual's race/ethnicity, sex/gender, socioeconomic status, cultural heritage, disability, and sexual orientation.
I am pleased to accept Resolutions AS-505-98/DTF and AS-506-98/DTF.

The Academic Senate is to be applauded for its clear affirmation of the educational values of diversity and its recognition that diversity strengthens our community and prepares our students more fully for effective citizenry, responsible careers and engaged lives.

Both resolutions underscore the University's values that are imbedded in our Mission Statement and Strategic Plan. The voice of the Senate in these matters will strengthen the University's ability to continue its efforts to foster greater diversity among our students, faculty and staff. Clearly aligning Cal Poly with the important statements on diversity that the nation's principal educational associations have made signals our commitment and resolve.

I look forward to working with the Senate and our entire University community in achieving the promise within these resolutions.
WHEREAS, The Academic Senate has a 30-plus year history of espousing the principles of Making Excellence Inclusive as a learning-community imperative – most recently in the Senate’s Fall ’08 retreat and (AS-663-08) Resolution on Diversity Learning Objectives; and

WHEREAS, “Build an Inclusive Community” is one of seven goals of the Cal Poly Strategic Plan; and

WHEREAS, A learning environment that supports attention to diversity is a standard of accreditation as promulgated by the Western Association of Schools and Colleges; and

WHEREAS, The Academic Senate has affirmed the academic value of diversity (AS-505-98); therefore be it

RESOLVED: That the Academic Senate support Making Excellence Inclusive as a goal and organizing principle of the Cal Poly learning community; and, be it further

RESOLVED: That resources for the professional development of faculty in Making Excellence Inclusive be established, sustained, and identified by the University, colleges, and other instructionally-related entities as part of their inventory of efforts to promote Inclusive Excellence; and, be it further

RESOLVED: That faculty efforts in Making Excellence Inclusive be recognized as a substantive component of voluntary service in the Retention, Promotion, and Tenure (RPT) evaluation process.

Proposed by: Academic Senate Executive Committee
Date: March 30 2009
Revised: April 28 2009
Revised: May 20 2009
Revised: May 26 2009

ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-682-09

RESOLUTION ON
MAKING EXCELLENCE INCLUSIVE AT CAL POLY

WHEREAS, The Academic Senate has a 30-plus year history of espousing the principles of Making Excellence Inclusive as a learning-community imperative – most recently in the Senate’s Fall ’08 retreat and (AS-663-08) Resolution on Diversity Learning Objectives; and

WHEREAS, “Build an Inclusive Community” is one of seven goals of the Cal Poly Strategic Plan; and

WHEREAS, A learning environment that supports attention to diversity is a standard of accreditation as promulgated by the Western Association of Schools and Colleges; and

WHEREAS, The Academic Senate has affirmed the academic value of diversity (AS-505-98); therefore be it

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RESOLVED: That resources for the professional development of faculty in Making Excellence Inclusive be established, sustained, and identified by the University, colleges, and other instructionally-related entities as part of their inventory of efforts to promote Inclusive Excellence; and, be it further

RESOLVED: That faculty efforts in Making Excellence Inclusive be recognized as a substantive component of voluntary service in the Retention, Promotion, and Tenure (RPT) evaluation process.

Proposed by: Academic Senate Executive Committee
Date: March 30 2009
Revised: April 28 2009
Revised: May 20 2009
Revised: May 26 2009
State of California
Memorandum

To: John Soares
   Chair, Academic Senate

From: Warren J. Baker
   President

Date: June 22, 2009


Subject: Response to Academic Senate Resolution AS-682-09
Resolution on Making Excellence Inclusive at Cal Poly

This is to formally acknowledge receipt and approval of the above-referenced Academic Senate resolution.

Please express my appreciation to the Academic Senate members for their work on this issue.
MEMORANDUM
Cal Poly | Office of the President

To: Gary Laver

Date: March 28, 2016

From: Jeffrey D. Armstrong
President

Copies: K. Enz Finken
J. DeCosta

Subject: Response to Academic Senate Resolution AS-807-15
Resolution on Cal Poly Statement on Diversity and Inclusivity

I am pleased to accept and support the above-entitled Academic Senate Resolution.

The Academic Senate has a long history of supporting diversity and inclusivity initiatives going back into the 1980's. I applaud this history. I appreciate deeply that the Academic Senate has shown repeatedly that it understands why it is critical to the success of our faculty, staff and students that we continue to evolve in our approach to not only recruiting diverse faculty, staff and students, but also in improving our campus climate so that everyone can work and learn in an environment that is welcoming.

Please express my appreciation to the Inclusive Excellence Council for their attention to this important matter.
RESOLUTION ON
THE CAL POLY STATEMENT ON COMMITMENT TO COMMUNITY

BACKGROUND: The Committee on University Citizenship (CUCIT) is a University-wide standing committee charged with exploring issues and making policy recommendations related to the preservation and ongoing development of a vital, effective tradition of University citizenship at Cal Poly. The committee explores and makes recommendations on strategies designed to foster and expand:

- an engaged, civil, and mutually respectful classroom and other educational environments;
- a tradition of confident, effective, and civil public campus discourse that prepares students for active civic engagement and leadership roles;
- a greater awareness of factors that lead to hostile campus work environments and strategies for further promoting campus work environments that are free from harassment and characterized by mutual respect and support; and
- the civic engagement of students, faculty, and staff beyond the University — and for strengthening Cal Poly's role as a good institutional citizen in regional, state, national, and international contexts.

( Distilled from http://www.president.calpoly.edu/committees/CUCIT.pdf )

RESOLVED: That the Academic Senate accept and endorse the Cal Poly Statement on Commitment to Community; and, be it further

RESOLVED: That the Academic Senate work with its University's administration in developing plans and strategies to help realize the values of the Cal Poly Statement on Commitment to Community.

Proposed by: The Academic Senate Executive Committee
Date: April 21 2009
Revised: April 28 2009
Revised: October 06 2009
Revised: October 13 2009
Cal Poly Statement on Commitment to Community

The Cal Poly community values a broad and inclusive campus learning experience where its members embrace core values of mutual respect, academic excellence, open inquiry, free expression and respect for diversity. Membership in the Cal Poly community is consistent with the highest principles of shared governance, social and environmental responsibility, engagement and integrity.

As students, faculty and staff of Cal Poly, we choose to:

- Act with integrity and show respect for ourselves and one another
- Accept responsibility for our individual actions
- Support and promote collaboration in University life
- Practice academic honesty in the spirit of inquiry and discovery
- Contribute to the university community through service and volunteerism
- Demonstrate concern for the well-being of others
- Promote the benefits of diversity by practicing and advocating openness, respect and fairness

Individual commitment to these actions is essential to Cal Poly's dedication to an enriched learning experience for all its members.

Committee on University Citizenship
October 13 2009
I formally acknowledge receipt and approval of the above-referenced Academic Senate Resolution.

Please express my appreciation to the Committee on University Citizenship for their work on this issue. As endorsed by the Academic Senate, the "Cal Poly Statement on Commitment to Community" provides a common sense set of principles for effective community participation and engagement, consistent with Cal Poly’s core educational mission and values. I commend it to all Cal Poly students, faculty, and staff.
Executive Summary

More than 900,000 Black undergraduates are enrolled at public colleges and universities across the United States. This report is about the nature of access to these institutions for Black students at every four-year, non-specialized, public postsecondary institution in the nation.

We combine U.S. Census population statistics with quantitative data from the U.S. Department of Education to measure postsecondary access and student success for Black undergraduates. Letter grades (A, B, C, D, F, and I) are awarded to each institution.

Private schools, Historically Black Colleges and Universities, Tribal Colleges, military academies, university health and medical institutions, graduate universities, community colleges, and public institutions that primarily confer associate's degrees are not included in our analyses. Ratio of full-time, degree-seeking Black undergraduates to full-time Black instructional faculty members on each campus.

This report is arranged by state. Statistics and grades for 506 individual public institutions are provided on each state’s list.

EQUITY INDICATORS

Here are the four equity indicators on which we graded public colleges and universities:

Gender Equity
Extent to which the proportionality of Black women's and Black men's respective shares of Black student enrollments in the undergraduate student population reflects the national gender enrollment distribution across all racial/ethnic groups (56.3% women, 43.7% men).

Completion Equity
Extent to which Black students’ six-year graduation rates, across four cohorts, matches overall six-year graduation rates during those same time periods at each institution.

Black Student-to-Black Faculty Ratio
Ratio of full-time, degree-seeking Black undergraduates to full-time Black instructional faculty members on each campus.

MAJOR FINDINGS

- Black students are 54.6% of 18-24 year-olds across the 50 states, yet only 9.6% of full-time, degree-seeking undergraduates at public colleges and universities are Black. At more than three-fourths of public institutions, traditional-aged Black students are under-enrolled relative to their residency in the state.

- Across all racial/ethnic groups, women comprise 56.3% of full-time, degree-seeking undergraduates at public postsecondary institutions. The enrollment gap between Black women and men is less pronounced: Just over 52% of Black undergraduates at public colleges and universities are women.
To ensure the best possible educational experiences and outcomes for our students, critical self-examination has to be a common practice among postsecondary educators and leaders. Many of us within institutions and state higher education systems routinely assess our progress toward goals, compare ourselves to peers, and develop strategic plans to address our findings. New Jersey is currently in the midst of a long-needed explosion of this very sort.

Self-assessments must include an honest look at where we stand in addressing equity for students of color. While this should be a component of our planning at all times, it takes on even more significance within our current sociopolitical climate. We are facing a critical juncture in demarcating the type of nation we want to be — public colleges and universities have an especially remote and influential role to play in shaping that path. To say this is important work would be an understatement.

Learning in college is not confined to classrooms. Instead, it is woven throughout the educational experience. Higher education leaders often speak a great deal of time thinking about expanding college opportunity and improving learning within and beyond classrooms. We should also carefully consider how the experiences we provide students of color align with stated goals for their success. Colleges and universities convey messages about who is valued in society through signals such as the nature of the faculty, the composition of the student body, and the roles people of color play in key leadership positions.

These signals are sent at a time when students are developing their sense of self and determining how they will interact with others in society. Thus, meaningful equity work is imperative to ensuring a better future, not just for our students, but also for our institutions.

MESSAGE FROM DR. ZAKIYA SMITH ELLIS
SECRETARY OF HIGHER EDUCATION
State of New Jersey

To ensure the best possible educational experiences and outcomes for our students, critical self-examination has to be a common practice among postsecondary educators and leaders. Many of us within institutions and state higher education systems routinely assess our progress toward goals, compare ourselves to peers, and develop strategic plans to address our findings. New Jersey is currently in the midst of a long-needed explosion of this very sort.

Self-assessments must include a honest look at where we stand in addressing equity for students of color. While this should be a component of our planning at all times, it takes on even more significance within our current sociopolitical climate. We are facing a critical juncture in demarcating the type of nation we want to be — public colleges and universities have an especially remote and influential role to play in shaping that path. To say this is important work would be an understatement.

Learning in college is not confined to classrooms. Instead, it is woven throughout the educational experience. Higher education leaders often speak a great deal of time thinking about expanding college opportunity and improving learning within and beyond classrooms. We should also carefully consider how the experiences we provide students of color align with stated goals for their success. Colleges and universities convey messages about who is valued in society through signals such as the nature of the faculty, the composition of the student body, and the roles people of color play in key leadership positions.

These signals are sent at a time when students are developing their sense of self and determining how they will interact with others in society. Thus, meaningful equity work is imperative to ensuring a better future, not just for our students, but also for our institutions.

MESSAGE FROM DR. ZAKIYA SMITH ELLIS
SECRETARY OF HIGHER EDUCATION
State of New Jersey

Prior to joining the New Jersey Governor's cabinet in 2016, Dr. Smith Ellis was Strategy Director for Lumina Foundation. She has also served as Senior Policy Advisor for Education at the White House and a senior policy advisor at the U.S. Department of Education.

We hope this publication will be useful to Black students and their families, postsecondary leaders and faculty members, policymakers, journalists, and a wide range of stakeholders who care about Black students' educational experiences and attainment rates. As such, we present data institution-by-institution within each state. Our aim is to make inequities more transparent and to equip anyone concerned about enrollment, success, and college completion rates for Black students with numbers they can use to demand concrete policies and institutional actions.

This report should not be misused to reinforce deficit narratives about Black undergraduates. Problematic trends presented herein are not fully explained by the failure of K-12 schools to effectively prepare these students for college admission and success or by bad parenting, student disengagement, and low motivation. They also are attributable to institutional practices, policies, mindsets, and cultures that purposefully disadvantage Black students and sustain inequities. Ideally, leaders on college campuses and in state systems of higher education will take seriously the statistics we furnish in this document. We want them to respond by swiftly engaging in rigorous, strategic, and collaborative work to improve the status of Black undergraduates at their institutions. Data presented in this publication ought to inform their efforts and help ensure accountability.

EQUITY INDEX SCORES
In addressing the question of grades on the four equity indicators, we calculated an Equity Index Score — the equivalent of a grade-point average — for each institution. In the same fashion that colleges and universities commonly compute GPAs, we assigned four points to an A, three to a B, and so on.

The average Equity Index Score across the 96 public institutions is 2.02. No campus scored above 2.50. Two hundred colleges and universities scored below 2.00. Lists of institutions with the highest and lowest Equity Index Scores are included on page 10 of this report. We also calculated Equity Index Score averages across all campuses within each state. A map with statewide averages is on page 9.

USING THIS REPORT
We hope this publication will be useful to Black students and their families, postsecondary leaders and faculty members, policymakers, journalists, and a wide range of stakeholders who care about Black students' educational experiences and attainment rates. As such, we present data institution-by-institution within each state. Our aim is to make inequities more transparent and to equip anyone concerned about enrollment, success, and college completion rates for Black students with numbers they can use to demand concrete policies and institutional actions.

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Starting with the Morrill Act of 1862, public universities were built to expand access and success for state residents underscored by private institutions. Low-income students came to land-grant universities to explore the world of ideas, including citizenship in a democracy. It is interesting and somewhat ironic that in 1862 President Abraham Lincoln issued the Emancipation Proclamation. I would surmise that in the midst of the Civil War no one made a connection between the Morrill Act and the Emancipation Proclamation. Because few Americans then were thinking about higher education for Black students. Yet today it is imperative for public universities to embrace their original conceptual mission of inclusivity and to give special attention to those initially excluded.

In 2018, Black students are new members of higher education’s New Majority: first generation, students of color, adult learners, and veterans. Every public university is responsible for educating this majority. The good news is that the public sector has expanded since 1862. Land-grant universities have been joined by numerous regional publics, like my own university, Governors State. Privacy postsecondary institutions must also contribute to equity goals. Working together, we have the capacity to provide excellent educational opportunities to what used to be considered minority populations. High-quality education for the New Majority, as well as for the new minority (traditional students), must be the mission of state universities. This mission requires new ways of thinking and transformations in teaching, learning, and leadership. Outstretched research published by USC Professor Shaun Harper and other scholars in recent years indicates that we must replace deficit frameworks with models that amplify students’ assets and institutional responsibility. Identifying strengths is hard work, requiring breaking through barriers and inclusively confirming and trust. The wildly used deficit model is the easy way out, emphasizing the correction of superficial features rather than in-depth understanding. In essence, universities must commit to research-based transformations, not simply to educate Black students or even to improve service to the New Majority, but to improve college access, students’ experiences, and postsecondary educational outcomes in the twenty-first century.

Educational transformations are imperative, if public universities are going to fulfill our mission to Black students and others in the New Majority. But change has a price. Certainly, public universities must be ready to reallocate internal resources, but that responsibility becomes exceedingly difficult as state appropriations decline. It is time for governors and legislators in all 50 states to understand the necessity of investing in human capital. A word of caution: Even with better funding, improvement will not be instantaneous or linear. That is important for policymakers and others to understand as they read this report. Certainly, this state-by-state study on Black student access and success is informative, and every university should strive for better results. But it is necessary to remember that real, long-term change is often recursive, even messy. Transformation requires investment, strategy, persistence, accountability, consistent measurement, determination, and courage.

This report makes painfully clear, too many public inferences are not fully explained by forces external to the playing field for Black Americans. This is partly attributable to routes to postbaccalaureate programs. Few states and federal policymakers are Black. Policy actors across all social-economic groups are responsible for guaranteeing that public postsecondary institutions equitably serve the public, including Black students within states they represent. Moreover, most college presidents, trustees, senior administrators, professors, and admission officers are White. They, too, are responsible for better serving Black students and affording them greater access to the public good that is public higher education.
In this report, we assess access and equity indicators for Black undergraduates at every four-year, non-specialized, public postsecondary institution in the United States. We analyzed quantitative data from two open-access federal data sources: the U.S. Census American Community Survey and the U.S. Department of Education's Integrated Postsecondary Education Data System (IPEDS).

### RESEARCH METHODS, GRADING, AND LIMITATIONS

#### Second, as an A was awarded to Michigan Technological University because its 121.1 students-to-Black faculty ratio is in the top 20% among public institutions in the nation, thereby placing it in the top quintile. However, it's worth noting that Michigan Tech had only 40 full-time, degree-seeking Black undergraduates and a total of four full-time Black instructional faculty members across all fields and academic fields during the 2016-17 academic year. Black representation at Michigan Tech is alarmingly low, especially given its size and the relatively high number of Black residents across the state in which it is located.

In light of these two examples, we strongly encourage readers to look at all data we provide for each institution, not just its better grades and Equity Index Score.

#### LIMITATIONS

Each equity indicator in this report has at least one noteworthy limitation.

**Representation Equity** includes only 18-24 year-old Black citizens in each state, those who are the same age as traditional college enrollees. Some Black undergraduates attending public four-year institutions are returning adult learners. Black student excellence percentages include those, but the small residency percentages do not. It is important to acknowledge that at many public four-year institutions (especially research universities) the overwhelming majority of full-time, degree-seeking Black undergraduates are traditional age.

Our **Gender Equity** measure treats gender as a binary (women and men), which is a limitation. We analyzed and report this data this way because IPEDS has no other gender identity options.

### Data Accuracy

Institutional data we present in this report are from the U.S. Department of Education’s publicly available Integrated Postsecondary Education Data System (IPEDS). Every college and university in the nation receiving federal funds is required to annually submit these and other data to IPEDS. Statistical inconsistencies in this report are likely attributable to erroneous institutional reporting to the federal government or to technical processing errors in IPEDS.

Questions or concerns about data accuracy should be directed to the IPEDS Data User Help Desk at 1-866-559-0665.

Federal graduation rates do not account for undergraduates who transferred from one institution to another, which is a limitation of our Completion Equity measure. Transfer students are counted as dropouts in IPEDS. No published evidence or anecdotal reports suggest that Black undergraduates are any more or less likely than are members of other racial groups to transfer from public colleges and universities to other postsecondary institutions.

Lastly, as previously noted in our Michigan Tech example, we awarded A's to some institutions that employ a parametrically low number of full-time Black instructional faculty members and enroll very few full-time, degree-seeking Black undergraduates. This is a limitation of our Black Students-to-Black Faculty Ratio measure. It extends across the other three indicators as well. Distributing grades by quintiles demands that we inevitably award A's to B's in some institutions that perform poorly, but relatively not as bad as three-fifths of other public colleges and universities.

### Research Methods, Grading, and Limitations (Continued)

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Highlighted on this page are public colleges and universities with exceptionally high and low equity index scores. On the one hand, we think it is important to call attention to institutions that outperform others on the four equity measures chosen for this study. But on the other hand, we deem it problematic to offer inducements to any campus that sustains inequity on any equity measure or that otherwise disadvantages Black undergraduates. Put differently, a campus that performs well in comparison to others is not necessarily a national model of excellence that is exempt from recommendations offered at the end of this report.
# 50 State Data Tables

WITH STATISTICS, GRADES, AND EQUITY INDEX SCORES FOR INDIVIDUAL INSTITUTIONS

## ALABAMA

### Statewide Equity Index Score

<table>
<thead>
<tr>
<th>Institution</th>
<th>Representation Equity</th>
<th>Gender Equity</th>
<th>Completion Equity</th>
<th>Black Student-to-Black Faculty Ratio</th>
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<tbody>
<tr>
<td>University of Alabama</td>
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<td>0.7</td>
<td>0.7</td>
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## ALASKA

### Statewide Equity Index Score

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<th>Institution</th>
<th>Representation Equity</th>
<th>Gender Equity</th>
<th>Completion Equity</th>
<th>Black Student-to-Black Faculty Ratio</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Alaska Anchorage</td>
<td>0.7</td>
<td>0.7</td>
<td>0.7</td>
<td>1.177</td>
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<tr>
<td>University of Alaska Fairbanks</td>
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<td>0.7</td>
<td>1.177</td>
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<tr>
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<td>0.7</td>
<td>0.7</td>
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Note: The values shown are for illustration purposes and may not reflect actual data.
### California Statewide Equity Index Score 2.46

<table>
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<th>REPRESENTATION EQUITY</th>
<th>GENDER EQUITY</th>
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<td>10.4</td>
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<td><strong>California State University-Davis</strong></td>
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<td><strong>California State University-Irvine</strong></td>
<td>16.4</td>
<td>11.4</td>
<td>13.6</td>
</tr>
<tr>
<td><strong>California State University-Los Angeles</strong></td>
<td>16.4</td>
<td>11.4</td>
<td>13.6</td>
</tr>
<tr>
<td><strong>California State University-Sacramento</strong></td>
<td>16.4</td>
<td>11.4</td>
<td>13.6</td>
</tr>
<tr>
<td><strong>California State University-San Bernardino</strong></td>
<td>16.4</td>
<td>11.4</td>
<td>13.6</td>
</tr>
<tr>
<td><strong>California State University-Sonoma</strong></td>
<td>16.4</td>
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<td><strong>California State University-Sacramento</strong></td>
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<tr>
<td><strong>California State University-Santa Barbara</strong></td>
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<td>11.4</td>
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<td><strong>California State University-San Francisco</strong></td>
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<tr>
<td><strong>California State University-San Jose</strong></td>
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<tr>
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<td>11.4</td>
<td>13.6</td>
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<td><strong>Arizona State University-Los Angeles</strong></td>
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<td><strong>Arizona State University-Tempe</strong></td>
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<td><strong>Arizona State University-Phoenix</strong></td>
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<td><strong>Arizona State University-Maricopa</strong></td>
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<td><strong>Arizona State University-Las Vegas</strong></td>
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<td><strong>Arizona State University-Phoenix</strong></td>
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### Arkansas Statewide Equity Index Score 2.80

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<td>16.4</td>
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<td><strong>Arkansas State University-Little Rock</strong></td>
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<td><strong>Arkansas State University-Hope</strong></td>
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<tr>
<td><strong>Arkansas State University-Bristol</strong></td>
<td>16.4</td>
<td>11.4</td>
<td>13.6</td>
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### Representation Equity
- California Polytechnic University-San Luis Obispo
- California State Polytechnic University-Pomona
- California State University-Davis
- California State University-Irvine
- California State University-Los Angeles
- California State University-Sacramento
- California State University-San Bernardino
- California State University-Sonoma
- California State University-San Diego
- California State University-Santa Barbara
- California State University-San Mateo
- California State University-San Jose
- Arkansas State University
- Arkansas State University-Pine Bluff
- Arkansas State University-Fort Smith
- Arkansas State University-Little Rock
- Arkansas State University-Hope
- Arkansas State University-Democrat
- Arkansas State University-Bristol

### Gender Equity
- California Polytechnic University-San Luis Obispo
- California State Polytechnic University-Pomona
- California State University-Davis
- California State University-Irvine
- California State University-Los Angeles
- California State University-Sacramento
- California State University-San Bernardino
- California State University-Sonoma
- California State University-San Diego
- California State University-Santa Barbara
- California State University-San Mateo
- California State University-San Jose
- Arkansas State University
- Arkansas State University-Pine Bluff
- Arkansas State University-Fort Smith
- Arkansas State University-Little Rock
- Arkansas State University-Hope
- Arkansas State University-Democrat
- Arkansas State University-Bristol

### Comparison Equity
- California Polytechnic University-San Luis Obispo
- California State Polytechnic University-Pomona
- California State University-Davis
- California State University-Irvine
- California State University-Los Angeles
- California State University-Sacramento
- California State University-San Bernardino
- California State University-Sonoma
- California State University-San Diego
- California State University-Santa Barbara
- California State University-San Mateo
- California State University-San Jose
- Arkansas State University
- Arkansas State University-Pine Bluff
- Arkansas State University-Fort Smith
- Arkansas State University-Little Rock
- Arkansas State University-Hope
- Arkansas State University-Democrat
- Arkansas State University-Bristol
### Florida

<table>
<thead>
<tr>
<th>University</th>
<th>Representation Equity</th>
<th>Gender Equity</th>
<th>Completion Equity</th>
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### Delaware

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### Georgia Statewide Equity Index Score

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### Florida Statewide Equity Index Score

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### Georgia Statewide Equity Index Score

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**Indiana**

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Note: The table data includes the index score and the statewide equity ratio for each state, along with details for each institution within the state.
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Statewide Equity Index Score: **2.36**

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## Louisiana

Statewide Equity Index Score: **1.18**

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## Maryland

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## Massachusetts

Statewide Equity Index Score: **2.81**

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## Montana Statewide Equity Index Score

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### Table: Statewide Equity

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### Table: Statewide Equity Matrix

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## Representation Equity

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**TENNESSEE**

Statewide Equity

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**TEXAS**

Statewide Equity

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**Idaho Statewide Equity Index Score:** 3.03

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**Arizona Statewide Equity Index Score:** 3.62

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**Washington Statewide Equity Index Score:** 3.93

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**West Virginia Statewide Equity Index Score:** 3.78
We do not believe Black students are largely responsible for their underrepresentation and lack of success at public colleges and universities. Factors such as low motivation, inefficient academic effort, flawed mindsets, low classroom and out-of-class engagement, and parental influences are indeed partly responsible for some trends noted in this publication. Nevertheless, researchers are indeed partly responsible for some trends noted out-of-class engagement, and parental influences academic effort.

Recommendations offered below are for professionals who work at and on behalf of public colleges and universities. We do not maintain that simply doing the few things we suggest will be enough to fix all problems that undermine access and success for Black undergraduates. We are confident, however, that our recommendations will help remedy some inequities documented in this report.

ACHIEVING EQUITY ACROSS THE FOUR INDICATORS

Many institutions performed exceptionally on one or more of our equity indicators. Leaders at system and campus levels should reach out to colleagues at these institutions to understand how they achieved such extraordinary results. Creating opportunities for organizational learning across campuses is one recommendation we have for public postsecondary system executives. At statewide convocations, professionals from institutions that earned As on one indicator could share helpful strategies with colleagues from lower-performing institutions.

Faculty members and leaders at campuses and system levels must spend time learning how to actually achieve racial equity. Our research at the USC Race and Equity Center makes painfully clear that those people who work in higher education never learned much, if anything at all, about how to address racism or strategically achieve racial equity. Since those who are supposed to fix racial inequities on campuses were not taught how to do so, it is no surprise that widespread inequity continually persists. The USC Equity Institute, our eight-week professional learning series, is one response to this problem. In addition to facilitating eight 90-minute modules for 20 leaders at an institution, we also reach teams as they create strategic plans for the design, implementation, measurement, assessment, accountability, communication, and sustainability of four racial equity projects. We believe it hard to achieve equity for Black undergraduates at public colleges and universities without this level of commitment to professional learning and strategic organizational change.

The work of Black student success cannot rest mostly on a chief diversity officer, black culture center staff, or a few Black faculty members.

Instead, we recommend establishing cross-campus, cross-sector teams comprised of faculty and staff members, senior administrators, alumni, and Black undergraduate students. These teams should include more White professors and administrators.
INCREASING BLACK UNDERGRADUATE STUDENT ENROLLMENTS
At many public institutions, a disproportionately high share of Black undergraduates come from only 4-5 cities and just a small number of supplier high schools within those cities. This signifies that recruitment efforts to the same places year after year to find Black applicants. While strong partnerships between high schools and postsecondary institutions are praiseworthy, heavy or exclusive reliance on a small number of them is unlikely to produce different results from one year to the next. Admission officers must substantively engage a wider array of high schools to find talented prospective Black students.

State legislatures and public postsecondary system executives must invest more resources into programs that specifically prepare Black students for college admission and success. Prep programs for low-income, first-generation, and underrepresented students are sometimes not specific enough. Consequently, too few Black students directly benefit from them. Legislators and public system executives who wish to align Black student enrollments with Black representation in the state's population should make money available to create new partnerships, to establish college access programs specifically for Black students, and to increase admission officers' travel budgets to more high schools across the state with the explicit goal of enrolling more Black state residents. High-speed driving such funds would be irresponsible. Instead, public institutions must be emploved to submit Black student recruitment plans that include goals, strategies, and metrics. In addition, state system offices should launch systemwide campaigns to specifically increase Black undergraduate enrollments.

Any college recruit from any racial/ethnic group who wishes to enroll more Black state residents could do so by employing the right strategies. However, it is worth noting that, nationally, 83% of college admission directors and 80% of admission officers are White. Undoubtedly, increasing the number of Black recruits a campus sends to high schools across the state (especially those enrolling high numbers of Black students), to places of religious worship that Black families attend, and to predominantly Black neighborhoods and community centers would help increase a public postsecondary institution’s chances of recruiting more Black undergraduates. Diversifying the college admission profession requires intentionality and casting a wider net. We write about a resource below in the Black faculty recruitment and retention section that would also help diversify admission officers.

Last spring, our center published its biennial report on Black male student-athletes and racial inequities in NCAA Division I sports. Eighty-two percent of institutions in the dataset were public. In the study, Professor Shaun Harper suggested admission officers should behave more like coaches who seek to recruit talented Black male high school students to play on revenue-generating sports teams. A coach does not wait for high school students to express interest in playing for the university—he and his staff must travel, establish collaborative partnerships with high school coaches, spend time cultivating one-on-one relationships with recruits, visit homes to talk with parents and families, host special visit days for student-athletes whom they wish to recruit, and search far and wide for the most talented prospects,” Harper noted. Targeted activities such as these are necessary to recruit more Black students who are not athletes. We expect the number of admiral Black undergraduates cannot be found, as public postsecondary institutions cannot be made from their labor on football fields and basketball courts.

ENSURING GENDER EQUITY IN AND BEYOND ENROLLMENT
For nearly two decades, higher education scholars and practitioners have invested tremendous efforts into narrowing the gender gap in Black student enrollments. That women are now 52% and men are 48% of full-time, degree-seeking Black undergraduate students is evidence that those efforts have been successful at public institutions. It is noteworthy that Black women's enrollments did not decline as Black men increased. What did happen, though, is that Black women's gender-specific needs, experiences, and issues were largely ignored as institutions worked to address Black men's challenges. This was wrong.

On campuses where Black undergraduate women considerably outnumber Black undergraduate men, or vice versa, we recommend creating gender-specific outreach and enrollment strategies. Together, specificity and strategy can help achieve gender balance. Systemwide Black male initiatives, recruitment plans aimed at enrolling more Black men who are not student-athletes, and campus resource centers and student organizations aimed at improving academic success for Black undergraduate men are all fine with us—so long as institutions also commit energy and resources to understanding and meeting Black women's gender-specific needs. Just because Black women perform better on equity indicators such as the four used in this study does not mean there are not other inequities that specifically disadvantage them. We suggest conducting qualitative studies on Black women's and men's uniquely gendered experiences, as well as disaggregating quantitative data by race and gender. Analyzing Black women's experiences in comparison to women from other racial/ethnic groups, as opposed to always using Black men as their comparison, would also reveal particular racial inequities.

GRADUATING BLACK STUDENTS AT HIGHER RATES
Decades of research makes clear that high school preparation, affordability and financial aid, the investment of academic effort, and high levels of engagement inside and outside of classrooms are serious determinants of college completion (Mayhew et al., 2016). Leaders at campus and system levels, as well as state and federal policymakers, need to take this research seriously and invest resources into initiatives that specifically prepare Black students for college and ensure they have the financial support necessary to persist once they arrive on campus. Funding Pell Grants at levels that actually cover the cost of attendance for low-income Black students is a serious recommendation for federal policymakers. Giving institutions the resources they need to strategically address longstanding racial inequities must be among state and federal policymakers' highest priorities.

In their 2018 study, USC Race and Equity Center researchers Shaun Harper and Charles Davis, along with their collaborator Edward Smith, discovered that college completion is not just about financial aid and the other aforementioned factors. Their research makes clear that Black students also drop out of college because of the racism they frequently encounter on campus. Educators and administrators must understand the relationship between environmental racism and Black student retention.

Data from our center's National Assessment of Collegiate Campus Climate, an annual quantitative survey, would be helpful. Our institutions have data about how Black undergraduates differ from and specifically experience the racial climate, various stakeholders across campus must begin to strategically address students' experiences with racial microaggressions, racist stereotypes, racism in the curriculum, and other forms of racism. Those experiences, not just academic readiness and financial aid, help distinguish Black undergraduates who drop out of college from those who ultimately persist through harassment degree attainment.
RECOMMENDATIONS (CONTINUED)

SHAWN R. HARPER attended public educational institutions from kindergarten through graduate school. His bachelor’s degree is from Albany State, a public Historically Black University in Georgia. His master’s and Ph.D. are from Indiana University. Governor’s State University awarded him an honorary degree in 2017. Dr. Harper is a Parent Professor in the Rossier School of Education and the Marshall School of Business at the University of Southern California. He is also the Clifford and Perry Allen Chair in Urban Leadership, founder and executive director of the USC Race and Equity Center, and immediate past president of the Association for the Study of Higher Education.

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REFERENCES


The University of Southern California is home to a dynamic research and organizational improvement center that helps professionals in educational institutions, corporations, and other contexts strategically develop and achieve equity goals, better understand and correct climate problems, avoid and recover from racial crises, and engineer sustainable cultures of inclusion and respect. Evidence, as well as scalable and adaptable models of success, inform our rigorous approach.

The USC Race and Equity Center’s strength largely resides in its interdisciplinary network of faculty affiliates. We unite more than 100 professors across academic schools at USC who are experts on race and racism, people of color, immigration, and other important dimensions of equity. These scholars work together on research, as well as on the development of useful tools and resources. When journalists, policymakers, and organizational leaders call us for expertise and assistance, we leverage our brilliant cast of faculty affiliates.

Rigorous, evidence-based work that educates our nation, transforms institutions and organizations, boldly confronts racism, and strategically achieves equity is what we do at the USC Race and Equity Center. The Center is home to the National Assessment of Collegiate Campus Climates, the USC Equity Institutes, PRISM (a professional networking and racial equity recruiting resource), and the Alliance for Equity, Diversity, and Inclusion in Business.

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USC Race and Equity Center
University of Southern California
635 Downey Way
Verna and Peter Oauterive Hall, Suite 214
Los Angeles, CA 90089-3331
WHEREAS, in May 2011, the Academic Senate passed resolution AS-728-11, which endorsed The Cal Poly Strategic Plan – V7, as a strategic framework; and

WHEREAS, AS-728-11 defined the key components of a strategic plan to be “a vision statement, a mission statement, a set of goals to achieve the mission and vision, and a set of key performance indicators”; and

WHEREAS, AS-728-11 called upon the Academic Senate to establish a committee to collaborate with the administration in further developing the Cal Poly Strategic Plan; and

WHEREAS, Resolution AS-812-16 adopted in March 2016 charged the Budget and Long-Range Planning Committee to work with the administration to further develop the University’s Strategic Plan; and

WHEREAS, AS-812-16 requested the Budget and Long-Range Planning Committee to ensure that the Administration developed a “succinct set of specific measurable goals and actions, key performance indicators for these goals and actions, and a timeline for the goals and actions to be accomplished”; and

WHEREAS, The Budget and Long-Range Planning Committee has worked with the administration to update the strategic objectives and goals of the University’s Strategic Plan which can be found in the accompanying appendix; and

WHEREAS, The administration has reached out to the campus community to build a new set of strategic objectives and goals that align with the University’s mission and vision; and

WHEREAS, The administration and the Budget and Long-Range Planning Committee agree that the strategic objectives and goals of the current strategic plan capture the key goals the university would like to achieve; and
WHEREAS, The process of implementing the strategic plan will include the establishment of a committee for each priority; and

WHEREAS, Each committee will be led by the executive champion for that priority and include the senior sponsor for each goal under that priority; and be it further

WHEREAS, The current draft of the strategic plan does not have a set of key performance indicators and metrics developed and finalized; therefore, be it

RESOLVED: That the Academic Senate endorse the seven Strategic Priorities and accompanying goals of the current draft plan, and be it further

RESOLVED: That the Academic Senate endorse the Strategic Implementation Plan in the current draft plan, and be it further

RESOLVED: That the Academic Senate encourage the Administration to allocate adequate funding to achieve the plan and its targeted goals, and be it further

RESOLVED: That the committee for each priority should include student, staff, and faculty representatives that are drawn from the breadth of individuals from the university structure, and be it further

RESOLVED: That the administration will work with the BLRP committee to finish developing the key performance indicators for each strategic priority, to be completed by May 2019, and be it further

RESOLVED: That the Academic Senate call upon the Administration to have a final draft of the University’s Strategic Plan completed by May 2019, which will include the strategic priorities, underlying goals, and the key metrics for the strategic priorities.

Proposed by: Academic Senate Budget and Long-Range Planning Committee
Date: January 8, 2019

(1) None
Appendix

Foundations

The Strategic Plan for Cal Poly is designed to provide direction for the future of the university through 2023. This plan is grounded in Vision 2022 as well as the Academic Plan for Enrollment and the Master Plan, as well as the university's mission, vision and values.

✦ Mission and Values

Cal Poly fosters teaching, scholarship, and service in a learn-by-doing environment where students and faculty are partners in discovery. As a polytechnic university, Cal Poly promotes the application of theory to practice. As a comprehensive institution, Cal Poly provides a balanced education in the arts, sciences, and technology, while encouraging cross-disciplinary and co-curricular experiences. As an academic community, Cal Poly values free inquiry, cultural and intellectual diversity, mutual respect, civic engagement, and social and environmental responsibility.

✦ Vision
Cal Poly will be recognized as the premier comprehensive polytechnic university, with an unmatched reputation for promoting Learn by Doing and nurturing student success.

As the premier comprehensive polytechnic university, Cal Poly will play a critical role in shaping the future of California through the professional contributions of its graduates, faculty and staff. Through their innovations, leadership and commitment to social and political inclusion, Cal Poly graduates, faculty and staff will improve their local communities and the broader world that their actions touch.

To achieve our vision Cal Poly will focus on student success by continuing to create and nurture a diverse and inclusive learning community. Student success is achieved only with faculty and staff success. The culture of success requires infrastructural strength, sustainable practices, local and state economic development and financial health.

Vision 2022. Introduced to the campus by President Armstrong in May of 2014, Vision 2022 provided the groundwork for the master-plan process and several divisional strategic plans. The following founding and guiding principles from Vision 2022 function as four dimensions along which strategic decisions will continue to be evaluated:

• Learn by Doing
• Student Success
• Excellence Through Continuous Improvement
• Comprehensive Polytechnic State University

These founding and guiding principles are the basis of the university’s strategic plan, as are the vision’s six strategic objective:

• Enhance student success
• Create a vibrant residential campus
• Increase support for the Teacher-Scholar Model
• Create a rich culture of diversity and inclusivity
• Secure the financial future of the university
• Develop a greater culture of transparency, collaboration, and accountability

Learn by Doing

Conceived as a Learn by Doing institution in 1901, Cal Poly was described at the time by journalist Myron Angel as a school that would “teach the hand as well as the head.” Today Cal Poly remains committed to its Learn by Doing philosophy, which the Academic Senate has defined in this way: “Learn by Doing is a deliberate process
whereby students, from day one, acquire knowledge and skills through active engagement and self-reflection inside the classroom and beyond it.”

Learn by Doing at Cal Poly takes many forms. Through curricular and co-curricular experiences faculty and staff work closely with students to meet learning objectives through experiential learning and provide opportunities for students to participate, often simultaneously, in discovery learning through problem solving. For many students, the capstone senior project, which was introduced to the curriculum in 1942, exemplifies the intentional blend of experiential and discovery learning that is the signature of Cal Poly’s Learn by Doing philosophy.

From the practice of the Learn by Doing philosophy emanates all success for faculty, staff, and students. Cal Poly students are motivated high-achievers who arrive with a commitment to a major, indicating that they have a clear vision of their academic and professional future, which they expect the university to support. The side-by-side Learn by Doing curriculum is designed to provide students with concrete experience in their majors and in general education from day one. Cal Poly faculty and staff have built programs that have positioned the university as one of the most selective public universities in the United States. Faculty hone their skills in the classroom, co-curricular activities, in their research and creative activities and through collaborations with each other.

♦ Teacher-Scholar Model

As practiced at Cal Poly, the Teacher-Scholar Model includes meaningful student engagement in faculty scholarly activity and inclusion of scholarship in teaching to create vibrant learning experiences for students. Scholarship is defined in general terms as the scholarships of discovery, application, integration, and teaching/learning (Boyer, 1990), implemented in a discipline-specific manner while mindful of Cal Poly’s mission.

♦ Student Success

The outcome of Learn by Doing and the Teacher-Scholar Model is student success. Cal Poly is uniquely focused on the student experience, both inside and outside of the classroom. Most easily defined through the Graduation Initiative 2025, the system-wide effort to facilitate student retention and timely graduation, student success at Cal Poly comes to life at annual commencement ceremonies, but it is also vibrantly on display on the athletic fields, in community service activity throughout San Luis Obispo, in student leadership opportunities and in senior projects among many other examples.
Every person who works and supports Cal Poly is dedicated to student success. Our faculty and staff operate in a collective partnership designed to maximize each other’s expertise in advancing the student experience. As we continue to remain focused on student success, we emphasize student needs and their success as a decision-making factor over all others.

Student success cannot happen without a commitment to creating the most inclusive campus climate possible. Every person, no matter the identities they have, must feel welcome and valued at Cal Poly. This element of student success is critical because, at our core, Cal Poly is a collection of focused human beings who thrive on the collective impact we have when we support each other and our larger goals.

❖ **Strategic Priority 1: Enhance the Success of All Cal Poly Students**

**Goal 1A:** Maintain and enhance Cal Poly’s signature pedagogy of Learn by Doing.

**Goal 1B:** Assure that all students attain the knowledge, skills, and understanding to thrive in a diverse, evolving, and competitive environment.

**Goal 1C:** Ensure access to an excellent education for all California students by providing financial aid support for those with the greatest economic need.

**Goal 1D:** Improve first year and transfer student graduation rates and eliminate achievement gaps for all students to meet the goals of the CSU’s Graduation Initiative 2025.

**Goal 1E:** Provide an additional high-impact experience for every undergraduate student.

❖ **Strategic Priority 2: Cultivate the Excellence of All Employees**

**Goal 2A:** Recruit and retain the best employees.

**Goal 2B:** Foster inclusive and excellent teaching practices through continued faculty development.

**Goal 2C:** Encourage innovative scholarship in all its forms — discovery, application, integration, and engagement, as well as teaching and learning.

**Goal 2D:** Promote professional development opportunities for all employees.
Goal 2E: Communicate and share more broadly the significant achievements of all employees.

Strategic Priority 3: Enrich the Campus Culture of Diversity, Equity, and Inclusion

Goal 3A: Create an aligned and cohesive focus on diversity and inclusion across the university.

Goal 3B: Create and sustain a more diverse, equitable, and inclusive university community that reflects and serves the diverse people of California.

Goal 3C: Prepare all students for their future through an education that includes diversity learning and reflects the principles of Inclusive Excellence.

Goal 3D: Further develop a campus climate that reflects the values of diversity, equity, and inclusion, as well as free inquiry and mutual respect.

Strategic Priority 4: Strengthen our Portfolio of Academic Programs

Goal 4A: Make the General Education program a distinctive, mission-driven experience that prepares students for their personal and professional lives.

Goal 4B: Develop innovative and sustainable undergraduate degree programs that meet the present and future needs of society and industry.

Goal 4C: Pursue innovative and sustainable initiatives in graduate, post-baccalaureate, and alternative academic programs that build on the university's mission and expertise.

Goal 4D: Address real-world problems, such as environmental sustainability, through interdisciplinary and international experiences, as well as, community and industry partnerships.

Strategic Priority 5: Create an Engaged, Vibrant, and Healthy Community for Students

Goal 5A: Encourage the development of an ethos of individual social responsibility in every student.

Goal 5B: Ensure that all students engage in effective, out-of-the-classroom experiences that prepare them for a life-long relationship with Cal Poly.
Goal 5C: Create the extracurricular facilities and co-curricular programs anchored in Learn by Doing that create a vibrant residential campus community.

Goal 5D: Cultivate a campus environment that emphasizes all aspects of personal and community wellbeing.

✦ Strategic Priority 6: Leverage Data and Technology to Support the Institution’s Mission

Goal 6A: Create a robust technological experience that enables engagement within and beyond the borders of campus, connects people with university data and resources, and provides a secure, stable and modern technological ecosystem.

Goal 6B: Build relationships locally, nationally and globally to showcase the power of collaboration, support and advance the university’s mission, and create alignment in the vision, priority, and pace of campus initiatives.

Goal 6C: Enable student success by creating a digital environment that empowers learning, teaching, and living at Cal Poly, while supporting the engagement of and alumni and prospective students.

✦ Strategic Priority 7: Secure Our Future by Improving Finances, Facilities, and Systems

Goal 7A: Ensure the economic viability of the institution through a resilient and sustainable business model, including public and private partnerships that enhance revenue.

Goal 7B: Foster a robust culture of philanthropy that allows the university to generate private gifts in support of institutional goals.

Goal 7C: Develop and maintain facilities that promote a sense of pride and confidence in the campus environment.

Goal 7D: Ensure the sustainability of the whole campus environment by making it smart, resilient, and carbon neutral.

Goals 7E: Ensure transparency of operations through clear and frequent communications at all levels.
2018-2023 Strategic Plan Implementation

The President’s Cabinet will serve as the Steering Committee for the Strategic Plan and will oversee all aspects of the development and implementation of the plan. This includes prioritizing the implementation of goals, obtaining resources to achieve success, and making modifications to the plan as unforeseen conditions arise. Many goals will have natural overlap in tactics, and this consistency and focus is positive. The Steering Committee will ensure that where overlap exists, collaboration is occurring.

Each aspect of the plan will have an Executive Champion and a Senior Sponsor(s). Executive Champions are members of the President’s Cabinet who will assume responsibility for selecting senior sponsors for the goals, establishing timelines for implementing the goals, and determining the metrics of success for each goal.

Executive Champions, with the support of the Senior Sponsor(s) will also be required to report on an annual basis the status of implementation and progress towards success metrics for each goal under their responsibility, and the university will provide a comprehensive and transparent update on the progress made under this plan.

Senior Sponsors are members of university leadership with expertise relevant to the goal and are charged with creating cross-divisional/college implementation teams that do the work of operationalizing the goal towards success, convening their teams, and making recommendations to President’s Cabinet or other appropriate group when obstacles prevent achieving success or the context has shifted requiring a change in the goal.

Senior Sponsors report to the Executive Champion(s) for their goal and provide regular reporting on the progress of the implementation team.
Impact on Existing Policy: This resolution establishes a statement of policy about the proposal and revision of university-level faculty personnel policies. Policies and statements in the attached policy document are derived from AS-650-06, AS-725-11, AS-752-12, and AS-859-18. It supersedes AS-829-17.

WHEREAS, The Academic Senate Faculty Affairs Committee is constructing a document entitled “University Faculty Personnel Policies” (UFPP) to house all university-level faculty personnel policies; and

WHEREAS, AS-859-18 resolved that “The Academic Senate Faculty Affairs Committee construct UFPP by proposing university-level faculty personnel policies to the Senate in the form of chapters or portions of chapters of UFPP according to the procedures approved in AS-829-17”; and

WHEREAS, AS-859-18 resolved that “By the end of Spring 2020 Colleges and other faculty units reorganize their faculty personnel policy documents to conform their documents to the chapter structure of UFPP”; therefore be it

RESOLVED: The policy document contained at the end of the attached report “Proposed Chapter of University Faculty Personnel Policies Document: CHAPTER 1: PREFACE” be established as Chapter 1: Preface of UFPP, and be it further

RESOLVED: Colleges and the Library revise their personnel policy documents by Spring 2020 to have chapter 1 of their documents be a Preface modeled after that of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee
Date: January 8, 2019
Revised: January 30, 2019

1 (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 1: PREFACE

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, FAC will replace the current University Faculty Personnel Actions (UFPA) document piece by piece to construct a new University Faculty Personnel Policies (UFPP) document. FAC may then employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- Clarify existing policies that are common and already in place across the university.
- Standardize procedures for faculty evaluation at the university level.
- Set baseline expectations and offer guiding principles with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- Establish a common structure for all personnel policy documents across campus.

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

1. Preface
2. Faculty Appointments
3. Personnel Files
4. Responsibilities in Faculty Evaluation Processes
5. Evaluation Processes
6. Evaluation Cycle Patterns
7. Personnel Action Eligibility and Criteria
8. Evaluation of Teaching and Professional Services
9. Evaluation of Professional Development
10. Evaluation of Service
11. Governance
12. Workload
13. Appendices

FAC is proposing to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation, and a description of feedback received on this proposed chapter.

Summary of Chapter 1: Preface

The Preface of UFPP offers the guiding principles for its faculty policies in the form of Cal Poly’s vision and mission statements and the statement of Cal Poly’s commitment to the teacher-scholar model. It
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 1: PREFACE

also includes an account of the purpose and scope of the document in relation to the various forms of legislation, contract provisions, local Academic Senate resolutions, or any other documents that inform and establish our faculty personnel policies. The Preface directs colleges and the Library to maintain and update their own personnel policy documents in accord with UFPP. It closes with a statement of the Academic Senate established procedures for composing and revising sections of UFPP.

Impact on Existing Policy

This Preface gives a new form of expression to pre-existing policies, values, provisions and requirements, but does not establish new policies. The statements of policies in the Preface were established by Academic Senate resolutions. The Preface states that by the Senate action establishing the Preface as a chapter of UFPP, its formulation of those policies supersedes those in its originating resolutions. It thereby clarifies the policy history related to the provisions of this portion of UFPP.

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges to restructure their faculty personnel policy documents into the same chapter division as UFPP. When a chapter of UFPP is approved by the Academic Senate and ratified by the President, colleges will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly.

Current college documents typically begin with guiding statements and include provisions for revising the policy document.

For colleges with up-to-date formulations of their values and mission, procedures for policy revision, etc., this imposition on the colleges would be as insignificant as placing the heading of “Chapter 1: Preface” over their existing statements of guiding principles and and their procedures for revising their documents. Colleges with out-of-date prefatory statements and policy revision procedures would take on the task to update them, now with some guidance of what is expected for this portion of their personnel policies document.

Colleges should cover the topics in UFPP, but may add additional subdivisions as necessary.

Feedback from Faculty Units

When proposing personnel policies, FAC consults with faculty units about the proposed change so the faculty units may offer feedback on the proposal. FAC then considers this feedback when revising the proposed policy and sending it to the Senate.

Faculty units provided no specific feedback on the elements of the Preface.

What follows is the proposed text of the chapter...
UNIVERSITY FACULTY PERSONNEL POLICIES

1. Preface
   1.1. Summary
      1.1.1. The prefatory materials in the document include a general statement of Cal Poly's vision and mission statements, along with Cal Poly's commitment to the teacher-scholar model. It states the hierarchy of policy in the CSU. It also includes the formal statement of the Senate personnel policy revision process by which portions of this document are composed and revised. Colleges and departments can put in the Preface of their personnel policies documents their own mission/vision statements, any guiding principles that inform their understanding and implementation of the teacher/scholar model, and any policies or procedures for revising their policy documents.

   1.2. Vision Statement
      1.2.1. Cal Poly will be the nation's premier comprehensive polytechnic university, an innovative institution that develops and inspires whole-system thinkers to serve California and help solve global challenges. (CAP 110.2)

   1.3. Mission Statement
      1.3.1. Cal Poly fosters teaching, scholarship, and service in a Learn by Doing environment in which students, staff, and faculty are partners in discovery. As a polytechnic university, Cal Poly promotes the application of theory to practice. As a comprehensive institution, Cal Poly provides a balanced education in the arts, sciences, and technology, while encouraging cross-disciplinary and co-curricular experiences. As an academic community, Cal Poly values free inquiry, cultural and intellectual diversity, mutual respect, civic engagement, and social and environmental responsibility. (CAP 110.1, AS-650-06)

   1.4. Teacher-Scholar Model
      1.4.1. Cal Poly faculty have adopted the Teacher-Scholar Model defined as participation in both teaching and scholarship (AS-725-11). The Teacher-Scholar Model includes, when possible, meaningful student engagement in faculty scholarly activity and inclusion of scholarship in teaching to create vibrant learning experiences for students. The resolution defined scholarship in general terms as the scholarships of discovery, application, integration, and teaching/learning (Boyer, Scholarship Reconsidered, 1990), implemented in a discipline-specific manner while mindful of Cal Poly's mission. The Teacher-Scholar Model allows for individual variations in the balance between teaching and scholarly activities. The personnel policies in this document promote the development of teacher/scholars.

   1.5. Purpose and Scope of this Document
      1.5.1. University level personnel policies for faculty are contained in this document, titled "University Faculty Personnel Policies" (abbreviated as UFPP). It includes the University statement of policy, criteria and university-wide procedures for faculty personnel actions. This document is based on Title V, Higher Education Employer-Employee Relations Act (HEERA), and the CSU-CFA Collective Bargaining Agreement (CBA). If Title V, HEERA and/or the CSU-CFA Collective Bargaining Agreement is in conflict with the provisions in these criteria and procedures, the terms of Title V, HEERA and/or the CSU-CFA Collective Bargaining Agreement, and not the provisions of these procedures and criteria, shall govern.

      1.5.2. Policies in this document are derived largely from the 2013 revision of University Faculty Personnel Actions (UFPA), which is included in the appendices to this
UNIVERSITY FACULTY PERSONNEL POLICIES

document. Policies stated in UFPP supersede their prior formulations in UFPA. Until superseded by policies in UFPP, the policies in UFPA remain in effect.

1.5.3. Personnel policies established by Academic Senate resolutions are commonly cited throughout this document following the form of “AS-XXX-YY”. Since each chapter of UFPP is established by Academic Senate action, the formulation of policies in UFPP supersedes the formulations of those policies in prior Academic Senate resolutions.

1.5.4. Policy statements contained in UFPP are also derived from sources beyond the scope of the Academic Senate, such as provisions in the CBA, HEERA, or Title V. Policies derived from the Collective Bargaining Agreement (i.e. the CSU faculty contract) are cited by CBA article and section. Policies from Cal Poly’s Campus Administrative Policies (CAP) are cited by their CAP numbers. Other documents establishing policies are cited by descriptive titles (e.g. administrative memos cited by their source and date). In these cases, the verbal formulation of the policy is approved by the Senate, but the statement of these policies in their original source governs.

1.5.5. Colleges and the Library shall have their own personnel policy documents to extend, develop, and apply university level policies in ways that are suited to the programs within the college. In the case of any conflict between college and university policies, the university policy shall govern. College personnel policies should remain current in relation to the policies that govern over the college policies, including university policies, the CSU-CFA Collective Bargaining Agreement, HEERA, and Title V. Colleges shall define a process for reviewing and updating their personnel policies. College personnel policies must be approved by the Dean and the Provost. College personnel policies that are currently in effect shall be made available on the Academic Personnel website.

1.5.6. Departments may also have personnel policy documents. Department level personnel policies extend, develop, and apply college level policies in ways that are suited to the disciplines within the department. In the case of any conflict between a department’s policies and college or university policies, the college or university policies shall govern. Departments opting to draft their own personnel policies shall define the process for composing and approving such policies. Department level personnel policies shall be approved by their college Dean and the Provost. Department personnel policies that are currently in effect shall be made available on the Academic Personnel website.

1.6. Procedure for Updating University Faculty Personnel Policies

1.6.1. This section of the Preface states the policies related to the composition and revision of sections of UFPP. The policies in this section are established by AS-XXX-19 which is based on the following Academic Senate resolutions: AS-650-06, AS-725-11, AS-752-12, and AS-859-18. It supersedes AS-829-17.

1.6.2. Cal Poly’s university-level faculty personnel policies are composed and approved by means of shared governance between faculty and administration. Personnel policies are established or revised either by means of Academic Senate resolutions or consent agenda items, both of which must be ratified by the university President.

1.6.3. The Academic Senate Faculty Affairs Committee proposes university level faculty personnel policies to the Senate in the form of chapters or portions of chapters of the University Faculty Personnel Policies document (UFPP).

1.6.4. University-wide faculty personnel policy proposals from the Academic Senate Faculty Affairs Committee may appear on the Academic Senate meeting agenda as consent items at the discretion of the Academic Senate Executive Committee. The Academic
Senate Faculty Affairs Committee submits the personnel policy proposals to the Academic Senate Executive Committee. The Academic Senate Executive Committee determines whether and how the personnel policy proposals shall be placed on the Academic Senate agenda.

1.6.5. When the Academic Senate Executive Committee places personnel policy revisions on the Academic Senate consent agenda, any senator may request an item be removed from the consent agenda no later than one week prior to the meeting. Items removed from the Academic Senate consent agenda will be placed on the Senate agenda as business items. Items not removed from the consent agenda are considered approved by the Academic Senate on the meeting date of the consent agenda.

1.6.6. Personnel policy revisions that are on the Senate agenda shall consist of reports attached to resolutions. The report contains the proposed revision to university policy and all background or explanatory information about the change in policy. The Academic Senate Faculty Affairs Committee chair (or designee) is responsible for presenting the policy proposal to the Academic Senate Executive Committee and to the Academic Senate. The Academic Senate Chair (or designee) may invite interested parties concerning the policy proposals to be present at the meetings where pulled proposals will be discussed. Queries from senators regarding policy proposals are directed to the chair of the Academic Senate Faculty Affairs Committee.

1.6.7. Proposed revisions to university-wide faculty personnel policies should include as many of the following as are relevant to the proposal:

- The text of the proposed policy.
- The text of superseded policy (if available).
- Summary of the proposed changes noting especially any revisions to reflect existing policy stated elsewhere, or any proposed changes in policy.
- Citation of relevant documents, which may include: Academic Senate resolutions, provisions in the collective bargaining agreement, administrative memos, existing policy documents in need of revision, superseded policy statements.
- Expected effects of the policy change on faculty units.
- The nature of consultation with affected faculty units.
- The timeline and nature of implementation.
RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
CHAPTER 2: FACULTY APPOINTMENTS

WHEREAS, the Academic Senate Faculty Affairs Committee is constructing a document entitled “University Faculty Personnel Policies” (UFPP) to house all university-level faculty personnel policies; and

WHEREAS, AS-859-18 resolved that “The Academic Senate Faculty Affairs Committee construct UFPP by proposing university-level faculty personnel policies to the Senate in the form of chapters or portions of chapters of UFPP according to the procedures approved in AS-829-17”; and

WHEREAS, AS-859-18 resolved that “By the end of Spring 2020 Colleges and other faculty units reorganize their faculty personnel policy documents to conform their documents to the chapter structure of UFPP”; therefore be it

RESOLVED: The policy document contained at the end of the attached report “Proposed Chapter of University Faculty Personnel Policies Document: CHAPTER 2: FACULTY APPOINTMENTS” be established as Chapter 2: Faculty Appointments of UFPP, and be it further

RESOLVED: Colleges and the Library revise their personnel policy documents by Spring 2020 to have chapter 2 of their documents cover faculty appointments as per chapter 2 of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee
Date: January 8, 2019
Revised: January 30, 2019

(1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 2: FACULTY APPOINTMENTS

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, FAC will replace the current University Faculty Personnel Actions (UFPA) document piece by piece to construct a new University Faculty Personnel Policies (UFPP) document. FAC may then employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- Clarify existing policies that are common and already in place across the university.
- Standardize procedures for faculty evaluation at the university level.
- Set baseline expectations and offer guiding principles with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- Establish a common structure for all personnel policy documents across campus.

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

1. Preface
2. Faculty Appointments
3. Personnel Files
4. Responsibilities in Faculty Evaluation Processes
5. Evaluation Processes
6. Evaluation Cycle Patterns
7. Personnel Action Eligibility and Criteria
8. Evaluation of Teaching and Professional Services
9. Evaluation of Professional Development
10. Evaluation of Service
11. Governance
12. Workload
13. Appendices

FAC is proposing to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation, and a description of feedback received on this proposed chapter.

Summary of Chapter 2: Faculty Appointments

This chapter covers university-level requirements for all forms of faculty appointments, including:
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 2: FACULTY APPOINTMENTS

- Tenure-track
- Full-time lecturer
- Part-time pool lecturer
- Non-instructional faculty

It includes the required application elements and the baseline recruitment policies, referring to the separate recruitment procedures document maintained by Academic Personnel. It directs the Colleges and Library to determine their criteria for appointment.

Impact on Existing Policy

This chapter on Faculty Appointments gives a new form of expression to pre-existing policies and requirements, but does not establish new policies. Many of the provisions of this chapter are driven by the Collective Bargaining Agreement (especially for lecturer appointments).

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges and the Library to restructure their faculty personnel policy documents into the same chapter division as UFPP. When a chapter of UFPP is approved by the Academic Senate and ratified by the President, they will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly.

Current College and Library personnel policy documents typically include sections on faculty appointment. The establishment of this chapter of UFPP would require these provisions to be contained in Chapter 2, which would be called “Faculty Appointments.” For those with well-developed personnel policy documents whose appointment policies are up-to-date, the implementation of this change would be insignificant. Those whose policies are out-of-date would now have some guidance for taking on the task of updating their policies.

The Colleges and the Library may subdivide this chapter to clarify distinctions between appointment requirements for different classifications of faculty according to their needs.

Feedback from Faculty Units

When proposing personnel policies, FAC consults with faculty units about the proposed change so the faculty units may offer feedback on the proposal. FAC then considers this feedback when revising the proposed policy and sending it to the Senate.

The College of Liberal Arts provided editorial suggestions to clarify policy statements.

CLA also raised questions about practices in the colleges that were not reflected as university policy. The response from FAC about these questions consisted of expressing the goal of revising the policy
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 2: FACULTY APPOINTMENTS

statements without revising policies. Practices common among the Colleges (and the Library) that are not reflected in university policy would remain college-level (or library) policy until some later date when FAC can consider whether to revise university-policy accordingly. The practice in question concerns the requiring of statements of a commitment to diversity and inclusion in faculty recruitment processes.

The Library also offered some editorial suggestions.

What follows is the proposed text of the chapter...
UNIVERSITY FACULTY PERSONNEL POLICIES

2. Faculty Appointments

2.1. Summary

2.1.1. This chapter provides university-wide recruitment and appointment policies for faculty. Policies in this chapter refer to but do not include the more detailed hiring procedures maintained by Academic Personnel. Colleges and departments include in this chapter any specific hiring policies that go beyond the university-level policies, including any statements of their own specific criteria and requirements for their faculty appointments.

2.2. Tenure-Track Recruitment

2.2.1. Current University tenure-track recruitment procedures, as well as information about contract updates concerning academic appointments, are accessible at the Academic Personnel website.

2.2.2. Advertising and Recruitment: Tenure-track positions must be advertised nationally. Academic Personnel will place an advertisement for all tenure-track searches in publications listed in documents on the Academic Personnel website. These advertisements meet the requirement to advertise the position nationally. Departments must also place all additional advertisements listed in the required recruitment plan. A minimum 30-day period is required between the latest of all ad publication dates (whether online or print) and the closing date or review begin date. For online advertising the 30 days is counted from the first day of appearance.

2.2.3. Applications for tenure-track faculty positions must be submitted to the university's applicant tracking system. Application packages must include at least the following items:

- Current Curriculum Vitae (CV)
- At least three letters of reference
- Unofficial transcripts at the time of application (Official transcripts required for appointment)
- Cover Letter (preferred)
- Other materials required by the college or department

2.2.4. The Search Committee, consisting of elected tenured or probationary faculty, shall use procedures as determined by the University’s Procedure for Recruiting Tenure-Track Faculty and any approved college or departmental recruitment policies and procedures in addition to those listed below. With the department’s recommendation and the dean’s permission, FERP faculty may serve on the Search Committee. With the department’s recommendation and the dean’s permission, probationary faculty may serve on the Search Committee (CBA 12.22.a).

2.2.5. Each search committee must have one trained Employment Equity Facilitator (EEF) who shall normally be a tenured faculty member and may not be the department chair/head or the chair of the Search Committee. Information about the role of the EEF and about training for the EEF positions is available on the website of the Office of Equal Opportunity.

2.2.6. The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. The search committee members, or screening sub-committee members, and department chair/head shall review and sign the Personnel Action File for these candidates.
2.2.7. The Search Committee shall provide a list of acceptable candidates as finalists to the department chair/head. The department chair/head shall provide appointment recommendations to the dean.

2.3. **Tenure-Track Qualifications**

2.3.1. Normally, a doctorate or other appropriate terminal degree shall be required for appointment to a tenure-track position. The appropriate terminal degree will be determined by the department and approved by the dean. In the areas where a doctorate is required, candidates who have completed all doctoral requirements but the dissertation (ABD) may also be considered during the recruitment process. However, all minimum degree requirements must be completed prior to the appointment start date.

2.3.2. Colleges and departments shall specify the relevant evidence of potential for excellence in university-level teaching, scholarship and service. Evidence of potential for teaching excellence in the department and/or college may include experience or potential to teach using learn by doing, project-based learning, service learning and other teaching methods that are common at Cal Poly. Evidence of potential for ongoing research, scholarship, and/or creative activity should show how candidates will remain current and contribute to the knowledge and developments within their discipline/professional field, and obtain promotion. Evidence of service should show potential to make substantive contributions to the department, college, and/or university.

2.3.3. Applicants for appointment with tenure shall normally be tenured professors or tenured librarians at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department (CBA 13.17).

2.4. **Lecturer Recruitment**

2.4.1. Department chairs make the hiring recommendation to the deans who are the appointing authorities in the colleges responsible for approving and hiring lectures. Department faculty may be involved in screening or vetting applicants for the part-time pools or by serving on search committees for full-time lecturer recruitments.

2.4.2. Full-time lecturer appointments require a search with a process similar that of tenure-track searches. Colleges or departments determine the appropriate interview format for the full-time lecturers.

2.4.3. Advertisements need to be posted and the requisition must be open for a minimum of 4-weeks 30 days before review of applicants can begin.

2.4.4. Required documents for full-time lecturer recruitment:

- Application
- CV
- Cover letter (preferred)
- List of CSU courses taught
- Transcripts
- Name and email address of 3 references.

2.4.5. Criteria for appointment for full-time lecturers are determined by the college or department. Initial appointment is for 1 academic year with a possible 1-year extension. Full-time lecturer appointments are unconditional and their work
assignment cannot be reduced once these appointments are made. The department must meet the entitlements of other lecturers listed in the order of assignment in article 12.29 of the CBA.

2.4.6. Most departments create a part-time lecturer pool that allows candidates to apply for consideration for appointments throughout the academic year as needed to fill positions. Applicants may apply at the start of the academic year for consideration of work assignments in any quarter or they may apply prior to the winter or spring terms. These pools are opened in April for the subsequent academic year after the spring quarter appointments have been made. Department chairs may review qualifications of the applicants and make quarter-by-quarter appointments following the order of assignment in accordance with article 12.29 of the CBA. Applicants who have worked for the department and been evaluated should be given careful consideration according to article 12.7 of the CBA. Those who have had a part-time assignment for all three quarters of an academic year and are appointed to teach in the fall quarter of the following academic year shall be appointed with a one-year part-time entitlement per article 12.3 of the CBA.

2.4.7. Advertisements must be posted and the lecturer pool must be open for a minimum of 2-weeks before review of candidates can begin. Part-time pools stay open until the first week of spring quarter.

2.4.8. Required documents for part-time lecturer pool recruitment:
- Application
- CV
- Cover letter (preferred)
- List of CSU courses taught
- Transcripts
- Name and email address of 3 references.

2.4.9. Criteria for appointment and level of appointment are determined by colleges or departments. Initial appointments for part-time pool lecturers can be for 1, 2 or 3 quarters. Initial appointment for 3 quarters should be for less than 45 units.

2.4.10. Emergency lecturer appointments may occur for urgent and unplanned needs when no qualified candidates are available in the part-time lecturer pool and there isn’t time to run a part-time lecturer pool recruitment. Such urgent and unplanned needs to appoint a lecturer may arise from another faculty member’s unplanned leave of absence or a last-minute course section being opened. If this need is expected to continue, the department should plan ahead for future terms and either run a recruitment or advertise to increase the part-time pool to meet the anticipated needs of the department.

2.5. Other Faculty Recruitments for Library, Counseling, and Athletics

2.5.1. Other faculty units should identify in their personnel policy documents the recruitment policies pertinent to their assignments.

2.5.2. Other faculty recruitments should conform at least with the policies for instructional lecturer recruitments.
Impact on Existing Policy: This resolution establishes the statement of policy about the faculty personnel action file and working personnel action file. Its impact on existing policy is described in the attached report.¹

WHEREAS, The Academic Senate Faculty Affairs Committee is constructing a document entitled "University Faculty Personnel Policies" (UFPP) to house all university-level faculty personnel policies; and

WHEREAS, AS-859-18 resolved that "The Academic Senate Faculty Affairs Committee construct UFPP by proposing university-level faculty personnel policies to the Senate in the form of chapters or portions of chapters of UFPP according to the procedures approved in AS-829-17"; and

WHEREAS, AS-859-18 resolved that "By the end of Spring 2020 Colleges and other faculty units reorganize their faculty personnel policy documents to conform their documents to the chapter structure of UFPP"; therefore be it

RESOLVED: The policy document contained at the end of the attached report "Proposed Chapter of University Faculty Personnel Policies Document: CHAPTER 3: PERSONNEL FILES" be established as Chapter 3: Personnel Files of UFPP, and be it further

RESOLVED: Colleges and the Library revise their personnel policy documents by Spring 2020 to have chapter 3 of their documents cover personnel files as per chapter 3 of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee
Date: January 8, 2019
Revised: January 30, 2019

¹ (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.
Proposed Chapter of University Faculty Personnel Policies Document:  
CHAPTER 3: PERSONNEL FILES

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, **FAC will replace the current University Faculty Personnel Actions (UFPA) document piece by piece to construct a new University Faculty Personnel Policies (UFPP) document.** FAC may then employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- **Clarify existing policies** that are common and already in place across the university.
- **Standardize procedures** for faculty evaluation at the university level.
- **Set baseline expectations and offer guiding principles** with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- **Establish a common structure for all personnel policy documents across campus.**

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

1. Preface
2. Faculty Appointments
3. Personnel Files
4. Responsibilities in Faculty Evaluation Processes
5. Evaluation Processes
6. Evaluation Cycle Patterns
7. Personnel Action Eligibility and Criteria
8. Evaluation of Teaching and Professional Services
9. Evaluation of Professional Development
10. Evaluation of Service
11. Governance
12. Workload
13. Appendices

FAC is proposing to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation, and a description of feedback received on this proposed chapter.

### Summary of Chapter 3: Personnel Files

This chapter covers university-level requirements concerning the Personnel Action File (PAF) and Working Personnel Action File (WPAF).
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 3: PERSONNEL FILES

It is media neutral, and so it conforms with the new implementation of Interfolio electronic WPAF and evaluation processes.

Its provisions state baseline expectations common across campus with directives and allowances to the Colleges and Library to augment these baseline requirements according to the nature of their programs.

Impact on Existing Policy

This chapter on Faculty Appointments gives a standard and clarified expression to pre-existing policies and practices, but does not establish new policies. Many of the provisions of this chapter are driven by the Collective Bargaining Agreement.

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges and the Library to restructure their faculty personnel policy documents into the same chapter division as UFPP. When a chapter of UFPP is approved by the Academic Senate and ratified by the President, they will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly.

Current College and Library personnel policy documents typically include sections on personnel files. The establishment of this chapter of UFPP would require those documents to contain these provisions into Chapter 3 and call it “Personnel Files.” Implementation of this change would be insignificant for those with well-developed personnel policy documents with up-to-date policies and expectations about personnel files. Those whose policies are out-of-date would now have some guidance for taking on the task of updating their policies.

Material in this chapter may form the basis for process guides the Colleges and Library can draft and include in the appendices of their personnel policy documents.

Feedback from Faculty Units

When proposing personnel policies, FAC consults with faculty units about the proposed change so the faculty units may offer feedback on the proposal. FAC then considers this feedback when revising the proposed policy and sending it to the Senate.

The College of Liberal Arts provided editorial suggestions to clarify policy statements.

What follows is the proposed text of the chapter...
3. Personnel Files

3.1. Summary

3.1.1. This chapter defines the university-wide requirements and policies for the Personnel Action File (PAF) and Working Personnel Action File (WPAF). Colleges and departments may augment these university-level requirements to address their discipline-specific needs.

3.2. Personnel Action File (PAF)

3.2.1. The Personnel Action File (PAF) is the one official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (CBA 11.1)

3.2.2. The college dean or equivalent supervising administrator is the custodian of the PAF. Contents of the Personnel Action File stored in electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file under the terms of the CBA. (CBA 11.1)

3.2.3. Contents of the PAF include:

- Hiring materials/letters of appointment
- CV retained from WPAF
- Index retained from WPAF
- Performance and periodic evaluation reports (AP 109, dean and provost letters)
- Leaves/grants/awards reports
- Results of student evaluations of faculty
- Institutional data about teaching assignments
- Other personnel related material.

3.3. Purpose of Working Personnel Action File (WPAF)

3.3.1. During the time of periodic evaluation and performance review of a faculty unit employee, the Working Personnel Action File (WPAF), which includes all information, materials, recommendations, responses and rebuttals, shall be incorporated by reference into the Personnel Action File. (CBA 11.8).

3.3.2. The WPAF is compiled by the applicant to support consideration for a periodic evaluation or performance review. Contents of the WPAF stored in electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file. All supporting materials in the WPAF should be referenced and clearly explained.

3.3.3. The WPAF for retention and tenure reviews shall cover the entire employment period at Cal Poly. The WPAF for promotion and lecturer range elevation shall cover the period at rank or range at Cal Poly.

3.3.4. The Provost establishes a specific deadline by which the WPAF is declared complete for each type of personnel action. Insertion of materials after that date must have the approval of the college peer review committee (CPRC) and is limited to items that became accessible after the deadline. The table of contents or index should be updated to reflect any material added to the file during the course of the evaluation cycle.

3.4. Contents of WPAF

3.4.1. Minimum requirements for a Contents of Working Personnel Action File (WPAF) for Instructional Faculty include:

- Index of WPAF
- CV
UNIVERSITY FACULTY PERSONNEL POLICIES

- Professional Development Plan
- Evidence for Teaching
- Evidence for Professional Development, (including Research, Scholarships, Creative Activity, appropriate to the nature of the appointment)
- Evidence for Currency in Field
- Evidence for Service (appropriate to the nature of the appointment)

3.4.2. Any student communications or evaluations provided outside of the regular student evaluation process must be identified by name to be included in a PAF or WPAF (CBA 15.17). Anonymous surveys from students conducted outside the official university-run student evaluation process shall not be included in WPAFs. Anonymous communications shall not be included in WPAFs. Candidates may summarize their own assessment of any unofficial anonymous student surveys in their narrative documents.

3.4.3. Colleges and departments may specify additional required contents of WPAFs.

3.4.4. Colleges shall define in their personnel policies the appropriate evidence for Teaching, Professional Development, and Service appropriate to the nature of faculty appointments.

3.4.5. The Library, Counseling, and Athletics shall define in their personnel policies the appropriate evidence categories for their faculty.
RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
CHAPTER 4: RESPONSIBILITIES IN FACULTY EVALUATION

Impact on Existing Policy: This resolution establishes the statement of policy about the responsibilities of all those involved in faculty evaluation. Its impact on existing policy is described in the attached report. ¹

1 WHEREAS, The Academic Senate Faculty Affairs Committee is constructing a document entitled “University Faculty Personnel Policies” (UFPP) to house all university-level faculty personnel policies; and

2 WHEREAS, AS-859-18 resolved that “The Academic Senate Faculty Affairs Committee construct UFPP by proposing university-level faculty personnel policies to the Senate in the form of chapters or portions of chapters of UFPP according to the procedures approved in AS-829-17”; and

3 WHEREAS, AS-859-18 resolved that “By the end of Spring 2020 Colleges and other faculty units reorganize their faculty personnel policy documents to conform their documents to the chapter structure of UFPP”; therefore be it

RESOLVED: The policy document contained at the end of the attached report “Proposed Chapter of University Faculty Personnel Policies Document: CHAPTER 4: RESPONSIBILITIES IN FACULTY EVALUATION” be established as Chapter 3: Personnel Files of UFPP, Chapter 4: Responsibilities in Faculty Evaluation of UFPP, and be it further

RESOLVED: Colleges and the Library revise their personnel policy documents by Spring 2020 to have chapter 4 of their documents cover responsibilities in faculty evaluation as per chapter 4 of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee
Date: January 8, 2019
Revised: January 30, 2019

¹ (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.

(2) Indicate if this resolution supersedes or rescinds current resolutions.

(3) If there is no impact on existing policy, please indicate NONE.
Proposed Chapter of University Faculty Personnel Policies Document:

CHAPTER 4: RESPONSIBILITIES IN FACULTY EVALUATION

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, 

FAC will replace the current University Faculty Personnel Actions (UFPA) document piece by piece to construct a new University Faculty Personnel Policies (UFPP) document. FAC may then employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- Clarify existing policies that are common and already in place across the university.
- Standardize procedures for faculty evaluation at the university level.
- Set baseline expectations and offer guiding principles with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- Establish a common structure for all personnel policy documents across campus.

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

1. Preface
2. Faculty Appointments
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5. Evaluation Processes
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7. Personnel Action Eligibility and Criteria
8. Evaluation of Teaching and Professional Services
9. Evaluation of Professional Development
10. Evaluation of Service
11. Governance
12. Workload
13. Appendices

FAC is proposing to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation, and a description of feedback received on this proposed chapter.
Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 4: RESPONSIBILITIES IN FACULTY EVALUATION

Summary of Chapter 4: Responsibilities in Faculty Evaluation

This chapter covers university-level requirements concerning the responsibilities of all those involved in faculty evaluation, including: the candidate under evaluation, department and college peer committees, department chairs and heads, and administrators involved in the evaluation processes.

Impact on Existing Policy

This chapter on the responsibilities in faculty evaluation gives a standard and clarified expression to pre-existing policies and practices, but does not establish new policies.

Many of the provisions of this chapter are driven by the Collective Bargaining Agreement. The policies not directly specified by the CBA but left to campus discretion remain as they were in our prior University Faculty Personnel Actions document, which is the current university-level governing policy document.

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges and the Library to restructure their faculty personnel policy documents into the same chapter division as UFPP. When a chapter of UFPP is approved by the Academic Senate and ratified by the President, they will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly.

Current college documents typically describe the responsibilities of the participants in faculty evaluation. Sometimes these descriptions are combined with policies and procedures for conducting the evaluation. This form of guidance is more of a process guide than a policy statement. The establishment of this chapter of UFPP would require colleges to focus their policies on the responsibilities of those involved in evaluation to chapter 4 and call it "Responsibilities in Faculty Evaluation."

For colleges whose account of the responsibilities of those involved in faculty evaluation are clear and up-to-date, and comply with university policy and CBA provisions, placing the statements of those responsibilities into this chapter would be the scope of implementation. Colleges with out-of-date or non-compliant policies about these responsibilities would have some guidance from UFPP about how to bring their documents into compliance. FAC and Academic Personnel have discussed some focused areas of non-compliance with the affected units and they have already taken the necessary steps to become compliant.

Material in this chapter may form the basis for process guides the colleges can draft and include in the appendices of their personnel policy documents.
Feedback from Faculty Units

When proposing personnel policies, FAC consults with faculty units about the proposed change so the faculty units may offer feedback on the proposal. FAC then considers this feedback when revising the proposed policy and sending it to the Senate.

The College of Liberal Arts provided editorial suggestions to clarify policy statements.

What follows is the proposed text of the chapter...
4. Responsibilities in Faculty Evaluation Processes

4.1. Summary

4.1.1. Faculty evaluation processes have various definable functions that are common across the university, such as the roles of candidates undergoing evaluation, Department Peer Review Committees, Department Chair/Heads, College Peer Review Committees, and administrators such as the Deans and the Provost. This chapter defines the responsibilities of these roles in faculty evaluation. Colleges and departments may specify additional responsibilities of the various roles within the college or department in faculty evaluation.

4.2. Candidates

4.2.1. Faculty subject to evaluation are candidates in the evaluation process. Candidates must provide a complete set of materials that includes evidence appropriate for the nature of the evaluation process and narrative reports pertinent to the purpose of the evaluation. (CBA 15.12)

4.2.2. While faculty scheduled for a mandatory review will be notified by the college, faculty intending to be considered for early promotion to associate professor or professor or early tenure must notify the dean in writing (email is acceptable). This notification shall also be copied to the department chair/head.

4.2.3. Candidates under review must view their own Personnel Action File (PAF) according to access requirements prior to the commencement of an periodic evaluation and sign the PAF Log.

4.2.4. Candidates must assemble and submit a Working Personnel Action File (WPAF) by the University established deadline for their evaluation process.

4.2.5. Candidates must provide an updated curriculum vita for placement in their PAF.

4.2.6. Candidates must provide an updated professional development plan for their WPAF.

4.2.7. The ten days following the receipt of an evaluation report from any level of review comprises a rebuttal period during which the candidates may submit a written rebuttal or request to meet with the evaluator(s) to discuss the evaluation. (CBA 15.5)

4.2.8. To acknowledge receipt of an AP 109 evaluation report, candidates must sign the report within the specified timeframe of ten days.

4.3. Department Peer Review Committee (DPRC)

4.3.1. For evaluation processes using a Department Peer Review Committee (DPRC), the initial level of review of the candidate is conducted by the DPRC. Evaluation of tenure-track instructional faculty shall commence with a DPRC level of review. Lecturer faculty evaluation may commence with a DPRC level of review, according to College requirements.

4.3.2. For Periodic Evaluations the department's probationary and tenured faculty shall elect members of the tenured faculty to serve on DPRCs. Both tenured and probationary faculty may vote on DPRC membership.

4.3.3. For Retention, Promotion or Tenure Performance Evaluations, the DPRC shall consist of at least three elected members of the tenured faculty. DPRC members must have a higher rank/classification than those being considered for promotion. At the request of a department, the President may agree that a faculty unit employee participating in the Faculty Early Retirement Program may also engage in deliberations and make recommendations regarding the evaluation of a faculty unit employee. However, faculty committees established for this purpose may not be comprised solely of faculty participating in the Faculty Early Retirement Program. Approval shall be...
obtained from the Dean if a department requests to have faculty in FERP participate as an evaluator member of the DPRC. (CBA 15.2)

4.3.4. Faculty may serve on only one level of review (department PRC, department chair/head, or college PRC). (CBA 15.29) Faculty unit employees being considered for promotion themselves are ineligible for service on promotion or tenure peer review committees (CBA 15.42). A potential DPRC member with a clear conflict of interest with a faculty member scheduled for review (e.g., partner, very close friend or collaborator) should not stand as a candidate for that DPRC. DPRC members typically will be from the candidate’s own department. However, DPRC members will sometimes need to be recruited outside the department when there is an inadequate number of faculty in the department who are eligible and available to serve on the DPRC.

4.3.5. All DPRC members shall review both the PAF and the WPAF, signing the log sheet in each file. At least a subset of the DPRC shall observe classroom instruction. The DPRC shall review any professional development plan and offer guidance to the candidate for any needed modifications to that plan. This feedback on the professional development plan is especially important in helping faculty develop a compelling record for eventual promotion. All deliberations of the DPRC shall be confidential (CBA 15.10).

4.3.6. The DPRC shall use forms provided by Academic Personnel for their evaluation report. This report shall critically analyze the evidence on each performance dimension (teaching, professional development, service, and other), and offer any suggestions for improvement. The report shall clearly establish the basis for the conclusions of the report and how any recommendations resulted from the assessment of the evidence.

4.3.7. DPRC evaluation recommendations shall be approved by a simple majority of the committee (CBA 15.44). The DPRC shall vote for or against the proposed action (retention, promotion and/or tenure), or, under very rare circumstances, abstain. Abstentions require written explanation. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report.

4.3.8. The DPRC report shall be provided to the candidate at least 10 days before sending the evaluation to the department chair/head. If the candidate requests a meeting concerning a rebuttal to the DPRC report, the DPRC shall meet with the candidate within the 10-day rebuttal period. The DPRC shall review any written rebuttal with the option of revising the recommendation or correcting errors in the original report. No
other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate.

4.3.9. Library, Counseling, and Athletic faculty units shall specify in their personnel policies the composition of their peer review committees.

4.4. Department Chair/Head

4.4.1. Department chairs/heads shall conduct their own separate level of review. For evaluation processes using a DPRC, the Department chair/head review shall follow the DPRC review. For evaluation processes not using a DPRC, the Department chair/head level of review initiates the review process.

4.4.2. The department chair/head shall review both the PAF and the WPAF, signing the logs in each file. The department chair/head shall review any DPRC evaluation. The department chair/head shall review any rebuttal to the DPRC evaluation from the candidate. The department chair/head shall review any professional development plan and offer guidance to the candidate for any needed modifications to that plan. This feedback on the professional development plan is especially important in helping faculty develop a compelling record for eventual promotion.

4.4.3. Department chairs/heads shall use forms provided by Academic Personnel for their evaluation report. This report shall critically analyze the evidence on each performance dimension (teaching, professional development, service, and other), and offer any suggestions for improvement. The report shall clearly establish the basis for the conclusions of the report and how any recommendations resulted from the assessment of the evidence. The report from the chair/head shall be provided to the candidate at least 10 days before sending the evaluation to the dean.

4.4.4. If the candidate requests a meeting concerning a rebuttal to the department chair/head’s report, the department chair/head shall meet with the candidate within the 10-day rebuttal period. The department chair/head shall review any written rebuttal with the option of revising the recommendation or correcting errors in the original report. No other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate. (CBA 15.5)

4.5. College Peer Review Committee (CPRC)

4.5.1. The CPRC provides an additional level of evaluation for candidates undergoing a Performance Evaluation. The CPRC shall consist of up to one full professor from each department. Approval shall be obtained from the Dean if departments will not have a representative. Each member of the CPRC shall be elected by their department’s tenured and probationary faculty for appointment to the CPRC. Colleges may specify further means of selecting CPRC members.

4.5.2. Each CPRC member shall review both the PAF and the WPAF and sign the logs in each file. Each CPRC member shall review the prior levels of evaluation (DPRC and department chair/head) and any rebuttals submitted. All deliberations of the CPRC shall be confidential (CBA 15.10).

4.5.3. Based on the review of the PAF, WPAF, and prior levels of evaluation, the CPRC shall vote for or against the proposed retention, promotion, and/or tenure, or, under rare circumstances, abstain. Abstentions require written explanation. A simple majority of the voting members constitutes the recommendation of the CPRC. The committee shall also rank the promotion candidates in one list. (CBA 15.44-45)

4.5.4. The CPRC shall produce an evaluation report for each candidate under review. This report will critically analyze the evidence on each dimension of performance (teaching, scholarship, and service), both favorable and unfavorable, and produce a
narrative clarifying how the evidence was weighed and the conclusions and recommended actions derived. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report.

4.5.5. The CPRC report shall be provided to the candidate at least 10 days before sending the evaluation to the dean (CBA 15.5). Candidates may request a meeting and/or submit a rebuttal to the CPRC report within the 10-day rebuttal period. The CPRC shall review rebuttal material with the option of revising the recommended action or correcting errors in the original report; no other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate.

4.6. Administrative Evaluators

4.6.1. Administrative evaluators include College Deans, Associate Deans, Library Deans, Department Directors, Vice-Provosts, or the Athletic Director. For instructional tenure-track faculty the administrative evaluator is the College Dean. For lecturer faculty the Dean may designate an Associate Dean to serve as the final level of administrative evaluation.

4.6.2. Administrative evaluators shall review both the PAF and WPAF, signing the logs in each file, as well as all previous levels of evaluation and any rebuttals submitted. The dean shall provide a separate written evaluation. The administrative evaluator’s report shall be provided to the candidate at least 10 days before placing the evaluation in the faculty member’s PAF.

4.6.3. Candidates may request a meeting and/or submit a rebuttal to the administrative evaluator within the 10-day rebuttal period. The administrative evaluator shall review rebuttal material with the option of revising the recommendation or correcting errors in the original report; no other written response, other than acknowledgement of receipt of the rebuttal statement, shall be provided to the candidate.

4.7. Provost

4.7.1. The Provost is the final level of administrative evaluation for evaluation processes that conclude with the personnel actions of retention, promotion, and/or tenure.

4.7.2. The Provost shall review the candidate’s PAF, WPAF and reports from all levels of evaluation for final evaluation for retention, promotion and/or tenure.

4.7.3. The Provost’s letter to the candidate constitutes the final decision on retention, promotion and/or tenure.
WHEREAS, The consent agenda is a tool for increasing the efficiency of meetings; and

WHEREAS, The consent agenda is a procedure where a group of items are approved in a single motion without discussion; therefore be it

RESOLVED: That the Bylaws of the Academic Senate be modified as shown on the attached copy.
ADDITION to Bylaws of the Academic Senate

Section V. MEETINGS

E. CONSENT AGENDA

Items appearing on the Consent Agenda are expected to be routine and noncontroversial. Common uses include, but are not limited to, modifications to departments, courses, programs, degrees; new courses; and editorial revisions to personnel policies. (New departments, programs and degrees must include a resolution and follow the regular approval path for resolutions.)

Any item on the Consent Agenda may be moved to the regular agenda at the request of a Senator within the allowed time. If an item is so moved, it shall be placed on the Business Items of the agenda as a First Reading item. Certain Consent Agenda Items, such as recommendations from the Curriculum Committee or Faculty Affairs Committee, may require special procedures.

Debate is not allowed on any item on the Consent Agenda, but questions for clarification are permitted.

Items not removed shall be approved by general consent without debate.
RESOLUTION TO MODIFY SECTION V. MEETINGS OF THE BYLAWS OF THE ACADEMIC SENATE

Impact on Existing Policy: None.

WHEREAS, The Bylaws of the Academic Senate indicate that attachments are not amendable; therefore be it

RESOLVED: That the Bylaws of the Academic Senate be modified as shown below:

SECTION V. MEETINGS

D. FIRST AND SECOND READINGS
Second reading: the motion to adopt a resolution must be moved and seconded before debate ensues. It then belongs to the body and may be amended. Documents attached to a resolution are not amendable, and cannot be removed or added to a resolution. Voting on substantive resolutions shall take place only after a second reading of the resolution at a meeting subsequent to the meeting at which it was first introduced, except that the Academic Senate, by two-thirds vote of the senators present, may waive this requirement. After the motion has been moved and seconded, amendments may be presented for action by the Senate.

Proposed by: Academic Senate Executive Committee
Date: October 24, 2018

1 (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.