Meeting of the Academic Senate
Tuesday, February 12, 2019
UU 220, 3:10 to 5:00 pm

I. Minutes: Approval of January 22, 2019 minutes (pp. 2-3)

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. Special Reports:
A. GE Governance Board Report by Gary Laver, chair

V. Business Items:
A. Resolution on Minors: Brian Self, Academic Senate Curriculum Committee Chair, first reading (pp. 4-13).
B. Resolution on University Faculty Personnel Policies Chapter 3: Personnel Files: Ken Brown, Chair Faculty Affairs Committee, second reading (pp. 14-18).
C. Resolution to Modify the Bylaws of the Academic Senate: Dustin Stegner, Academic Senate Chair, second reading (pp. 19-20).
D. Resolution to Modify Section V. Meetings of the Bylaws of the Academic Senate: Dustin Stegner, Academic Senate Chair, second reading (p. 21).

VI. Discussion Item(s):

VII. Adjournment:

805-756-1258 --- academicsenate.calpoly.edu
Meeting of the Academic Senate
Tuesday, January 22, 2019
UU 220, 3:10 to 5:00 pm

I. Minutes: M/S/P to approve the November 27, 2018 and December 4, 2018 Academic Senate minutes.

II. Communication(s) and Announcement(s): Dustin Stegner, Academic Senate Chair, introduced Sarah Best, new Administrative Support Coordinator for the Academic Senate. He also commended Gladys Gregory, Academic Senate Administrative Support Coordinator, for over twenty years at the Academic Senate through Resolution AS-861-19 Resolution Celebrating the Career of Gladys Gregory.

III. Reports:
A. Academic Senate Chair: None.
B. President’s Office: None.
C. Provost: Kathleen Enz Finken, Provost, provided an update on the CLA Dean Search Committee, as well as the Vice President for Research Search Committee. She also stated that Tom Fowler, Architecture Department, was selected as a 2019 Wang Family Excellence Award recipient. The Wang Family Excellence Award is a prestigious CSU-wide faculty award. In addition, the Provost announced that the “Dean’s Council” would change in name to the “Provost’s Council.” She reported that the Student Success Fee Committee met and approved funding proposals as recommendations to the President’s Office. Lastly, Provost Enz Finken reported her pending retirement at the end of this fiscal year.
D. Vice President for Student Affairs: Keith Humphrey, Vice President for Student Affairs, thanked those who commented on the Cal Poly Strategic Plan. He provided an update on WITH US, a national, non-profit bystander intervention research center based at Cal Poly. He then reported that on-campus housing applications for the 2019-20 academic year were available for students and asked the senators to encourage their first-year students to live on campus for their second year.
E. Statewide Senate: Gary Laver, Statewide Senator, reported that California Governor Gavin Newsome’s draft budget proposal included one of the largest contributions to the CSU in recent years. He reported that CSU Chancellor Timothy White mentioned a possible ballot initiative for a $8,000,000 general obligation bond for use by the CSUs and UCs. He reported that two resolutions concerning shared governance were passed by the Statewide Academic Senate. Lastly, he reported that a resolution was passed for the CSU Chancellor to increase the budget for the Electronic Core Collection (ECC), which is a system created to provide students at every CSU campus access to the same journals, articles, and e-books. Jim LoCascio, Statewide Senator, reported that a resolution was passed for the Cal Grant – B to include tuition.
F. CFA: Lewis Clark, CFA SLO Chapter President, reported that CFA will be meeting with Cal Poly Administration regarding faculty pay for summer teaching. The two entities will discuss changing full-time teaching from 12 units to 15 units.
G. ASI: Mark Borges, ASI Board of Directors Chair, reported on behalf of Jasmin Fashami, ASI President, that ASI has been donated $50,000 to put towards future civic engagement efforts in remembrance of Jordan Grant, a Cal Poly freshman who passed away in a traffic accident in SLO county. He then reported that the Board would be starting its budget education series to help the Board members understand the entirety of the ASI budget. He also reported that the ASI External Affairs Committee would be looking into Governor Gavin Newsome’s draft budget proposal for areas of increased advocacy for students. Lastly, he announced that candidate filing for ASI President and the ASI Board of Directors lasts from February 4th to February 22nd. He asked all senators to encourage their students to apply for candidacy.

IV. Consent Agenda:
The 2019-21 catalog proposals submitted by the following departments/programs were approved by consent:
Animal Science department, BioResource and Agricultural Engineering department, Experience Industry Management department, Food Science and Nutrition department, Horticulture and Crop Science department, Natural Resources Management and Environmental Sciences department, AG courses, MS Agriculture, all CAED departments/programs, all
OCOB departments/programs, Aerospace Engineering department, Computer Engineering program, Computer Science and Software Engineering department, Electrical Engineering department, Industrial and Manufacturing Engineering department, Mechanical Engineering department, and all CLA departments/programs. Summaries of catalog proposals by college can be found at: https://registrar.calpoly.edu/status-proposals.

V. Business Items:
A. Resolution on Campus Climate: University Ombuds and Training. Paul Choboter, Math Department, Harvey Greenwald, Emeritus Academic Senate Chair, and Camille O’Bryant, Associate Dean, CSM, presented a resolution that would expand the responsibilities of the Student Ombuds Services Office to all university constituents. The resolution also asks that all Cal Poly employees undergo periodic sexual harassment anti-harassment, discrimination, retaliation training and implicit bias training. This resolution will return as a second reading at the next Academic Senate meeting.

B. Resolution on Senior Projects. Dawn Janke, Senior Project Task Force Chair, presented a resolution that would create a new policy for Senior Projects and asks the university to adopt a standard designation for senior project courses. M/S/P to approve the Resolution on Senior Projects.

C. 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, presented a resolution that would create a new CLA department, Interdisciplinary Studies in the Liberal Arts Department. This resolution will return as a second reading at the next Academic Senate meeting.

D. Resolution on Endorsing Main Components of Cal Poly’s Strategic Plan. Sean Hurley, Budget and Long-Range Planning Committee Chair, presented a resolution that would endorse the seven Strategic Priorities and accompanying goals of Cal Poly’s Strategic Plan, as well as the document’s Strategic Implementation Plan. The resolution asks that appropriate funds be allocated to achieve the plan and its goals. The resolution also asks that Cal Poly administration work with the BLRP committee to establish key performance indicators under the strategic priorities, and asks that administration have a final draft of the strategic plan by May 2019. This resolution will return as a second reading at the next Academic Senate meeting.

E. Resolution on University Faculty Personnel Policies Chapter 1: Preface. Ken Brown, Faculty Affairs Committee Chair, introduced a resolution that would set guidelines for Chapter 1: Preface of the University Faculty Personnel Policies document. This resolution will return as a second reading at the next Academic Senate meeting.

F. Resolution on University Faculty Personnel Policies Chapter 2: Faculty Appointments. Ken Brown, Faculty Affairs Committee Chair, introduced a resolution that would set guidelines for Chapter 2: Faculty Appointments of the University Faculty Personnel Policies document. This resolution will return as a second reading at the next Academic Senate meeting.

G. Resolution on University Faculty Personnel Policies Chapter 3: Personnel Files. Ken Brown, Faculty Affairs Committee Chair, introduced a resolution that would set guidelines for Chapter 3: Personnel Files of the University Faculty Personnel Policies document. This resolution will return as a second reading at the next Academic Senate meeting.

H. Resolution on University Faculty Personnel Policies Chapter 4: Responsibilities in Faculty Evaluation. Ken Brown, Faculty Affairs Committee Chair, introduced a resolution that would set guidelines for Chapter 4: Responsibilities in Faculty Evaluation of the University Faculty Personnel Policies document. This resolution will return as a second reading at the next Academic Senate meeting.

VI. Discussion Item(s): None.

VII. Adjournment: 5:00 PM

Submitted by,

Mark Borges
Academic Senate Student Assistant

805-756-1258  ~  academicsenate.calpoly.edu
Academic Senate of California Polytechnic State University
San Luis Obispo, CA

AS-___-19

Resolution on Minors

Impact on Existing Policy: This resolution supersedes all prior policies regarding minors including the following resolutions: AS-73-79, AS-213-86, AS-312-89, AS-335-90, and AS-437-95. This resolution will not supersede resolution AS-775-14 on Cross-Disciplinary Studies 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) 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) 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 that stands alone and provides a student with broad knowledge of and competency in an area outside the student's 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

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<td>Strongly support</td>
<td>Neutral</td>
<td>Strongly support</td>
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<td>Strongly support</td>
<td>Strongly support</td>
<td>None</td>
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</tr>
</tbody>
</table>
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.

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) 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. 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, Scholarship, 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.
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.

Proposed by: Academic Senate Executive Committee
Date: August 21, 2018
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

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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.