MINUTES OF THE
Academic Senate
Tuesday, June 10, 1997
UU 220, 3:00-5:00 p.m.

Preparatory: The meeting was opened at 3:10 p.m.


I. Minutes: none

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

III. Reports:
   A. Academic Senate Chair: no report
   B. President’s Office: no report
   C. Provost’s Office: no report
   D. Statewide Senators: no report
   E. CFA Campus President: no report
   G. ASI representative: no report
   H. IACC representative: no report
   I. Athletics Governing Board representative: no report
   J. Other: Greenwald presented a letter he had written to ASI, commending Guy Welch for outstanding service to the Academic Senate as ASI representative.

IV. Consent Agenda:

V. Business Item(s): CONTINUED AGENDA FROM MEETING OF JUNE 3, 1997.

E. Resolution on Faculty Performance Salary Step Increase Policy: Still in committee of the whole. Greenwald asked the four originators of the resolution and alternative reports to briefly remind the group of the important points and/or changes. Hood explained changes since introduction of alternative report #1 on June 3, which included deletion of section 2.3 on limiting anyone from applying for a PSSI and establishment of a College Review Board to hear appeals from faculty dissatisfied with their department’s decision. Brown indicated changes in 3.2 (of alternative report #3) which allow small departments to establish a college level review board and 5.2, where applicants have the right to appeal. Harris explained why the original resolution is longer than the
alternatives. Bowker reviewed Colome’s proposal (alternative report #2), by describing it as a comprehensive checklist. Botwin suggested an alternative report #5, which would be to recommend that the President decide all PSSI’s. Gooden expressed concern over the wording in Hood’s proposal suggesting a faculty report of two or less pages (which could mean zero). Fetzer was concerned that there was a lack of prescribed standards which will allow for disparity, not equity. Bowker felt that #2 is too restrictive, and that the original resolution is needlessly complex. Coleman tried to clarify differences between #1 and #3. Coleman prefers #1 because appeal is done at the college level, by faculty - not administrators. Martinez focused on positive aspects of each alternative proposal, and suggested taking 4.2 from original resolution and adding it to alternative #3. Horton was not in favor of any type of department level review, indicating that it would be too divisive. Devore would like to see past PSSI history available during reviews. Lutrin was concerned about the lack of spelled-out criteria for the awards.

Straw Vote on which proposals were acceptable or unacceptable.

<table>
<thead>
<tr>
<th>Resolution</th>
<th>Acceptable</th>
<th>Unacceptable</th>
<th>Abstain</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alternative #1</td>
<td>26</td>
<td>15</td>
<td>0</td>
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<tr>
<td>Alternative #2</td>
<td>0</td>
<td>20+</td>
<td>0</td>
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<tr>
<td>Alternative #3</td>
<td>27</td>
<td>14</td>
<td>0</td>
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<tr>
<td>Alternative #4</td>
<td>8</td>
<td>20+</td>
<td>2</td>
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Straw Vote on preference between alternative #1 and alternative #3

Alternative #1 14
Alternative #3 24

M/S/P (Kersten/Martinez) to move out of committee of the whole, and report the votes of the committee of the whole to the Academic Senate.

M/S/P (Kersten/Morrobil-Sosa) to close debate.

M/S (Kersten/Morrobil-Sosa) to report committee findings from committee of the whole.

M/S/F (Lutrin/Martinez) to add 4.2 (original resolution) after 2.6 in alternative #3. J.Wheatley spoke against adding more to a lean document. Goers suggested 7.2 (original resolution) would be more appropriate to add than 4.2. Fetzer suggested inserting 7.2 (original resolution) after 3.2 in #3. M/S/P (Hood/Coleman) to close debate. Amendment fails.

M/S/F (Hood/Coleman) to replace 3.2 in alternative #3 with 3.5 in alternative #1. Lewis spoke against amendment, stating that the MOU covers appeals. Fetzer spoke against any appeals, because there is no standard to appeal to. Coleman felt that the faculty should make the decision, rather than the dean or other administrator. Kersten urged adoption of a new amendment to create appropriate an appropriate appeal board. M/S/P to close debate. Amendment fails.

M/S/P (Bowker/Goers) to amend 3.4.1 by strikeout. M/S/P to close debate. Amendment passes.
M/S/F (Martinez/Fetzer) to substitute 2.4 (original resolution) for 1.1.1 in alternative #3. Brown elaborated as to why terminology was stricken. M/S/P (Kersten/Labhard) to close debate. Amendment fails.

M/S/P (Lutrin/Bertozzi) to include language to indicate that PSSI awardee must be at least meritorious in teaching. Suggestion to place language in 3.3 of alternative #3. M/S/P to close debate. Amendment passes 19/17/2.

M/S/F (Johnston/Botwin) to delete 2.1.1 in alternative #3. Brown explained that it is difficult to weigh administrative detail of department heads/chairs as far as what is in contract versus professional development. Coleman spoke against separating department heads/chairs from pool of applicants. P.Wheatley and Ryujin spoke in favor of evaluating department heads/chairs separately. M/S/P (Labhard/Kersten) to close debate. Amendment fails 10/20+. 

M/S/F (Fetzer/Johnston) to delete Sample PSSI Application. J.Wheatley spoke to the advantages of having a sample document. Coleman did not see a need for a sample. M/S/P (Kersten/Labhard) to close debate. Amendment fails 16/21/1.

M/S (Lutrin/Brown) to add language in 1.1 of alternative #3, to read “Performance Salary Step Increases (PSSI) recognize outstanding or meritorious performance in each of the following areas of teaching....”, as a friendly amendment.

M/S to add language in sample application regarding “Date of Last PSSI award and steps”, as a friendly amendment.

M/S/P (Bowker/Kersten) to add section 1.7 into alternative #3, to read “At all levels of evaluation, all applicants will be informed of their standing and be provided with a summary of rationale for their standing.”

M/S/P (Labhard/Kersten) to close debate. Alternative report #3 passes as amended, replacing original resolution by Faculty Affairs Committee, (see attached)

VI. Discussion Item(s):

VII. Adjournment: M/S/P to adjourn at 5:00 p.m.

Submitted by:

Leslie Cooper
Academic Senate
CAL POLY
PERFORMANCE SALARY STEP INCREASE POLICY

1.0 Performance Salary Step Increases - General Provisions

1.1 Performance Salary Step Increases (PSSIs) recognize outstanding or meritorious performance by Unit 3 employees in each of the following the areas: teaching and other professional performance, professional growth and achievement, and service to the University, students, and community. (CBA Unit 3 -- Article 31.18)

1.1.1 The following working definitions shall apply:

**Outstanding:** exceptional performance; distinguished; acknowledged as a model of performance.

**Meritorious:** commendable performance; worthy of praise.

1.2 The recognition of outstanding or meritorious performance by a Unit 3 employee shall be in the form of a permanent increase in the base salary of the individual. PSSI awards shall consist of from one to five steps on the salary schedule in any single review period. (CBA -- Article 31.18)

1.3 For the purposes of PSSI review and funding allocation, athletic coaches, counselors, librarians, and UCTE Unit 3 employees shall be combined into a single "unit". The Provost and Vice President of Academic Affairs shall appoint a review committee consisting of one administrative supervisor from each of the represented areas. (CBA -- Article 31.26)

1.4 The effective date of all PSSIs awarded shall be _______ of each year that there are negotiated Performance Salary Step Increases. (CBA -- Article 31.28)

1.5 There is no requirement to expend all funds dedicated to the PSSI program in any given fiscal year. Any portion of the funds not expended in any fiscal year shall automatically carry forward to the PSSI pool in the next fiscal year. In the event that the PSSI program is eliminated, any funds that have been carried forward shall be used for the professional development opportunities identified in Provision 25.1 of the Collective Bargaining Agreement (CBA, Unit 3, 1995-1998).

1.6 Each year that the PSSI program is funded, the President shall allot 85% of the campus funding to the colleges/units based on the number of Full-time Equivalent Unit 3 employees in each college(CBA -- Article 31.32). College Deans shall inform all Unit 3 employees within their College as to the total funding available to the College and the specific dollar allocations to each department. College Deans shall not retain funding for discretionary use. Funds retained by the President shall be utilized, at the discretion of the President, to ensure that Unit 3 employees have the opportunity to receive PSSI awards based on their outstanding performance, rather than the number of Unit 3 employees within their department/unit. The Chair of the Academic Senate shall be notified of the allocation model by the Provost and Vice President for Academic Affairs in a timely fashion.

1.7 At all levels of evaluation, applicants shall be informed of their of their standing and be provided with a summary of the rationale for their standing.

2.0 Eligibility, Applications, and Nominations

2.1 All Unit 3 employees are eligible to submit an application for a PSSI award (see Appendix A - Application Form) or to be nominated by other faculty or academic administrators each year that the PSSI program is funded. (CBA --Article 31.19)
2.1.1 Applications/nominations for Department Chairs/Heads, and other supervisors of Unit 3 employees, who are contractually eligible to apply or be nominated, will be evaluated and recommended by their Dean.

2.1.2 Unit 3 employees who are being evaluated for a PSSI, either through nomination or application, cannot serve on any PSSI related evaluation committee which may evaluate said employee. However, any Unit 3 employee may serve on a review committee, if their service is requested by another department/unit outside of their College/unit.

2.3 All applications/nominations must be submitted using the approved PSSI Application format (CBA -- Article 31.19; see Appendix A). The application is limited to 3 pages, however applicants/nominators may, without disrupting the order of the information presented, alter the space provided for any specific section. To facilitate the application process, Unit 3 employees may download the PSSI application form from ______ or obtain an electronic file from ______.

2.4 Evidence emphasized in support of an application or nomination will be the period since the employee's last PSSI award or for the 5 year period prior to the current application/nomination.

2.5 All applications/nominations and supporting documentation must be submitted in writing (all forms of electronic, photographic, and other media will be returned to the applicant and will not be considered).

3.0 Departmental Procedures and Criteria

3.1 Procedures used in evaluating applicants for PSSI awards are to be established by each department/unit and approved by the Dean, prior to submission of departmental/unit PSSI recommendations. Procedures used in evaluating applicants/nominees are to be consistent with approved promotion and retention procedures applied in RPT evaluations. (CBA -- Article 31.21)

3.2 Departments may elect to utilize a College level review board. In such cases, the department/unit would request that the Dean convene an elected College level review committee. The composition of said review committee should be consistent with current RPT regulations, but could include representation from departments/units outside of the College when requested by the department/unit being evaluated.

3.3 Applicants/nominees are to be evaluated in the following areas: teaching-performance and/or other professional performance; professional growth and achievement; and service to the university, students, and community (CBA --Article 31.17).

3.4 Academic departments/units shall constitute the "highest level faculty review committee" with regard to PSSI applications/nominations and shall submit their recommendations to both the Dean of the College and the President of the University (CBA --Article 31.31). Departmental recommendations shall not exceed the anticipated funding level for the department.

3.4.1 Applicants/nominees shall be informed by their department PSSI committee as to their recommendation and number of steps for which they were recommended, along with a summary of their evaluation. Applicants may forward a one page rebuttal statement to the Dean to be included with their original PSSI application.

3.4.2 Applicants who, based on departmental ranking, receive positive recommendations, but for whom there is insufficient funding shall have their recommendation forwarded on a separate list for consideration by the Dean.

4.0 Dean's Review

4.1 The Dean of each College shall receive all PSSI recommendations from each department/unit within the College. After review of the recommendations, applications/nominations, and consultation with the Department Chairs/Heads each Dean will submit their PSSI recommendations to the President. The total cost of all steps recommended by the Dean shall be less than the anticipated dollar allocation to the
College. Any applicants/nominees who are recommended by the Dean, but for whom there is insufficient funding shall have their recommendation forwarded to the President on a separate list for consideration by the President.

4.2 Applicants/nominees shall be informed of the Dean's recommendation and the number of steps for which the applicant/nominee was recommended. Furthermore, applicants/nominees shall receive a summary of the Dean's evaluation of their application/nomination. Applicants may forward a one page rebuttal statement to the President to be included with their original PSSI application.

5.0 President's Review

5.1 The President or designee shall review the applications/nominations, recommendations from the academic departments/units and College Deans which have been submitted for consideration. The President shall notify all applicants, within 30 academic working days, of the decision to grant or deny a PSSI award for outstanding or meritorious performance, along with a summary of their evaluation. Applicants granted a PSSI shall also be informed of the number of steps to be granted and the effective date of the award.

5.2 Applicants who are recommended by their Dean and denied a PSSI award by the President shall have the right to request review of their application by the Peer Review Panel (see Section 7.0).

6.0 PSSI calendar and timeline

6.1 The specific timeline covering notification, application, evaluation, and Presidential awards shall be established by the Academic Senate each year that the PSSI program funded by the CSU system.

6.1.1 Notification of all Unit 3 employees should occur within 30 days of the campus receiving notification of the funding approval.

6.1.2 Application/nomination closure date shall be the end of the 4th week of the quarter in which the departmental review will take place.

6.1.3 Department evaluations shall conclude and all recommendations shall be forwarded to the applicants, Dean, and President by the end of the 8th week of the quarter in which the departmental evaluation takes place. While the notification of the applicants must contain their specific recommendation, including number of steps for which they were recommended, each department/unit shall determine the extent of the information contained within the notification to the applicant (see section 3.1 above)

6.1.4 The recommendations of the Dean shall be submitted to the President within 15 academic working days of the notification of the departmental recommendations.

6.1.5 The President shall notify all applicants, within 30 academic working days of receiving the College/unit recommendations, of the decision to grant or deny a PSSI award for outstanding or meritorious performance.

7.0 Peer Review of PSSI denials

7.1 Applicants/nominees who have received a favorable recommendation from the College/unit PSSI Committee and who subsequently fail to receive a PSSI shall be eligible to have the increase denial reviewed by a University Peer Review Panel. The rebuttal letter will be a maximum of six pages, double-spaced, and received by the appropriate date.

7.2 University peer panels will be constituted by the Provost and Vice President for Academic Affairs in consultation with the Chair of the Academic Senate and selected by lot from among all full-time tenured faculty who did not serve on that year's college/unit PSSI committees, and were not applicants/nominees for PSSI.
7.3 The University Peer Panel shall begin to review the specific Performance Salary Step denial within 14 days of its selection by lot. The Panel's review shall be limited to a reconsideration of the increase denial of the nominee, and the employer's written response to any allegations made by the affected employee. Except for presentations of the complainant and the administrator, the peer review will be made from the documents set forth in Section 32.39 of the MOU.

The proceeding above will not be open to the public and shall not be a hearing, per MOU 31.40.

No later than thirty (30) days after its selection, the University Peer Panel shall submit to the President and the complainant a written report of its findings and recommendations. All written materials considered by the University Peer Panel shall be forwarded to the President. When the Panel has complied with Section 31.41 of the MOU, it shall be discharged of its duties for any individual case.

7.4 The President shall consider the University Peer Review Panel's recommendations and all forwarded materials and, no later than fourteen (14) days after receipt of the University Peer Review Panel's report, notify the affected employee and the University Peer Review Panel of her/his final decision, including the reasons therefor. Notification to the employee of the President's decision concludes the peer review procedure and such decision shall not be reviewable in any forum.

7.5 All requests for peer review must be submitted in writing to the Provost and Vice President for Academic Affairs no later than ________ of each year in which PSSIs are awarded.
SAMPLE PSSI APPLICATION

Name of Applicant: ________________________________

Department: ______________________________________

Date of Last PSSI Award and Number of Steps: ________________

TEACHING PERFORMANCE: (limited to one page)

Applicants are encouraged to include discussion of their teaching philosophy and methods, contributions to curricular development, and efforts to implement innovative instruction.

(actual space used, up to the one page limit, to be determined by the applicant)

PROFESSIONAL DEVELOPMENT: (limited to one page)

Please list your 3 most important accomplishments in the area of professional development. Applicants should include discussion of how their professional activities relate to their teaching function and the mission of the university.

(actual space used, up to the one page limit, to be determined by the applicant)

SERVICE TO THE UNIVERSITY: (limited to one page)

Please list your 3 most important accomplishments in the area of service to the university community. Applicants should address how their service enhances and promotes the mission of the university.

(actual space used, up to the one page limit, to be determined by the applicant)
Alternative #1

Summary of changes since this was introduced on 3 Jun 97:

1. Mike Suess has confirmed that limiting anyone from applying for a PSSI is a violation of the contract. Thus this has been deleted. (See 2.3.)

2. A College Appeal Board has been established to handle appeals from those dissatisfied with their department's decision on their application. (See 3.4 - 3.6.)

PSSI Policy Alternative

1 PSSI’s and the MOU; determination of a PSSI calendar

1.1 Performance Salary Step Increases (PSSI) recognize outstanding or meritorious performance in the areas of teaching and/or other professional performance, professional growth and achievement, and service to the University, students and community. (MOU 31.17)

1.2 The recognition of outstanding or meritorious performance by a Unit 3 employee shall be in the form of a permanent increase in the base salary of the individual, in one or more steps on the salary schedule. (MOU 31.18)

1.3 No applicant/nominee shall receive more than five steps in a PSSI award. (MOU 31.18)

1.4 The effective date of all PSSI awards shall be in accordance with the collective bargaining agreement. (MOU 21.11)

1.5 There is no requirement to expend all funds dedicated to the PSSI program in any given fiscal year. Any portion of the funds not expended in any fiscal year shall automatically carry forward to the PSSI pool in the next fiscal year. In the event the PSSI program is eliminated in the future, all accumulated funds in the PSSI pool shall be used for professional development opportunities identified in Provision 25.1 of the MOU.

1.6 During the Spring of each year, the President, in consultation with the Executive Committee of the Academic Senate, will determine a time table for the application and review process for PSSI awards for the following year.

2 Initial distribution of PSSI funds, determination of applicants and application procedure

2.1 The President shall apportion 85% of the University PSSI allocation among the colleges/units in proportion to the number of eligible Unit 3 employees in those groups. The remaining 15% will be distributed by the President and Provost to take care of special merit cases and/or other adjustments. The Chair of the Academic Senate will be informed of these allocations in a timely manner.

2.2 All Unit 3 employees will submit an Annual Performance Review Statement (APRS), consisting of two or less pages. This Statement will become part of that employee’s personnel file, and it will constitute a PSSI application for all eligible employees.

2.3 Those eligible for a PSSI will be all Unit 3 employees who have not received the maximum number of PSSI steps allowed.

2.4 Eligible employees who do not wish to be considered for a PSSI in this cycle should
attach a note to their APRS stating so. Those eligible employees who have not included such a note on their APRS will be considered applicants for the PSSI.

2.5 Department chairs/heads or other Unit 3 supervisory employees who are eligible and wish to be considered for a PSSI award, should submit their APRS to their dean or the Provost, as appropriate.

2.6 Applicants are to be evaluated in the following areas: teaching performance and/or other professional performance; professional growth and achievement; and service to the university, students and/or community.

3 Evaluation process of applicants and awarding of PSSI's

3.1 Each department will choose how to evaluate the applicants in their department. The evaluations will be based on the criteria listed in 2.6. While the process for doing this is left up to the department, it is suggested that procedures similar to PRT or Post Tenure Review be used. A department may choose to have the department head or the College Review Board decide their departmental PSSI awards.

3.2 The Dean of each College, after learning of the College's allotment of PSSI funds from the President, will tell each department what their approximate expected number of PSSI steps will be. The Dean may withhold up to 5% of the College's allotment for use in the case of appeals.

3.3 After evaluation of applicants, a ranked list together with the suggested number of PSSI steps to be awarded should be prepared for each department. The total number of steps submitted for a department should not be more than 10% above the department's allotment. This list will be sent to the Dean.

3.4 Each department should inform every applicant of her/his evaluation and recommended number of PSSI steps. Any dissatisfied applicant could appeal her/his decision to the College Review Board. In the case that the College Review Board determined the department list, the dissatisfied applicant would appeal directly to the Dean.

3.5 Each Dean will appoint nine faculty members to an Review Board for their college. As much as possible, the members should be from different departments and should be non-applicants. Each College Review Board should meet and determine their evaluation procedures. It is not assumed that all nine members must read every application that is before the Board. The decision of the review Board will be sent to the Dean and the applicant.

3.6 Upon receiving the recommendation lists from all the Departments and the decisions of the College Review Board, the Dean will evaluate the departmental recommendations, interleaf all the lists and send one list onto the Provost for consideration. The Dean may change the number of steps recommended for individual applicants on this list. The total number of steps recommended by the Dean shall equal that College's allocation. The Dean will also submit a list of additional names and recommended steps of those who could be funded with part of the President's 15%.

3.7 The Dean should inform each applicant of her/his status. Any dissatisfied applicant could appeal her/his case to the Provost.

3.8 For members of Unit 3 that are not members of a department in some college, the Provost, in consultation with affected members, is responsible for establishing an evaluation process using the procedures in 3.1-3.7 as a guideline.
3.9 The Provost will collect the lists from all the colleges and the other applicants. These will be combined into a single list and sent to the President. The Provost may change the number of steps recommended for an individual applicant.

3.10 The President will review the list and decide the final list of PSSI awards. This list shall be published.

3.11 Dissatisfied applicants have the right to send a rebuttal to the President.

Alternative application procedures for those seeking a PSSI award.

2.2' All Unit 3 employees are eligible for PSSI awards. Applications/nomination will submit a PSSI Application form and up to three pages of support material.

2.3' Evidence submitted in support of a an application/nomination should emphasize only the period since the employee’s last PSSI or the prior 5 year period if no award has been received during that time.

2.4' Department chairs/heads or other Unit 3 supervisory employees should submit their applications or have their nominations sent to the appropriate dean or to the Provost for evaluation and recommendation.

2.5' All applications/nominations and supporting documentation is limited to three pages and must be submitted in writing (i.e. electronic or other such media will not be considered).

Suggested datelines for Fall 1997 (PSSI retroactive to July 1, 1997)

<table>
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<tr>
<th>Action</th>
<th>Date</th>
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<tbody>
<tr>
<td>President issues statement concerning PSSI’s and apportions PSSI to the Colleges, with copy to Chair of Academic Senate</td>
<td>Sep 15</td>
</tr>
<tr>
<td>Departments/units collect Annual Performance Review Statements from Unit 3 members</td>
<td>Sep 22</td>
</tr>
<tr>
<td>Deans inform departments of approximate expected PSSI steps</td>
<td>Sep 22</td>
</tr>
<tr>
<td>Departments review applicants, prepare and send list to Dean and inform applicants of status</td>
<td>Oct 24</td>
</tr>
<tr>
<td>Applicants can appeal of the College Appeal Board</td>
<td>Oct 31</td>
</tr>
<tr>
<td>Dean combines departmental lists into a College list, sends list to Provost and informs applicants of status</td>
<td>Nov 23</td>
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<tr>
<td>Applicants can appeal to Provost</td>
<td>Dec 5</td>
</tr>
<tr>
<td>Provost combines all lists into a single list for the President</td>
<td>Dec 20</td>
</tr>
<tr>
<td>President makes awards</td>
<td>Jan 15</td>
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</table>

(Similar calendar for PSSI’s effective July 1, 1998 to be put together when sufficient budget data is known. Details of the calendar to be worked out with the Executive Committee of the Academic Senate.)