Adopted: October 28, 1997

# ACADEMIC SENATE Of CALIFORNIA POLYTECHNIC STATE UNIVERSITY San Luis Obispo, CA

# AS-483-97IFAC RESOLUTION ON CAL POLYPERFORMANCE SALARY STEP INCREASE POLICY

RESOLVED: That the Academic Senate of Cal Poly approve the attached *Cal Poly Performance Salary Step Increase Policy*.

Proposed by: Faculty Affairs Committee

Date: September 23, 1997 Revised: October 7, 1997 Revised: October 28, 1997

## CAL POLY PERFORMANCE SALARY STEP INCREASE POLICY

- 1.0 Performance Salary Step Increases General Provisions
- 1.1 Performance Salary Step Increases (PSSI) recognize outstanding or meritorious performance in each of the following the areas: teaching and other professional performance, professional growth and achievement, and service to the University community, students, and community. Faculty unit employees whose performance does not include assignments in all of the above areas shall nonetheless be eligible for a PSSI on the basis of their performance in the individual areas of their assignment (MOU -- see Article 31.14).
  - 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, cooperative and productive work with colleagues.

- 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 year (MOU -- see Article 31.15), or shall be in the form of a bonus (not a permanent increase in the base salary) in those cases where the faculty unit employee has reached the top step of his/her rank and shall not exceed 2.4% of the incumbent's annual salary base.
- 1.3 For the purposes of PSSI review and funding targets, counselors, librarians, athletic coaches, and UCTE Unit 3 employees shall be considered separate units. (MOU -- see Article 31.23).
- 1.4 The effective date of all PSSI awards shall be July 1st of each year that there are negotiated Performance Salary Step Increases (MOU -- see Article 31.25).
- 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 MOU.
- 1.6 Each year that the PSSI program is funded, the President shall allot <u>85%</u> of the campus funding to the colleges/units based on the number of Full-time Equivalent Unit 3 employees in each college/unit (MOU -- see Article 31.29); shall reserve 5% of the campus funding to provide a pool for applicants who are subsequently awarded a PSSI pursuant to an appeal (MOU -- see Article 31.39); shall retain <u>10%</u> of the campus funding to be utilized, at the discretion of the President, to ensure that Unit 3 employees have equal opportunity to receive PSSI awards based on their outstanding performance. The Chair of the Academic Senate shall be notified of the allocation model by the Provost and Vice President of Academic Affairs in a timely fashion.
  - College Deans shall inform all Unit 3 employees within their College as to the total funding for the College and the amount targeted to each department. College Deans shall not retain funding for discretionary use.
- 1.7 At each level of evaluation, applicants shall be informed of their standing, including the reasons thereof, and be provided with a summary of the basis of their recommendation.

- 2.0 Eligibility, Applications, and Nominations
- 2.1 All Unit 3 employees are eligible to submit an application for a PSSI award or to be nominated by other faculty or academic administrators each year that the PSSI program is funded (MOU --see Article 31.16).
  - 2.1.1 Applications/nominations of Department Chairs/Heads, and other equivalent 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 application or nomination, cannot serve on any PSSI related evaluation committee which may evaluate said employee.
- 2.2 All applications/nominations must be submitted to the Department Chair/Head or equivalent supervisor prior to the application closure date, with a copy to the President or his/her designee, and must follow the approved PSSI Application format (MOU -- see Article 31.16; see page 6). The application is limited to 3 pages, however, applicants/nominators may, without disrupting the order of the information presented, alter the amount of space dedicated to a specific section. To facilitate the application process, Unit 3 employees may download the sample PSSI application form from the OpenMail Bulletin Area-Forms.
- 2.3 Evidence submitted in support of an applicant/nominee should emphasize the period since the employee's last PSSI award; the 5 year period prior to the current PSSI evaluation; or the interval since their initial appointment at Cal Poly if less than 5 years.
- 2.4 All applications/nominations and supporting documentation must only 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 Department Procedures and Criteria
- 3.1 Criteria and procedures, including the application form (as limited by Section 2.2 above), used in evaluating applicants for PSSI awards are to be established by each department/unit and approved by the Dean (or appropriate administrator). Criteria to be used in evaluating applicants/nominees are to be consistent with approved guidelines applied in RPT evaluations (MOU -- see Article 31.18).
- 3.2 Departments/units may elect to utilize a College level review board. In such cases, the department/unit would request that the Dean convene an elected Review Board. The composition of the Review Board should be similar to the College Peer Review Committee used in promotion considerations, but could include representation from departments/units outside of the College when requested by the department/unit being evaluated.
  - The counselor, librarian, athletic coach, and UCTE units may elect to request that the Provost and Vice President of Academic Affairs appoint a Review Board consisting of tenured faculty.
- 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 (MOU --see Article 31.14).
- 3.4 Academic departments/units shall constitute the highest level faculty review committee with regard to PSSI applications/nominations unless replaced by a Review Board. Following completion of the evaluation procedure used by the faculty review committee, all applications/nominations shall be forwarded to the Dean of the College (or appropriate administrator). Departmental PSSI recommendations, including the number of salary steps recommended, shall be forwarded to both the Dean of the College (or appropriate administrator) and the President of the University (MOU --See Article 31.21).

- 3.4.1 Applicants/nominees shall be informed by their department/unit PSSI committee/Review Board of its recommendation and number of steps for which they were recommended.
- 3.4.2 Applicants/nominees may forward a one page rebuttal, to the departmental or Review Board recommendation, to the Dean or appropriate administrator within 7 calendar days of their notification Statements submitted by applicants/nominees shall be included with their original PSSI application.
- 3.5 The total cost of all departmental recommendations shall not exceed the targeted allocation for the department/unit.
  - 3.5.1 Applicants/nominees who receive positive recommendations, but for whom there is insufficient funding within the targeted departmental/unit allocation shall have their recommendation forwarded on a separate list for consideration by the Dean.

#### 4.0 Administrative Review

- 4.1 The Dean or appropriate administrator of each College/unit shall receive all PSSI applications and recommendations from each department/unit within the College. After review of the applications/nominations, departmental recommendations, and consultation with the Department Chairs/Heads, the Dean or appropriate administrator will submit his/her PSSI recommendations to the President. The total cost of all steps recommended by the Dean shall not exceed the target allocation for the College/unit.
- 4.2 Administrative review of counselors shall be the responsibility of the Vice President of Student Affairs or his/her designee; for librarians the Dean of Library Services or his/her designee; for athletic coaches the Athletic Director or his/her designee; and for UCTE the Director of UCTE or his/her designee.
- 4.3 Applicants/nominees shall be informed by their Dean or appropriate administrator as to his/her recommendation and number of steps for which they were recommended.
  - 4.3.1 Applicants/nominees who receive positive recommendations, but for whom there is insufficient funding within the targeted allocation for the College (or equivalent unit) shall have their recommendation forwarded on a separate list for consideration by the President.
  - 4.3.2 Applicants/nominees may forward a one page response, regarding the recommendation of the Dean (or appropriate administrator), to the President within 7 calendar days of their notification. Statements submitted by applicants/nominees shall 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, or appropriate administrator, 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. Applicants awarded 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 denied a PSSI award shall have the right to request a review of their application by the Peer Review Panel (see Section 7.1 below).
- 6.0 PSSI calendar and timeline
- 6.1 The specific timeline covering notification, application, evaluation, and PSSI award announcements shall be established by the President in consultation with the Academic Senate.

#### 7.0 Peer Review of PSSI denials

- 7.1 Applicants/nominees who fail to receive a PSSI award shall be eligible to have their application reviewed by the University Peer Review Panel. The appeal letter may be up to six pages in length, double spaced, and must be received by the Provost and Vice President of Academic Affairs within ten academic working days of receipt of the notification of denial (MOU --See Article 31.40).
- 7.2 University Peer Review Panels, consisting of 3 members and 1 alternate, will be appointed by the Provost and Vice President of Academic Affairs in consultation with California Faculty Association. Members shall be selected by lot from among all full-time, tenured faculty who did not serve on a PSSI committee, and who were not applicants/nominees for a PSSI award (MOU --See Articles 31.41; 31.42).
- 7.3 The University Peer Review Panel shall begin to review the specific Performance Salary Step denial within 14 days of its selection. The Panel's review shall be limited to a reconsideration of the increase denial of the applicanUnominee, and the appropriate administrator's written response to any allegations made by the affected employee. Except for presentations of the complainant and the administrator, if the administrator chooses, the peer review will be made from the documents set forth in Section 31.43 of the MOU.
- 7.4 The University Peer Review Panel proceeding will not be open to the public and shall not constitute a hearing (MOU --See Article 31.44).
- 7.5 No later than thirty (30) days after its selection, the University Peer Review Panel shall submit to the President and complainant a written report of its findings and recommendations. All written materials considered by the University Peer Review panel shall be forwarded to the President. When the panel has complied with this section, it shall be discharged of its duties for any individual case (MOU --See Article 31.45).
- 7.6 The President shall consider the University Peer Review Panel's recommendations and all forwarded materials. No later than fourteen (14) days after receipt of the University Peer Review Panel's report, the President shall notify the applicanUnominee and the University Peer Review Panel of his/her final decision, including the reasons therefor. Notification of the President's decision concludes the peer review procedure and his/her decision shall not be subject to review in any forum.

(The dates indicated below were approved by the Academic Senate; however, upon approval by President Baker these dates may be extended.)

#### 1997-98 PSSI Schedule

#### September 15 to October 31 (-7 weeks)

- Departments develop criteria and procedures to be used in evaluating PSSI applicants.
- Departmental PSSI criteria to be submitted to the Dean for approval by Oct 31, 1997

#### Oct 31 - November 21 (3 weeks)

Dean/appropriate administrator review and approval of department PSSI criteria.

#### Nov 21 - January 9 (6 weeks)

PSSI applications due to the Department Chair/Head

#### Jan 9 - February 6 (4 weeks)

- Department review of applicants.
- Department recommendations submitted to the President, Dean, and applicants by Feb. 6<sup>th</sup>.

#### **Feb 6 - Feb 27** (3 weeks)

- Review of PSSI materials by the Dean
- Dean/appropriate administrator recommendations submitted to the President and applicants by Feb 27.

#### Feb 27- April 3 (5 weeks)

- · Review of PSSI materials and recommendations by the President or his designee
- President notifies applicants of PSSI decision by April 3<sup>rd</sup>.

#### April 3 - April 17 (2 weeks)

Peer Review requests due to the Provost and Vice President of Academic Affairs by April 17<sup>th</sup>.

#### April 24 (1 week)

Review Panel formed.

#### April 24 - June 5 (6 weeks)

Review Panel report submitted to the President by June 5<sup>th</sup>.

#### June 19 (2 weeks)

· Applicants notified of the President's decision.

### SAMPLE PSSI APPLICATION

Instructions: Please complete your application for <u>a</u> PSSI award and submit the completed application and <u>a</u> current resume to your department ChairlHead or equivalent Supervisor prior to January <u>9</u>, 1998.

Your application is limited to <u>3 pages</u>. Applicants should determine the amount of space dedicated to each of the three areas (Teaching Performance, Professional Growth, and Service to the University), but should not alter the order of these sections. Your current resume and student evaluation summaries are not included within the 3 page limit.

Name of Applicant	
Department/Unit	
Date of Last PSSI	Steps _
<b>TEACHING PERFORMANCE:</b> Applicants are encourateaching philosophy and methods, contributions to currimplement innovative instruction.	•
(Actual length used to be determined by the applicant)	
PROFESSIONAL DEVELOPMENT: Please list your 3 the area of professional development. Applicants shoul professional activities relate to their teaching function a	d include discussion of how their
(Actual space used to be determined by the applicant)	
SERVICE TO THE UNIVERSITY, STUDENTS, AND C important accomplishments in the area of service to the Applicants should include discussion of how their service function and the mission of the university.	e University, students, and community.

(Actual space used to be determined by the applicant)

State of California

#### Memorandum



To: Anny Morrobel-Sosa, Chair

Academic Senate

File:

Date:

November 17,1997

From:

Warren J. Baker

President

Copies:

Paul Zingg

Deans

Michael Suess

Subject: AS-483-97/FAC: Cal Poly PSSI Policy

The resolution regarding Performance Salary Step Increase Policy, AS-483-97 *IF*AC, adopted by the Academic Senate on October 28, 1997, is approved with the modifications highlighted (by strikeout/underline) in the attachment to this memo. The three key revisions to the proposed policy are referenced below:

- 1. Section 1.6: allocation of funds (95% of PSSI funds will be allocated to colleges/units based on the pro rata share total salary allocation of which 85% will be distributed to departments/equivalent units after factoring out a pro rata amount for awarding PSSIs to department heads. 10% will be initially retained by deans for discretionary use. President will retain 5% of university allotment for PSSI appeals).
- 2. Section 4-1-4.3: administrative review (after conferring with President and Provost, deans will make final PSSI awards which at a minimum shall include at least 50% of Unit 3 members recommended for PSSI awards by the respective department/unit/review board. Once the 50% awards criterion is met from the 85% allocation, deans/appropriate administrators may treat the remaining dollar allocation as discretionary funds along with the initial 10% discretionary allocation).
- 3. Calendar: has been revised to allow departments/equivalent units to develop criteria and procedures by December 5th, with remaining deadlines extended accordingly.

Please extend my appreciation to members of the Academic Senate for their contributions in revising the PSSI policy.

Attachment

#### **CAL POLY**

#### PERFORMANCE SALARY STEP INCREASE POLICY

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  - 1.1.1 The following working definitions shall apply:

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Meritorious: commendable performance; worthy of praise, cooperative and productive work with colleagues.

- 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 year (MOU -- see Article 31.15), or shall be in the form of a bonus (not a permanent increase in the base salary) in those cases where the faculty unit employee has reached the top step of his/her rank and shall not exceed 2.4% of the incumbent's annual salary base.
- \.3 For the purposes of PSSI review and funding targets, counselors, librarians, athletic coaches, and UCTE Unit 3 employees shall be considered separate units. (MOU -- see Article 31.23).
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- Each year that the PSSI program is funded, the President shall allot. 95 % of the campus funding to the colleges/units based on the program of total salary for Unit 3 employees in each college/unit (MOU -- see Article 31.29) and shall reserve 5% of the campus funding to provide a pool for applicants who are subsequently awarded a PSSI pursuant to an appeal (MOU -- see Article 31.39 .j npus funding to be utilized, at the discretion of the Provost and Vice President for Academic Affairs in a timely fashion.

College Deans shall distribute the PSSI allocation pools to departments/equivalent units after factoring out a pro rata amount (based on total salaries) for awarding PSSIs to department beads/chairs (or equivalent supervisors) and retaining 10% their discretionary use. College deans shall inform all Unit 3 employees within their College as to the total funding for the College and the distribution of those funds.

1.7 At each level of evaluation, applicants shall be informed of their standing, including the reasons thereof, and be provided with a summary of the basis of their recommendation.

- 2.0 Eligibility, Applications, and Nominations
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- 2.2 All applications/nominations must be submitted to the Department Chair/Head or equivalent supervisor prior to the application closure date, with a copy to the President or his/her designee, and must follow the approved PSSI Application format (MOU -- see Article 31.16; see page 6). The application is limited to 3 pages, however, applicants/nominators may, without disrupting the order of the information presented, alter the amount of space dedicated to a specific section. To facilitate the application process, Unit 3 employees may download the sample PSSI application form from the OpenMail Bulletin Area-Forms.
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- 3.2 Departments/units may elect to utilize a College eve Review Board. In such cases, the department/unit would request that the Dean convene an elected Review Board. The composition of the Review Board should be similar to the College Peer Review Committee used in promotion considerations, but could include representation from departments/units outside of the College when requested by the department/unit being evaluated.
  - The counselor, librarian, athletic coach, <u>Writing Skills Program</u> and UCTE units may elect to request that the Provost and Vice President for Academic Affairs appoint a Review Board consisting of tenured faculty.
- 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 (MOU --see Article 31.14).
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- 3.4.1 Applicants/nominees shall be infonned by their department/unit PSSI committee/Review Board of its recommendation and number of steps for which they were recommended.
- 3.4.2 Applicants/nominees may forward a one page rebuttal, to the departmental or Review Board recommendation, to the Dean or appropriate administrator (with a copy to the President) within 7 calendar days of their notification. Statements submitted by applicants/nominees shall be included with their original PSSI application.
- 3.5 The total cost of all departmental recommendations shall not exceed the targeted allocation for the department/unit.
- 3.5.1 Applicants/nominees who receive positive recommendations, but for whom there is insufficient funding within the targeted departmental/unit allocation shall have their recommendation forwarded on a separate list for consideration by the Dean.

#### 4.0 Administrative Review

- 4.1 The Dean or appropriate administrator of each College/unit shall receive all PSSI applications and recommendations from each department/unit within the College. After review of the applications/nominations, departmental recommendations, and consultation with the Department Chairs/Heads, the Dean or appropriate administrator ill submit his/her PSSI

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- 4.2 After conferring with the President and Provost, the Dean or appropriate administrator shall notify each applicant of the decision to grant or deny a PSSI award for outstanding or meritorious performance. Applicants awarded a PSSI shall also be informed of the number of steps to be granted and the effective date of the award.
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- 6.1 The specific timeline covering notification, application, evaluation, and PSSI award announcements shall be established by the President in consultation with the Academic Senate.
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- 7.6 The President shall consider the University Peer Review Panel's recommendations and all forwarded materials. No later than fourteen (14) days after receipt of the University Peer Review Panel's report, the President shall notify the applicant/nominee and the University Peer Review Panel of his/her final decision, including the reasons therefor. Notification of the President's decision concludes the peer review procedure and his/her decision shall not be subject to review in any forum.

#### 1997-98 PSSI Schedule

November 12 - December 5 (-3 weeks)

- Departments develop criteria and procedures to be used in evaluating PSSI applicants.
- Departmental PSSI criteria to be submitted to the Dean for approval by Oct 31 1997 December 5,1997.

December 5 - December 19 (2 weeks)

Dean/appropriate administrator review and approval of department PSSI criteria

December 19 - January 30 (6 weeks)

- PSSI applications of faculty, librarian, coaches, counselors due to the Department ChairlHead
- PSSI applications of Department Chair/Head (or equivalent supervisors) due to Dean or appropriate administrator

February 2 - February 27 (4 weeks)

- Department review of applicants.
- Department recommendations submitted to the Dean and applicants by Feb. 6th, with a copy to President.

March 2 - April 3 (5 weeks)

• Review of PSSI materials by the Dean and President

• <u>Dean or appropriate administrator</u> notifies applicants of PSSI decision by April3<sup>rd</sup> <u>after conferring with</u> President and Provost.

April 3 - April I7 (2 weeks)

Peer Review requests due to the Provost and Vice President for Academic Affairs by April 17th,

April 24 (1 week)

• Review Panel formed.

April 24 - June 5 (6 weeks)

Review Panel report submitted to the President by June 5th.

June 19 (2 weeks)

• Applicants notified of the President's decision.

### SAMPLE PSSI APPLICATION

Instructions: Please complete your application for a PSSI award and submit the completed application and a current resume to your department Chair/Head or equivalent Supervisor prior to January | 30, 1998. Your application is limited to 3 pages. Applicants should determine the amount of space dedicated to each of the three areas (Teaching Performance, Professional Growth, and Service to the University), but should not alter the order githese sections. Your current resume and student evaluation summaries are not included within the 3 page limit. Name of Applicant DepartmentlUnit Date of Last PSSI **TEACHING PERFORMANCE:** Applicants are encouraged to include discussion of their teaching philosophy and methods, contributions to curricular development, and efforts to implement innovative instruction. (Actual length used to be determined by the applicant) **PROFESSIONAL DEVELOPMENT:** 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 to be determined by the applicant) **SERVICE TO THE UNIVERSITY, STUDENTS, AND COMMUNITY:** Please list your 3 most important accomplishments in the area of service to the University, students, and community. Applicants should include discussion of how their service activities relate to their teaching function and the mission of the university. (Actual space used to be determined by the applicant)